Post Approvals Matrix

Introduction

The Post Approval Matrix has been designed to streamline the current approvals process and to apply consistency across the University for Senior Leader graded roles and responsibilities. It also provides clear and consistent expectations on budgetary responsibility and accountability associated to decision making surrounding University resources. The main drivers of the matrix approach is to:

- Empower Senior Leaders and provide delegated authority levels to enable delivery of University goals/objectives within the approved budget/remit.
- Enable a simple matrix where the end authority is clearly identified to support University processes.
- Introduce accountability on the management of resources.

The implementation of the matrix assists the University to implement an online approval solution which will remove the requirement of the PCM form.

The matrix itself is documented in appendix 1, assumptions, definitions, and principles to guide its implementation and to ensure consistency of usage is documented below.

Assumptions

1. The approval routes do not replace or remove the need for consideration to be given to the appropriateness of the request and for discussions to be held with the line manager aligned to the principles set out in this paper.

2. Authorised approvers as outlined within the matrix will be held accountable for making appropriate decisions within the principles set out in this paper.

3. Heads of Finance and People & OD Partners are included at the earliest stage of the approval process, and therefore no post should be approved unless agreed with both parties in the first instance.

4. The PCM process is to be followed as per local arrangements, with the sign off on the PCM by the appropriate approver as outlined in the approval matrix. This is an interim arrangement until the automated process is implemented throughout the University.

Definitions

- **Head of Organisational Unit** - Grade 9 budget holder role e.g. Head of School Operations/ Head of Department, responsible for organisational unit that reports to a PSLT/SLT Member. Where no Head of Organisational Unit is in post then this responsibility will be delivered by either the PSLT/SLT Director or an alternative Grade 9 budget holder.

- **Like for Like Replacement** - the replacement of the exact same post, FTE, contract type, duration, and grade as the previous postholder and as identified with the budget, including replacements for staff members taking maternity/parental leave.

- **In Budget with Changes** - the recruitment of a post that is not a like for like replacement, but the changes made to grade, FTE, contract type etc. are covered within the overall organisational unit budget, agreed with the Head of Finance, and are implemented to deliver the agreed plan/strategic deliverable. Please Note: Any savings that is used for spend on Agency Staff is to be agreed separately with the Head of Finance and not through this approval process.

- **Change Not in Budget** - any change that requires funding additional to budget or will result in a budget overspend.

Principles

Outlined below are the principles which are to be adopted by every Senior Leader with the authority to approve set out within the approval matrix. It is essential that these principles are embedded within operations to ensure the effective delivery of the budgeted resources. The University aspires to the approach that the approved budget is a mandate to act for a Senior Leader to deliver their accountabilities. Empowerment of Senior Leaders in this regard should be consistent across the University.

i. Budget holders are required to deliver their financial contributions and planned objectives within plan/budget set. Challenges, constraints and variances to the planned and agreed expenditure must be discussed with the line manager, Head of Finance, and People & OD Partner and take steps to address any issues that might arise in year.

ii. The approving budget holder is responsible for ensuring that the decisions they make regarding post approvals will not prevent their financial contribution, pay and non-pay expenditure being brought in on plan/budget, including meeting any University financial parameters within the relevant planning period e.g. turnover or efficiency saving requirements.

iii. The approving budget holder must ensure that any dependencies in their plan/budget have been achieved before authorising the expenditure on the associated staff resource, e.g. where growth in staff resource is to support a planned increase in student numbers or an income generating activity, this must have been secured before the staff expenditure is authorised other than in cases of SEED funding through project activities which is subject to project governance arrangements.

iv. Prior to the PCM being submitted, the proposal to request a new post or change a staff post will have been fully considered in terms of:

- Is there a need to do the work at all?
- Can the resource be re-directed to meet other new permanent or temporary workload demands which are of a higher priority?
- Can the work be organised differently in order to make efficiencies.
- Is the contract type right for the ongoing requirement – should it be an Academic Teaching Contract rather than Academic Teaching & Research?

- Any potential overlap or duplication of activity with a service provided by another PS department has been considered and the division of duties has been agreed with the Director of that service.
- Budget position and any variance has been considered and advice sought from the Head of Finance where appropriate.
- Any grading and structural implications have been considered and advice sought from the People & OD Partner.
- Any space implications/IT implications to support hybrid working have been considered, planned for and costed.
- Any significant additional costs associated with the appointment such as non-standard training and development or professional accreditation.

v. This approval matrix is for staff employed directly on either UMC or UoM terms and conditions of employment. Approvals for interim staff employed via an employment agency are to be treated separately to this approval matrix and need to be discussed with the Head of Finance to ensure funding and purchase orders are in place.

Implementation

The Post Approval Matrix will be implemented on Monday 25th April 2022, at this time People & OD Directorate will accept PCM forms/instructions from this identified within the Approval Matrix.

Appendix 1 – Approval Matrix

Staff Post Category		Request Type		
		Like for Like Replacement (Incl replacement of a external funded staff member)	**In Budget with Changes** (No Financial Implication incl replacement of external funded staff member)	**Change Not In Budget** (Financial Implication) incl year on year cost e.g. Replacement of a FTC with Perm where only FTC Budgeted, Recruiting Full Time where Part Time Budgeted etc. New external funded roles)
Academic Faculty Based (Including Academic, Teaching, Clinical and Split funded Research, excluding full PS funded roles)	**G5-9**	School Executive - Head of School, Head of School Operations, or Head of Faculty Function		**Director of Faculty Operations / Dean**
Research Funded within Faculty (including PS Research Funded roles)	**G1 to 9**	Confirmation of External Funds (Finance) / Senior Research Finance Officer		**Confirmation of External Funds (Finance) / Senior Research Finance Officer**
Professional Services (within Faculty & Central Directorates incl PS Split Funded roles)	**G1 to 5**	**Head of Organisational Unit**	**Head of School Operations (School) / PSLT Director (Faculty & Central Directorates)**	**Registrar, Secretary & Chief Operating Officer**
	G6 to 8	**Head of School Operations (Faculty) / PSLT Director (Central Directorates)**		
	G9	**Registrar, Secretary, & Chief Operating Officer**		