




# OBM

John R. Kasich  
Governor

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Director

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**To:** Directors, Human Resource Administrators, and Fiscal Officers of Agencies, Boards, and Commissions

**From:** Timothy S. Keen, Director, Office of Budget and Management 

**Date:** March 30, 2012

**Re:** Hiring Controls Change to Emphasize Personnel Ceilings

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The purpose of this memorandum is to inform agency directors and key human resources and fiscal staff of significant changes to be made to the hiring controls process that has been in place since January 31, 2008. These changes are intended to allow the Kasich Administration to maintain oversight of and ensure proper controls on agency hiring to limit taxpayer expense, while adopting an improved and more efficient process to do so.

## Summary

Under the existing hiring controls, agencies have to get approval from the OBM budget analyst for each and every permanent position prior to posting. For each position, the OBM analyst has to switch the Position Status in HCM from Proposed to Approved. In addition, except for positions with job codes that are exempt from the controls (namely, safety, security, or direct care in institutions or revenue-generating positions), the DAS Office of State Services has to enter the personnel actions in OAKS HCM on behalf of agencies.

The efforts required by agencies, OBM, and DAS to exert position-by-position controls in order to limit hiring are time-consuming and add little value for overseeing agency hiring. Instead, OBM has the capability to activate the personnel ceiling function in OAKS HCM. Agencies may convert from the current position-by-position approval process to the personnel ceiling control process once the agency files an annual Workforce Plan with the Department of Administrative Services as required by DAS Directive HR-D-15, the plan has been found to satisfy the requirement of the directive, and the agency has completed training with DAS on personnel action entry in HCM. As with the hiring controls, this will apply to all state agencies except the Attorney General, Auditor of State, Treasurer of State, Secretary of State, and the agencies of the judicial and legislative branches.

The new process is designed to eliminate position-by-position approvals for most job codes, permit agencies to change the Position Status field in HCM from Proposed to Approved, and allow agencies to enter most personnel actions in HCM. The new process moves from individual position approval to agency personnel ceilings. Consequently, agencies will be able to post, hire, and enter personnel actions for most positions within the ceiling amounts without OBM budget analyst approval or DAS Office of State Services involvement.

## Mechanics of the Personnel Ceilings

The personnel ceiling function in HCM includes two basic components: (1) position characteristics to be controlled (such as certain appointment types) and (2) the ceiling amount limiting the number of positions with those characteristics that an agency can have filled at any given time.

**Controlled Position Characteristics:** As for the position characteristics to be controlled, the ceilings will apply to full-time permanent (appointment type P), part-time permanent (also appointment type P), and intermittent (appointment type H) positions on a headcount basis. Other appointment types will not be

affected or controlled by the ceilings. Agency employees with the OH\_HR\_AGENCY\_POSTN\_SPECIALIST role in HCM are able to view their agency's three ceilings—one each for full-time permanent, part-time permanent, and intermittent positions—and their current headcounts to which the ceilings apply by following this navigation in HCM: Set Up HRMS > Foundation Tables > Organization > Position Ceiling Setup. At the far right of the middle blue bar entitled Ceiling Type, agencies can use the arrows to scroll between the three ceilings to view the Current Ceiling and Current Number fields.

**How OBM Will Establish Agency Personnel Ceilings:** It has been several years since personnel ceilings have been in effect. In that time, agency budgets, operations, and employment have changed significantly, in many cases shrinking. As a result, OBM will establish the ceilings in the following manner:

- OBM has started with the current headcounts for full-time permanent, part-time permanent, and intermittent positions. Counts of existing employees meeting these position characteristics controlled by the ceiling are provided by the HCM ceiling functionality.
- DAS will provide a report to OBM of vacancies OBM has approved to fill in the last six months. For each agency, OBM will add the number of these approved positions that are still vacant to the current headcounts noted above to establish the ceilings. OBM budget analysts will forward the identified vacancies and established ceilings to agencies. If agencies have approved positions from before the six-month period that are still vacant, agencies will have to return to OBM with a personnel ceiling request (see procedures below) to add these to the ceiling.
- If agencies identify approved vacant positions from the six-month period that are not on the DAS report, they should forward the OBM budget analyst's position approval emails to their assigned budget analyst. Once the analyst confirms prior approval, OBM will adjust the personnel ceiling upward accordingly.
- Following this interim procedure to adjust the ceiling for previously approved positions, agencies should follow the process described below for requesting a higher personnel ceiling. OBM expects that agencies will submit such requests infrequently.

**Requests to Increase Personnel Ceilings:** After personnel ceilings are set, agencies will have the opportunity to ask for ceiling increases during the annual DAS Workforce Planning process via the documents submitted for that requirement.

If agencies believe they must revisit their ceilings during the year apart from the Workforce Planning process, then they may submit requests to increase their personnel ceilings to OBM. The length of OBM's review process will be contingent on the completeness of requests. OBM will review these requests in conjunction with the DAS Workforce Planning group and forward a recommendation to the Governor's Office for review and final determination.

Note that such requests should come at the beginning of the process, before posting a position that would cause the agency to exceed its ceiling. If an agency tries to enter a personnel action when already at the ceiling, the agency will receive an error message in HCM, and the record will not be saved.

To request a higher personnel ceiling apart from the Workforce Planning process, the agency director should submit a request to the OBM Director. Requests should incorporate the following:

- Provide the position number(s).
- Explain why the existing personnel ceiling is inadequate, especially if there are existing vacancies available underneath the ceiling. Include the dates the agency expects to fill those vacancies.
- Explain why the requested positions for the ceiling increase are essential and necessary.
- Explain the impact to the agency's operations if these positions are not filled.
- Provide a cost estimate and the proposed funding source, and certify that the agency can afford the additional expense.

- Explain why the positions were not included on the Future Action Request form from the agency's most recent Workforce Plan.

OBM shall also reevaluate personnel ceiling levels where there are significant organizational changes, such as institution closures or agency growth.

### **Other Controls**

In addition to the personnel ceilings, there are two additional controls to note.

***Certain Job Codes Still Require Position-by-Position Approval and Centralized Personnel Action Entry:*** Because of statewide efforts to consolidate certain fiscal and information technology (IT) infrastructure services, full-time permanent, part-time permanent, and intermittent positions with the job codes listed in Attachment 1 will remain subject to position-by-position approval by the OBM budget analyst. Agencies should send position approval requests to their OBM budget analysts before posting. The requests should include justification explaining why the position is needed, what happens if it is not approved, and a statement of cost, funding source, and affordability (similar to the information required in the former hiring control process). In the content of the email to the OBM budget analyst, agencies should cite the position number and job code or title requested for approval. OBM will consult with DAS on whether to approve positions using restricted IT job codes.

In addition, the DAS Office of State Services must enter personnel actions for these fiscal and IT job codes on behalf of agencies. When forwarding these personnel actions to DAS to enter in HCM, agencies should now attach the OBM analyst's approval email to expedite this process. The DAS Office of State Services will not enter personnel actions absent the OBM approval email.

OBM recognizes that some agencies may use other classifications for positions assigned to their fiscal office, those that perform accounts payable functions, and/or IT infrastructure positions that support email operations, mainframe operations, server and storage management and operations, data center operations, or network management. Agencies are still expected to seek OBM approval to fill these vacancies as well before posting such positions and have the DAS Office of State Service enter the personnel actions.

Note that OBM may expand the list of restricted job codes shown in Attachment 1 as decisions are made to either expand service offerings at Ohio Shared Services or as the state pursues other enterprise-wide consolidation efforts.

***Agencies Must Still Seek Governor's Office Approval to Fill Unclassified Vacancies or Hire at Advanced Steps:*** Agencies must still consult with the Director of Administration in the Governor's Office when they want to fill an unclassified vacancy, or when they wish to hire any employee, classified or unclassified, at an advanced step of a pay range. Due to the current employment climate, the Governor's Office expects advance step requests to be minimal.

### **Agency Expectations**

This new process is designed to give agencies the ability to fill needed positions more quickly while maintaining hiring controls at an agency level. With this flexibility, agencies have a responsibility to ensure internal processes exist to control headcounts within each organizational unit and periodically review and adjust control levels based on changes to the organization. This internal process should align with the annual strategic workforce planning effort required by DAS Directive HR-D-15 Workforce Planning.

In addition, DAS will create reports that will detail current and historical staffing levels within each agency. These reports will be distributed to the Governor's Office, OBM, and the agency, and will be used to track significant changes or trends in staffing within agencies that convert to personnel ceilings.

**Training and Assistance From DAS:** DAS will provide training and assistance to agencies as they prepare to resume entering personnel actions in HCM on their own. Human resources staff will be expected to complete training prior to implementation of personnel ceiling functionality at an agency with an approved Workforce Plan. DAS also provides workforce planning assistance upon request.

**Current Hiring Controls Stay in Place Until An Agency Is Notified That Its Workforce Plan Is Approved and Completes Personnel Action Entry Training:** Agencies should continue to operate under the current hiring controls until the agency files an annual Workforce Plan with the Department of Administrative Services, the plan has been found to satisfy the requirements of the directive, and the agency has completed training with DAS on personnel action entry in HCM. Once this occurs, the agency will be notified by their OBM budget analyst of the date that the agency will convert from the position-by-position control process to the personnel ceiling control process. Until that date, no permanent positions should be posted without approval from an agency's OBM budget analyst. From that date forward, the requirements of the existing hiring controls will no longer apply.

If you have any questions regarding this memorandum, please contact your OBM budget analyst or Todd Clark at (614) 644-8795.

**Attachment 1 – Restricted Job Codes Still Subject to Position-by-Position Approval**

**Job Code      Classification**

**Fiscal**

16511	Account Clerk 1
16512	Account Clerk 2
16513	Account Clerk 3
16515	Account Clerk Supervisor
63311	Business Service Officer
63315	Business Administrator 1
63316	Business Administrator 2
63317	Business Administrator 3
63318	Business Administrator 4
66111	Accountant/Examiner 1
66112	Accountant/Examiner 2
66113	Accountant/Examiner 3
66114	Accountant/Examiner 4
66115	Accountant/Examiner Supervisor 1
66116	Accountant/Examiner Supervisor 2
66531	Fiscal Specialist 1
66532	Fiscal Specialist 2
66535	Fiscal Officer 1
66536	Fiscal Officer 2
66537	Fiscal Officer 3
66538	Fiscal Officer 4

**Information Technology**

52485	Telecommunications Network Supervisor
52495	Telecommunications Analyst Supervisor
64117	Information Technology Supervisor 1
64118	Information Technology Supervisor 2
64119	Information Technology Supervisor 3
64131	Data Systems Manager
64132	Information Technology Manager 1
64133	Information Technology Manager 2
64134	Data Systems Assistant Administrator
64135	Data Systems Administrator
64163	Information Technology Consultant 3
67115	Tele Systems Analyst Supervisor
67121	Business Continuity Analyst 1
67122	Business Continuity Analyst 2
67125	Business Continuity Analyst Supervisor
67126	Business Continuity & Data Access Manager
67135	Network Administration Supervisor
67136	Network Administration Manager
67196	Network Services Supervisor
67197	Network Services Manager
69931	Infrastructure Specialist 1
69932	Infrastructure Specialist 2

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69933 Infrastructure Specialist 3  
69934 Infrastructure Specialist 4  
69971 IT Architect/Consultant 1