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**CHANCELLORS
LABORATORY DIRECTORS
MEDICAL CENTER DIRECTORS**

Revised Personnel Policies on Performance Management (PPSM 23) and Classification of Positions (PPSM 36), and Implementation Procedures

Dear Colleagues:

The University of California would like to demonstrate appreciation for the professionalism of staff employees, emphasize opportunities for professional growth and development, and provide resources for employees to balance their work and life demands.

Enclosed are revised personnel policies on Performance Management and on Classification of Positions. Also enclosed are procedures for implementation of these policies. The revised policies are intended to be responsive to employee needs and to provide the resources to assist employees in professional development and career ladder progression.

The revised policy on Performance Management (PPSM 23) includes the following changes:

- The name of the policy has been changed from *Performance Appraisal* to *Performance Management* to emphasize that performance management is an ongoing process extending beyond the annual performance review.
- Language has been added on the importance of ongoing communication between a supervisor and an employee, both to enhance professional growth and development and to address job performance.
- The policy emphasizes the role of performance expectations and goals in the written performance appraisal process, and in the identification of options for the acquisition of additional skills and knowledge to foster career growth and improvement in job performance.

The policy on Classification of Positions (PPSM 36) includes the following changes:

- The policy addresses how a position is originally established and classified, and how significant changes in job duties and responsibilities may prompt a reclassification review.
- The policy allows either an employee or a department to initiate the request for a classification review, to assess whether a position's classification is appropriate based on the assigned job duties, and whether it is consistent with similarly situated positions.

The new Universitywide Procedures for PPSM 23 and PPSM 36 are intended to provide additional guidance to ensure consistency in policy implementation at all locations.

The policies and procedures will take effect as of December 1, 2005, and will be published online at:

http://atyourservice.ucop.edu/employees/policies/staff_policies/index.html

Sincerely,

A handwritten signature in black ink, appearing to read "Bob", written in a cursive style.

Robert C. Dynes

Enclosures

cc: Members, President's Cabinet
Associate Vice President Boyette
Assistant Vice President Switkes
Coordinator Capell
Principal Officers of The Regents

Personnel Policies for Staff Members

Employment

23. Performance Management

December 1, 2005

A. GENERAL

Performance Management is an ongoing process of communication between a supervisor and an employee that occurs throughout the year, in support of accomplishing the strategic objectives of the organization. The communication process includes setting objectives, identifying goals, providing feedback, and evaluating results.

B. PERFORMANCE APPRAISAL

The performance of each employee shall be appraised annually in writing by the employee's immediate supervisor, or more frequently in accordance with local procedures.

The written performance appraisal is an opportunity for the supervisor and employee to review whether previously discussed performance expectations and goals have been met, to discuss professional development opportunities, and to identify options for acquisition of additional skills and knowledge to foster performance improvement and career growth. Additionally, the appraisal provides appropriate documentation to support any recommended merit increases and/or other performance-based awards.

In addition, academic Deans and Provosts receive a performance review as specified in Academic Personnel Policy 240, Deans and Provosts. The President conducts a special performance review between the fourth and fifth anniversaries of appointment of a new Chancellor and at approximately five year intervals thereafter.

Applicability: All Staff Members

PPSM 23
Performance Management
Universitywide Procedures
December 1, 2005

Local procedures shall be implemented in accordance with the following Universitywide Procedures

A. General

Performance Management is an ongoing process of communication between a supervisor and an employee that occurs throughout the year, in support of accomplishing the strategic objectives of the organization.

The communication process includes setting objectives, identifying goals, providing feedback, and evaluating results.

Supervisors are strongly encouraged to oversee employee performance and provide feedback throughout the year. In addition to monitoring the results of work activities and evaluating performance, supervisors are encouraged to solicit feedback and input from the employee. Ongoing communication allows the supervisor and employee to address issues in a timely fashion.

B. Performance Appraisal

A regular status employee's performance is appraised in writing at least annually, although such employee's performance may be appraised more frequently in accordance with local procedures.

A probationary employee is evaluated in writing at least once during the probationary period, in accordance with PPSM 22.A.

The written performance appraisal is an opportunity for the supervisor and employee to review whether previously discussed performance expectations and goals have been met, to discuss professional development opportunities, and to identify options for acquisition of additional skills and knowledge to foster career growth.

Supervisors are strongly encouraged to initiate discussion with the employee in preparation for the written performance appraisal.

The written performance appraisal, documenting individual employee performance, addresses the following at a minimum:

- Communicates whether the supervisor's expectation for job performance and goals has been met

- Provides feedback on any areas of concern and outlines any needed improvement in job performance

Supervisors are encouraged to also address the following in the written performance appraisal:

- Identify opportunities for professional development and options for acquiring additional knowledge and skills to support career growth
- Determine if previously identified performance goals have been met
- Outline future steps necessary to meet professional development and job-related goals

Local procedures may require that the performance appraisal include measurement of additional performance milestones, and indicate the specific steps an employee and/or the supervisor are to follow throughout the performance appraisal process.

Once the written evaluation has been completed and the employee has been given the opportunity to provide feedback, the employee is asked to sign the completed appraisal form. The employee is informed that his or her signature acknowledges discussion of the contents of the completed appraisal form, not necessarily agreement with it. The employee may add his or her own comments to accompany the performance appraisal form.

A copy of the completed performance appraisal form is placed in the employee's personnel file.

In addition, academic Deans and Provosts receive a performance review as specified in Academic Personnel Policy 240, Deans and Provosts. The President conducts a special performance review between the fourth and fifth anniversaries of appointment of a new Chancellor, and at approximately five year intervals thereafter.

Personnel Policies for Staff Members

Compensation

36. Classification of Positions

December 1, 2005

A. POLICY

Positions are established and classified based on the level and scope of assigned duties and responsibilities as documented in approved job descriptions. Positions with similar duties and responsibilities are grouped together in the same job series. As duties and responsibilities undergo significant changes, positions may be reviewed for reclassification. Local procedures provide further guidance regarding use of classifications and titles.

B. CLASSIFICATION REVIEW

In addition to requests for classification review by departments, and in accordance with local procedures, employees may request that their assigned duties and responsibilities be reviewed for appropriate classification level.

Applicability: All Staff Members

**PPSM 36
Classification of Positions
Universitywide Procedures
December 1, 2005**

Local procedures shall be implemented in accordance with the following Universitywide Procedures

A. POLICY

Positions are established and classified based on the level and scope of assigned duties and responsibilities. The classification process is designed to ensure that positions are appropriately classified and that the required skill level and assigned responsibilities of the position are accurately reflected in the position descriptions.

Positions with similar duties and responsibilities are grouped together in the same job series. When duties and responsibilities undergo significant changes, positions may be reviewed for reclassification. Local procedures provide further guidance regarding use of classifications and titles.

B. CLASSIFICATION REVIEW

Departments may submit a request for classification review for employees whose duties and responsibilities have undergone significant changes. Employees also may request that their assigned duties and responsibilities be reviewed for appropriate classification level, in accordance with local procedures.

Changes in the following factors may indicate a need for a classification review:

- Position duties
- Essential functions
- Level of complexity and responsibility of duties
- Nature of contacts with others
- Organizational impact of the position
- Level of supervision received and/or exercised
- Knowledge, skills, and abilities required to successfully perform in the position
- Special requirements (e.g. changes in required licenses, certificates, or credentials)

Local procedures specify the documentation and approvals necessary for submission of a request for classification review.

These materials are forwarded to the department that conducts classification reviews (e.g. Compensation Services, Compensation Unit, Compensation and Classification) and are processed and reviewed in accordance with local procedures. The department and the employee are notified of the outcome.

In accordance with PPSM 70.A (Complaint Resolution-General) a request for review of a decision on the classification of a position is not covered by the Complaint Resolution Policy. Local procedures may specify a process for reviewing classification decisions.

Applicability: All Staff Members