



PPSM-23: Performance Management

Responsible Officer:	Vice President – Human Resources
Responsible Office:	HR - Human Resources
Issuance Date:	12/1/2005
Effective Date:	12/1/2005
Scope:	Managers & Senior Professionals and Professional & Support Staff. Performance management for members of the Senior Management Group is covered by the policy on Senior Management Group Performance Management Review Process (Regents Policy 7702).

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I. POLICY SUMMARY

This policy provides direction for conducting performance management and performance appraisals for employees in the Managers & Senior Professionals and Professional & Support Staff personnel groups.

II. DEFINITIONS

Exception to Policy: An action that exceeds what is allowable under current policy or that is not expressly provided for under policy. Any such action must be treated as an exception.

Executive Officer: The University President or Chancellor.

Merit Increase: A within range salary increase granted to employees in career positions based on performance and other factors such as the position in range.

Top Business Officer: Executive Vice President–Business Operations for the Office of the President, Vice Chancellor for Administration, or the position responsible for the location’s financial reporting and payroll as designated by the Executive Officer.

III. POLICY TEXT

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 at least 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.

IV. COMPLIANCE / RESPONSIBILITIES

A. Implementation of the Policy

The Vice President–Human Resources is the Responsible Officer for this policy and has the authority to implement the policy. The Responsible Officer may apply appropriate interpretations to clarify the policy provided that the interpretations do not result in substantive changes to the underlying policy. The Chancellor is authorized to establish and is responsible for local procedures necessary to implement the policy.

B. Revisions to the Policy

The President is the Policy Approver and has the authority to approve policy revisions upon recommendation by the Vice President–Human Resources.

The Vice President–Human Resources has the authority to initiate revisions to the policy, consistent with approval authorities and applicable *Bylaws* and *Standing Orders* of the Regents.

The Executive Vice President–Business Operations has the authority to ensure that policies are regularly reviewed, updated, and consistent with other governance policies.

C. Approval of Actions

Actions within this policy must be approved in accordance with local procedures. Chancellors and the Vice President–Human Resources are authorized to determine responsibilities and authorities at secondary administrative levels in order to establish local procedures necessary to implement this policy.

All actions applicable to PPSM-covered staff employees who are not Senior Management Group members that exceed this policy, or that are not expressly provided for under any policy, must be approved by the Vice President–Human Resources.

D. Compliance with the Policy

The following roles are designated at each location to implement compliance monitoring responsibility for this policy:

The Top Business Officer and/or the Executive Officer at each location will designate the local management office to be responsible for the ongoing reporting of policy compliance.

The Executive Officer is accountable for monitoring and enforcing compliance mechanisms and ensuring that monitoring procedures and reporting capabilities are established.

The Vice President–Human Resources is accountable for reviewing the administration of this policy. The Director–HR Compliance may periodically monitor compliance to this policy.

E. Noncompliance with the Policy

Noncompliance with the policy is handled in accordance with [Personnel Policies for Staff Members 61, 62, 63, 64, 65, and 67](#) pertaining to disciplinary and separation matters.

V. PROCEDURES

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.

VI. RELATED INFORMATION

- [Senior Management Group Performance Management Review Process](#) (Regents Policy 7702) (referenced in Scope of this policy)
- [Personnel Policies for Staff Members 61, 62, 63, 64, 65, and 67](#) (referenced in Section IV.E. of this policy)
- [Personnel Policies for Staff Members 22 \(Probationary Period\)](#) (referenced in Section V. of this policy)

VII. FREQUENTLY ASKED QUESTIONS

Not applicable.

VIII. REVISION HISTORY

This policy was reformatted into the standard University of California policy template effective July 1, 2012.

Policy changes effective as of July 1, 2012:

- Removed reference to performance reviews for Academic Deans and Provosts (see [Academic Personnel Policy 240, Deans](#) and [Academic Personnel Policy 246, Faculty Administrators \(100% Time\)](#)).
- Removed reference to performance reviews for Chancellors (see [Senior Management Group Performance Management Review Process](#) (Regents Policy 7702)).

As a result of the issuance of this policy, the following documents are rescinded as of the effective date of this policy and are no longer applicable:

- *Staff Personnel Policy 255 (Performance Evaluation)*, dated December 1, 1985