



PPSM 23: Performance Management

Responsible Officer:	Vice President – Systemwide Human Resources
Responsible Office:	SHR – Systemwide Human Resources
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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

Detailed information about common terms used within Personnel Policies for Staff Members can be found in [Personnel Policies for Staff Members 2 \(Definition of Terms\)](#).

Merit Increase: A salary increase designed to reward performance.

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–Systemwide Human Resources is the Responsible Officer for this policy and has the authority to implement the policy. The Responsible Officer may develop procedures or other supplementary information to support the implementation of this policy. Such supporting documentation does not require approval by the President. 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.

In accordance with [Personnel Policies for Staff Members 1 \(General Provisions\)](#), the authorities and responsibilities delegated to the Chancellor in this policy are also delegated to the Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officers of the Regents, and the Lawrence Berkeley National Laboratory Director. Also in accordance with [PPSM 1](#), the authorities granted in this policy may be redelegated except as otherwise indicated.

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–Systemwide Human Resources.

The Vice President–Systemwide 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–Chief Operating Officer 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–Systemwide 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–Systemwide 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–Systemwide Human Resources is accountable for reviewing the administration of this policy. The Director–Systemwide Human Resources 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* [62](#), [63](#), and [64](#), 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 Section III.A of [PPSM 22](#).

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 their signature acknowledges discussion of the contents of the completed appraisal form, not necessarily agreement with it. The employee may add 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 [62](#), [63](#), and [64](#) (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

Policy change effective as of **February 1, 2021**: Updated definition of “merit increase.”

Policy changes effective as of **December 10, 2018**:

- Removed existing gendered pronouns and replaced with gender-neutral language.
- Updated web and document links, office titles, and typographical amendments.
- Remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

Policy changes effective as of **July 1, 2012**:

- Reformatted into the standard University of California policy template.
- 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