



# PPSM-II-70 Resolution of Concerns (SMG)

<b>Responsible Officer:</b>	Vice President – Systemwide Human Resources
<b>Responsible Office:</b>	SHR – Systemwide Human Resources
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## I. POLICY SUMMARY

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This policy describes provisions for resolving concerns about conditions and actions affecting a Senior Manager's employment.

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## II. DEFINITIONS

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Detailed information about common terms used within Personnel Policies for Staff Members can be found in [Personnel Policies for Staff Members 2 \(Definition of Terms\)](#) and [Personnel Policies for Staff Members 3 \(Types of Appointment\)](#).

**Senior Management Group:** Individuals whose career appointment is in the Senior Management Group personnel program. Employees with a dual academic appointment at 0% are considered to possess a career appointment in the Senior Management Group.

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## III. POLICY TEXT

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### A. General

All Senior Management appointees serve at the pleasure of the Regents, President, Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer of the Regents, or Laboratory Director, as appropriate. Concerns about conditions and actions affecting a Senior Manager's employment are expected to be discussed with the Senior Manager's immediate supervisor. If the Senior Manager's concerns cannot be resolved through such discussions, those concerns may be submitted in writing to the Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer, or Laboratory Director, as appropriate, for review, or to the President if the Senior Manager reports directly to one of these positions. The Regents, President, Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer, or Laboratory Director then will take such action as determined appropriate.

### B. Discrimination Complaints

A Senior Manager who alleges a discriminatory practice pursuant to the [Discrimination, Harassment, and Affirmative Action in the Workplace](#) policy may submit a complaint in writing to the Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer, or Laboratory Director, as appropriate, or to the President if the complainant reports directly to one of these positions. A Senior Manager who reports directly to the Regents may submit such a complaint to the Board of Regents. The President, Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer, Laboratory Director, or the Board of Regents will appoint an independent third party who will review the facts of the case, provide an opportunity for the Senior Manager or the manager's representative to present witnesses and evidence, and submit a written report of the facts to the Board of Regents, President, Chancellor, Executive Vice President–

Chief Operating Officer, Vice President– Agriculture and Natural Resources, Principal Officer, or Laboratory Director, as appropriate, who then will take such action as determined appropriate.

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## **IV. COMPLIANCE/RESPONSIBILITIES**

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### ***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 policy provided that the interpretations do not result in substantive changes to the underlying policy.

The Chancellor, Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officer of the Regents, and Laboratory Director are authorized to establish local procedures necessary to implement this policy and to determine secondary administrative level responsibilities and authorities to establish such local procedures.

### ***B. Approval of Actions***

See Sections III.A and III.B for the authority to approve actions authorized by this policy. All actions applicable to Senior Management Group members that exceed this policy, or that are not expressly provided for under any policy, must be endorsed by the President and approved by the Regents.

### ***C. 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 will periodically monitor compliance with this policy.

### ***D. Noncompliance with the Policy***

Noncompliance with the policy is handled in accordance with the Regents' [Guidelines for Corrective Actions Related to Compensation Practices](#) and [Guidelines for Resolution of Compensation and Personnel Issues Resulting from the Findings of Audits and Management Reviews](#).

### ***E. 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 Regents is the Policy Approver for policy revisions that affect the compensation of Senior Management Group members.

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.

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## **V. PROCEDURES**

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Not applicable.

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## **VI. RELATED INFORMATION**

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- [\*Discrimination, Harassment, and Affirmative Action in the Workplace\*](#) (referenced in Section III.B of this policy)
- [\*Guidelines for Corrective Actions Related to Compensation Practices\*](#) (referenced in Section IV.D of this policy)
- [\*Guidelines for Resolution of Compensation and Personnel Issues Resulting from the Findings of Audits and Management Reviews\*](#) (referenced in Section IV.D of this policy)

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## **VII. FREQUENTLY ASKED QUESTIONS**

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Not applicable.

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## **VIII. REVISION HISTORY**

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**November 20, 2018:** Replaced references to PPSM 12 (Nondiscrimination in Employment) with references to the Discrimination, Harassment, and Affirmative Action in the Workplace policy. PPSM 12 was rescinded effective November 20, 2018.

This Policy was also remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

**January 2016:** Technical revisions were made to this policy as of January 2016, including updates to document links and position titles; added references to Executive Officer–Chief Operating Officer, Vice President–Agriculture and Natural Resources, and Principal Officers of the Regents; and typographical amendments.

**University of California – Policy PPSM-II-70**  
PPSM-II-70 Resolution of Concerns (SMG)

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

- *Personnel Policies for Staff Members II-70 (Resolution of Concerns)*, dated July 1, 1996

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