



PPSM-20: Recruitment and Promotion

MASTER REDLINE – LAST UPDATED 6/1/17

Responsible Officer:	Vice President VP – Human Resources
Responsible Office:	HR - Human Resources
Issuance Date:	4/1/2006
Effective Date:	4/1/2006
<u>Last Review Date:</u>	January 1, 2017
Scope:	Positions in the Professional & Support Staff, Managers & Senior Professionals, and Senior Management Group Members <u>personnel programs.</u>

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I. POLICY SUMMARY

This ~~policy and procedures~~ describes ~~the scope of efforts to be taken in regards to the recruitment requirements for of staff members~~ appointments in the Professional & Support Staff, Managers & Senior Professionals, and Senior Management Group personnel programs.

II. DEFINITIONS

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

Career Tracks:

A classification structure that groups jobs into broad categories (defined as Operational and Technical, Professional, and Supervisory and Management) based on primary functions, scope, and level of responsibilities.

Competitive Recruitment:

The activities related to seeking a broad and diverse pool of qualified candidates to fill vacant positions. These activities may include advertising a position, communicating with applicants, conducting interviews and assessments, performing reference checks, and extending offers of employment.

Demotion: The change of an employee from one position to another position which results in a lower salary range maximum.

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.

Internal Candidate:

A candidate who is currently employed at the University of California in any appointment type except student appointment titles.

Internal Recruitment:

A type of competitive recruitment for career positions where only internal candidates are eligible to apply for the vacant position. Internal recruitment can be limited to the UC system as a whole, to a particular UC location, or to a particular organizational unit in accordance with local procedures.

Job:

A broad-based collection of key responsibilities, knowledge and skills used to identify work that is of the same nature and performed at the same level by one or more employees throughout the University.

Job Title:

A short descriptor used to link a job and a position. A position's job title may differ from the working title used by the employee. May also be referred to as "class."

Position:

A specific set of duties, responsibilities, knowledge, skills, level of supervision, and other requirements which are based on a job and that comprise the work assignment of an individual employee at a particular location.

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. Scope of Recruitment General

The University of California is committed to hiring a talented workforce through recruitment practices that are fair and consistent and that comply with all applicable laws and regulations. We recognize that a diverse workforce is essential to serving the needs of our communities and to ensuring that our institution continues to be a leader in higher education.

Consistent with our status as a federal contractor, the University of California is an equal opportunity/affirmative action employer. Conducting competitive recruitments for staff positions is the normal and expected method for identifying and hiring staff personnel at the University. As such, competitive recruitment is required unless otherwise stated in this policy. Hiring authorities are accountable for complying with federal and state laws and regulations and University policies and are responsible for contributing to the University's equal employment opportunity and affirmative action efforts.

The goals of competitive recruitment are to:

- Identify and attract qualified applicants;
- Create a broad and diverse pool of qualified candidates based on the relevant labor market;
- Allow candidates to fairly compete for position openings;
- Meet our equal employment opportunity and affirmative action commitments; and
- Demonstrate a fair and unbiased selection process.

The University of California also provides reasonable accommodation to qualified individuals with disabilities in all phases of the employment process. A reasonable accommodation may be a modification to a job application process, interview process, hiring procedure, or other employment practice that will allow a qualified individual with a disability to have an equal opportunity to obtain employment. To request a reasonable accommodation, job applicants may contact the local designated office or notify any University official involved in the hiring process. Locations will make information about reasonable accommodation, including information about how to request an accommodation, available on their websites.

~~As appropriate, the University will recruit both within and outside its work force to obtain qualified applicants. To support career progress of qualified internal candidates, internal recruitment may be utilized so long as it is consistent with equal employment and affirmative action objectives and results in a diverse pool of qualified applicants.~~

B. Scope

This policy applies to all aspects of competitive recruitment, as well as internal promotions, exemptions from recruitment, and waivers of recruitment. Competitive recruitments must be conducted in accordance with this policy and local procedures. Locations may choose to be more restrictive in their local procedures than the provisions of this policy, as long as such restrictions are in accordance with University non-discrimination policies.

C. Competitive Recruitment Process

Competitive recruitments must be conducted in accordance with the location's equal opportunity and affirmative action objectives. At a minimum, the steps described below are to be taken when conducting a competitive recruitment. Local procedures may include additional steps.

1. Preparation

Formal authorization to recruit must be obtained in accordance with local procedures before any competitive recruitment starts. If a hiring manager believes there may be difficulties in recruiting for a particular position, the local Human Resources office can provide assistance.

2. Position Description

Position descriptions are created and updated in accordance with local procedures. A current position description must be used when recruiting to fill a vacant or newly created position. The description must state the minimum qualifications for the position, as well as any preferred skills, knowledge, abilities, and/or experience. Both the minimum and preferred qualifications must directly relate to the duties of the position.

3. Advertising

The mechanisms that are likely to attract a broad and diverse pool of qualified applicants should be used to advertise a position opening. This could include advertising the position internally on University of California websites, as well as advertising externally using various national, local, and social media, job search websites, recruitment agencies, etc.

4. Assessment of Applications

Applications must be assessed objectively and consistently against the minimum and preferred qualifications set out in the position description. All candidates who advance to the next stage of the recruitment process must meet the minimum qualifications for the position.

5. Selection

For requirements and criteria regarding the selection and appointment of a candidate, refer to Personnel Policies for Staff Members 21 (Selection and Appointment).

D. Career Appointments

1. Recruitment

Competitive recruitment is required for all career appointments unless an internal promotion is approved per 2.b below, an exemption applies (refer to Section G), a

waiver is approved per Section H, or a contract or limited appointment converts or is designated as a career appointment in accordance with this policy and PPSM 3. For additional recruitment requirements related to UC retired employees, refer to the policy on Reemployment of UC Retired Employees Into Senior Management Group and Staff Positions (Regents Policy 7706) and that policy's associated Procedures.

a. Career Recruitment: Single Job Title

A competitive recruitment to fill a vacant career position is usually conducted for a single job title.

b. Career Recruitment: Classification Series

A vacant career position classified in the Career Tracks Professional category or the Professional & Support Staff (PSS) personnel program may be listed with multiple job titles at different levels within a single class series. This provides the hiring authority with the flexibility to determine the initial job title based on the qualifications of the selected candidate.

2. Career Progress of Current UC Employees

To support the career progress of current staff employees, the University may offer promotional opportunities to qualified candidates through the following:

a. Internal Recruitment

A location may limit competitive recruitment for a career appointment to internal candidates. ~~To support career progress of qualified internal candidates, internal recruitment may be utilized so long as it as this internal recruitment~~ is consistent with equal employment and affirmative action objectives ~~and results in a diverse pool of qualified applicants~~. The Chief Human Resources Officer (CHRO) has the authority to approve limiting competitive recruitment to internal candidates after consultation with the Affirmative Action Officer.

b. Internal Promotion

Internal promotions are intended to recognize growth and development in the professional skills, knowledge, and responsibilities of current career staff employees. Internal promotion opportunities must be consistent with the University's equal employment and affirmative action objectives, as well as the employee's qualifications and job performance. The requirements to either competitively recruit for a career position or to obtain a waiver of competitive recruitment do not apply when an internal promotion request has been approved in accordance with this policy and local procedures.

Internal promotions may be appropriate when there is (1) a University business need, e.g., a vacant position or need for higher level work to be performed, and (2) a career employee who demonstrates readiness for upward advancement. Local procedures will define the authorities and process, including required documentation, for recommending and approving an internal promotion. At a minimum, the CHRO, in consultation with the Affirmative Action Officer, must approve the request in order for the promotion to move forward. All career employees in an organizational unit who are qualified for an internal promotion must be considered for the opportunity; local procedures will determine the process for making a fair and unbiased selection.

E. Limited, Floater, and Per Diem Appointments

1. Recruitment

To fill limited, floater, and per diem appointments, competitive recruitment is normally expected but not required. If competitive recruitment is not feasible due to special circumstances, refer to your local procedures for requirements on filling these types of appointments without competitive recruitment. In cases where there is any possibility that a limited appointment may continue beyond 1,000 hours in any 12 consecutive months, a competitive recruitment must be conducted to fill that appointment.

2. Conversion to Career

Floater and per diem appointments do not convert to career appointments.

Limited appointments may be converted to career appointments if the incumbent employee was selected through a competitive recruitment process. Limited appointments are designated as career appointments when the incumbent employee reaches 1,000 hours of qualifying service in any 12 consecutive months (refer to PPSM 3 for the full set of conditions); however, departments are expected to manage limited appointments so this situation rarely occurs.

F. Contract Appointments

1. Recruitment

Competitive recruitment is required for contract appointments unless a waiver of competitive recruitment is approved per Section H below. If the work will exceed the contract appointment duration limit as defined in PPSM 3, contact your local Human Resources office to discuss options.

2. Conversion to Career

A contract appointment may be converted to a career appointment if the incumbent employee was selected through a competitive recruitment process. Local procedures will define the process and approvals necessary to convert a contract appointment to a career appointment.

G. ~~Exceptions to Recruitment~~ Exemptions

Recruitment is not required when a position is to be filled by: The following circumstances are exempt from the requirement to competitively recruit:

1. ~~d~~Demotion or lateral transfer of an employee within the same organizational unit, as defined in local procedures;
2. ~~l~~Lateral transfer of an employee along with the budgetary provision for that employee's position;
3. ~~t~~Transfer, reinstatement or reemployment of an employee in accordance with PPSM 2.210.III.D.1 and 4-6 (Absence from Work–Family and Medical Leaves), PPSM 2.210.III.D.2 (Absence from Work–Leave due to Pregnancy, Childbirth, or Related Medical Condition), PPSM 2.210.III.E.1 (Absence from Work–Military and Other Service-related Leaves), Policy 81.D, Reasonable Accommodation; Policy 66.III.D.F, (Medical Separation-Special Reappointment Procedures), and PPSM 81.III.D (Reasonable Accommodation–Reassignment); Policy 43.B, Pregnancy Disability Leave; or Policy 43.C, Family and Medical Leave;
4. ~~a qualified employee who has become disabled;~~
4. Recall of a laid- off employee or placement of an employee with preference for reemployment or transfer
5. ~~a~~An employee's job title or whose responsibilities ~~or title~~ have changed as a result of a reorganization or reassignment of functions among positions within the same organizational unit; ~~or~~
6. ~~a~~An employee who is competitively selected for a University of California-sponsored internship program, and upon completion of the internship, as authorized in local guidelines and with the approval of the department head, is appointed to a vacant position for which ~~he or she~~the employee meets the minimum qualifications;~~;~~
7. An employee receives an internal promotion per Section D.2.b above;
8. The department conducted a competitive recruitment within the past six months that yielded a diverse applicant pool and the department wants to select a candidate from the original pool for another opening in the same job title and with the same minimum qualifications; or

9. To fill a casual/restricted appointment.

~~In addition, recruitment is not required when:~~

- ~~1. a filled Academic or Professional and Support Staff position is transferred to a Management and Senior Professional class; or~~
- ~~2. a filled Academic or Management and Senior Professional class is transferred to a Senior Management class.~~

CH. Waiver of Recruitment for Career and Contract Appointments

Competitive recruitment is normally expected for all career and contract open positions. Under special circumstances and in accordance with local procedures, the CHRO may approve a waiver of competitive recruitment for career and contract appointments after consultation with the Affirmative Action Officer. The primary concern in considering approval of a waiver is whether the University's operational needs outweigh our commitment to competitive recruitment. Special circumstances that might justify a waiver include, but are not limited to, when:

- Previous recruitment attempts did not result in identifying a qualified candidate pool, and/or recruitment difficulties in attracting candidates with the required skills, knowledge and abilities unique to the position have been documented.
- Unanticipated business requirements warrant filling the position on an immediate basis and the time needed to conduct a search would have a negative impact on meeting critical operational needs of the department or would violate a formal contractual obligation of the University.
- There are special appointment conditions, such as an organizational entity or program moving to the location along with specified current employees.
- The delay resulting from conducting a competitive recruitment would endanger health and safety.

~~Local procedures may include waiver of recruitment in special circumstances consistent with equal opportunity and affirmative action objectives.~~

~~For a limited or contract appointment to be designated as a career appointment, recruitment, referral, and selection procedures shall normally be followed unless the incumbent had been recruited through an open recruitment process.~~

D. Career Ladder Recruitment

~~An open position may be listed with multiple job titles at different levels within a single class series. The hiring authority will determine the initial job title based on the qualifications of the selected candidate. These multiple job titles may allow an~~

~~employee to advance to a higher job title with the acquisition of additional knowledge and skills during the course of employment.~~

~~Local procedures will govern the recruitment and selection process noted above, the generation of a written development plan, the timing of an employee's assessment, and the reclassification process.~~

~~With approval of the department head, the employee who has successfully met the criteria for upward advancement to a higher level position may be reclassified within the same class series and department or organizational unit for which the original recruitment was conducted.~~

I. Documentation

Recruitment and selection records must be maintained in accordance with University policy and applicable laws. Refer to the University of California Records Retention Schedule and/or contact your local Human Resources office for additional information.

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 develop other supplementary information to support the implementation of this policy. Such supporting documentation does not require the approval of 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–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~~ 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–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 Senior Vice President–Chief Compliance and Audit Officer will periodically audit and monitor compliance to this policy.

E. 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](#), and Personnel Policies for Staff Members [61](#), [62](#), [63](#), [and 64](#), ~~65, and 67~~ pertaining to disciplinary and separation matters.

V. REQUIRED PROCEDURES

Not applicable.

~~Local Procedures shall be implemented in accordance with the following Universitywide Procedures:~~

~~**A. Scope of Recruitment**~~

~~In order to obtain a diverse pool of qualified applicants, internal and external recruitment is utilized. Recruitment may be limited to internal candidates to support career progress of qualified incumbent employees but must be consistent with equal employment opportunity (EEO) and affirmative action objectives and result in a pool of qualified applicants. Recruitment that is limited to internal candidates must be approved by the Chief Human Resources Officer in consultation with the Affirmative Action Officer to ensure compliance with EEO and affirmative action requirements.~~

~~**B. Exceptions to Recruitment**~~

~~Recruitment is not required when a position is to be filled by:~~

- ~~1. demotion or lateral transfer of an employee within the same organizational unit, as defined in local procedures;~~
- ~~2. lateral transfer of an employee along with the budgetary provision for that employee's position;~~
- ~~3. transfer or reemployment of an employee in accordance with PPSM 81.D, Reasonable Accommodation; PPSM 66.D, Medical Separation; PPSM 43.B, Pregnancy Disability Leave; or PPSM 43.C, Family and Medical Leave;~~
- ~~4. a qualified employee who has become disabled;~~
- ~~5. recall of a laid-off employee or placement of an employee with preference for reemployment or transfer;~~
- ~~6. an employee whose responsibilities or title have changed as a result of a reorganization or reassignment of functions among positions within the same organizational unit;~~
- ~~7. an employee who is competitively selected for a University-sponsored internship program, and upon completion of the internship, as authorized in local guidelines and with the approval of the department head, is appointed to a vacant position for which he or she meets the minimum qualifications; or~~

~~In addition, recruitment is not required when:~~

- ~~1. a filled Academic or Professional and Support Staff position is transferred to a Management and Senior Professional class; or~~
- ~~2. a filled Academic or Management and Senior Professional class is transferred to a Senior Management class.~~

C. Waiver of Recruitment

~~Locations may waive recruitment in special circumstances in accordance with local procedures. Waivers of recruitment are approved by the Chief Human Resources Officer in consultation with the Affirmative Action Officer.~~

~~Special circumstances may include:~~

- ~~• When a candidate possesses unique skills, knowledge, and abilities and there is no other viable candidate available~~
- ~~• When there are demonstrated recruitment difficulties~~
- ~~• When there are time or funding constraints, or other demonstrated business necessity~~
- ~~• When there are health and safety reasons~~

~~When a limited or contract appointment is to be designated as a career appointment, recruitment may be waived when the incumbent was selected through an open recruitment.~~

D. Career Ladder Recruitment

~~Positions under recruitment may be listed with multiple job titles at different levels within a single class series.~~

~~When positions are listed with multiple job titles, recruitment is undertaken for candidates who possess, at a minimum, the qualifications necessary to meet the essential functions and responsibilities of the lowest level in the class series; however, candidates may possess the qualifications necessary to meet the essential functions and responsibilities of any level in the class series.~~

~~The hiring authority reviews the qualifications of the selected candidate and determines the initial job title based on the qualifications of the candidate. Multiple job titles allow an employee to advance to a higher job title upon acquiring additional knowledge and skills.~~

~~Local procedures provide guidance on the development of a written development plan (to assist the employee in skill acquisition), the timing of an employee's assessment, and the reclassification process.~~

~~For example, during the employee's probationary period, an assessment of the employee's skills for other positions on the career ladder is undertaken, and a written development plan (including timelines) to assist the employee in obtaining the necessary qualifications for reclassification is implemented. The plan is then forwarded to the department head for consideration and approval.~~

~~The department head reviews the written development plan. The plan may address the following elements:~~

- ~~• The knowledge and skills required to advance to the higher job title~~
- ~~• The development activities to be undertaken by the employee to acquire the additional knowledge and skills~~
- ~~• How the development activities facilitate the employee's transition in meeting the responsibilities of the higher job title~~
- ~~• The availability of resources necessary to facilitate professional development activities~~
- ~~• The impact of development activities on the employee's current workload and other employees in the department~~
- ~~• Proposed timelines for evaluation of the employee's progress in acquiring the knowledge and skills required for reclassification~~

~~Once the plan has been approved, the employee and his or her supervisor may meet at mutually agreeable intervals to discuss the employee's progress towards attaining the plan objectives.~~

~~If the employee has met the plan requirements and acquired the higher-level qualifications, the supervisor forwards a recommendation to the department head. If the department head agrees with the recommendation, he or she submits a request for reclassification to the Human Resources Office in accordance with local procedures. An employee may be reclassified within the same class series and department or organizational unit for which the original recruitment was conducted.~~

~~The Responsible Officer may develop other supplementary information to support the implementation of this policy. Such supporting documentation does not require the approval of the President.~~

VI. RELATED INFORMATION

- ~~• [Personnel Policies for Staff Members 2 \(Definition of Terms\)](#) (referenced in [Section II of this policy](#))~~
- ~~• [Personnel Policies for Staff Members 3 \(Types of Appointment\)](#) (referenced in [Sections II, III.E.2, and III.F.1 of this policy](#))~~
- ~~• [Personnel Policies for Staff Members 21 \(Selection and Appointment\)](#) (referenced in [Section III.C.5 of this policy](#))~~

- Reemployment of UC Retired Employees Into Senior Management Group and Staff Positions (Regents Policy 7706) (referenced in Section III.D.1 of this policy)
- Procedures – Reemployment of UC Retired Employees Into Senior Management Group and Staff Positions (Regents Policy 7706) (referenced in Section III.D.1 of this policy)
- Personnel Policies for Staff Members 2.210 (Absence from Work) (referenced in Section III.B.G.3 and Section V.B. of this policy)
- Personnel Policies for Staff Members 66 (Medical Separation) (referenced in Section III.B.G.3 and Section V.B. of this policy)
- Guidelines for Corrective Actions Related to Compensation Practices (referenced in Section IV.E. of this policy)
- Personnel Policies for Staff Members 81 (Reasonable Accommodation) (referenced in Section III.B.G.3 of this policy)
- Guidelines for Corrective Actions Related to Compensation Practices (referenced in Section IV.E of this policy)
- Guidelines for Resolution of Compensation and Personnel Issues Resulting from the Findings of Audits and Management Reviews (referenced in Section IV.E. of this policy)
- Personnel Policies for Staff Members 61, 62, 63, and 64, 65 and 67 (referenced in Section IV.E of this policy)

VII. REVISION HISTORY

Policy changes effective as of Month, Year:

- Added the following sections: General; Scope; Competitive Recruitment Process; Career Appointments; Limited, Floater, and Per Diem Appointments; Contract Appointments; Documentation
- Added Internal Promotion
- Removed Career Ladder Recruitment and Required Procedures language

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

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

- Personnel Policies for Staff Members 20 (Recruitment), dated January 1, 2006

The following document has been rescinded and is no longer applicable:

- Staff Personnel Policy 210 (Recruitment), dated January 1, 1981