

Performance Management, Corrective Action, and Dismissal Policy and Procedures (Non-Senate Academic Titles)

Introduction

The success of the University of California Riverside relies on establishing a culture of support and accountability. These procedures are designed to create a uniform approach for the fair and equitable treatment of academics, while ensuring that performance concerns and misconduct are addressed appropriately and in a timely manner.

The procedures and guidance listed throughout this document are to be a resource to employees, supervisors of Non-Senate Academic titles, and policy advisors alike in navigating the challenges related to employment issues and performance management.

While this document is to be taken as policy for the University of California Riverside (UCR), certain sections will be labeled appropriately as “Guidance Points” and reflect best practice to utilize whenever practicable. This distinction is elaborated further in Section H: APM 140 Grievance Rights.

Secondly, while this policy is intended to apply to the management of all Non-Senate Academics (hereby referred to as “employees”), for represented academic employees covered by a Collective Bargaining Agreement (CBA), this document applies only to the extent provided for in the CBA, in particular Sections E through G, which serve as local procedures for APM 150, covering non-represented titles only. Please refer to the appropriate CBA for represented academic employees for further information on their specific processes for Corrective Action, Dismissal, and Grievance procedures. See Appendix C for a list of represented titles and links to their respective contracts.

Table of Contents

Introduction

SECTION A: General Policy and Procedures

SECTION B: Performance Management

SECTION C: Formal Intervention

SECTION D: Performance Improvement Plans (PIPs)

SECTION E: Progressive Discipline and Corrective Action (APM 150)

SECTION F: Notice of Intent and Notice of Action Process (APM 150)

SECTION G: Dismissal of Non-Senate Academic Employees (APM 150)

SECTION H: APM 140 Grievance Rights

Appendix A: UC and Local Policy References

Appendix B: Non-Represented, Non-Senate Titles

Appendix C.1: Represented Employees and Links to Contracts

Appendix C.2: Addendum on Supervision of ASE Titles

Appendix D: Glossary of Terms

Appendix E: Illustration of NOI/NOA Process

Appendix F: Templates and Examples

Appendix G: Acknowledgment of Policy

Appendix H: Revision History of Policy

Section A: General Policy and Procedures

1. Standards and Responsibilities

- a. Non-Senate academic employees are expected to maintain a standard of academic responsibility which requires service consistent with the objectives of the University.
- b. All academic employees who are assigned a supervisory role must meet, at minimum, the responsibilities outlined in this entire policy. All academic titles in supervisory roles must receive this policy upon appointment, reappointment, and/or assignment of supervisory duties, and must acknowledge receipt. (See Appendix G)
- c. All academic employees, including supervisory employees, are held to, including but not limited to, the conduct and mandatory reporting expectations set forth in the following, as they apply to them:
 - i. [UC Regents Policy 1111 on Ethical Conduct](#)
 - ii. [UCR Principles of Community](#)
 - iii. [APM 015 - Faculty Code of Conduct \(Non-Represented Faculty\)](#)
 - iv. [IX Contract, Article 3 – Academic Responsibility \(Represented Unit 18 Faculty\)](#)
 - v. [Title IX – Sexual Harassment, Sexual Violence Policies and Procedures](#)
 - vi. [EEO/AA – Discrimination Policies and Procedures](#)
 - vii. [Anti-Bullying and Abusive Conduct \(UCR Policy 650-76 – Anti-Bullying\)](#)
 - viii. [Violence Prevention in the UCR Community \(UCR Policy 850-85 – Zero Tolerance for Violent Behavior\)](#)
 - ix. **Health and Safety** – All academic employees are responsible for departmental observance of proper health and safety regulations, in coordination with [Environmental Health & Safety](#), [local campus policies](#), and, if applicable, the appropriate CBA (see Appendix C).
 - x. **Reasonable Accommodation** – In the event of awareness of a disability or the need for accommodation by an employee, supervisors are to consult with UCR [Disability Management](#) and Academic Personnel, in accordance to [APM 711](#) or the appropriate CBA (see Appendix C).
 - xi. **Workers’ Compensation** – In the event of a workplace injury, the injury must be reported through the [Workers’ Compensation process](#).
 - xii. [Conflict of Interest](#) (as appropriate)¹ and [Conflict of Commitment](#) (as applicable under [APM 025/671](#))
 - xiii. **Other Academic Personnel Manual (APM) Policies:** <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/>
 - xiv. **Other UCR campus policies**, such as **Substance Abuse policy:** [Substance Abuse in the Workplace 650-83](#)
- d. Department Chairs are also held to the responsibilities in [APM 245: Appendix A - Duties of Department Chairs \(or Equivalent Officers\)](#).

¹ UCR reporting process for Conflict of Interest is found here: <https://research.ucr.edu/ori/pro>

2. No staff title position may be in a supervisory role over an academic title, unless authorized by the Chancellor, VPAP, or other appropriate designee.
 - a. Communication with an academic employee regarding performance, expectations, or non-educational direction should be given by the appropriate academic supervisory employee, unless it is a matter of university policy, procedure, or practice that the staff title position is responsible for doing so.
3. For documents covered under Sections B, E, F, and G, including, but not limited to Job Descriptions and Letters of Expectation, if a signature by the employee is not obtained for any reason, a Proof of Service form is to be completed by the supervisor or otherwise appropriate issuer. Delivered documents stand regardless of obtaining employee signature. It is recommended that relevant performance management documents (see Section B) be included as attachments with the appointment letter, whenever practicable.
4. The Deans and Academic Personnel Directors (or otherwise appropriate designees) in the Dean's Offices are responsible for the implementation of and compliance with this policy.
5. The Academic Personnel Office (APO) is responsible for the content, revision, and communication of this policy under delegated authority to the Vice Provost of Academic Personnel. Academic Employee Relations can be reached at 951-827-2935, or at APOMail@ucr.edu.
6. Nothing in this policy is intended to conflict with any represented employee's CBA. Please refer to the appropriate CBA for all applicable procedures, particularly for Corrective Action and Dismissal. (See Appendix C below for links to each CBA.)
7. This policy does not cover Non-Reappointment, Layoff, Reduction in Time, or related matters. Please refer instead to [APM 137](#), [APM 145](#), or the appropriate CBA (see Appendix C below).
8. Pre-employment matters including recruitment are not covered in this policy. Please refer to the [Academic Hiring Toolkit](#) and [UCR Best Practices in Hiring](#) for further guidance.
9. Mentorship is not covered as a topic under this policy. While the roles of mentor and supervisor often overlap, such as when a faculty supervisor also serves as a mentor for a Postdoctoral Scholar, this topic is reserved for policy, guidance, and resources provided elsewhere, such through [Graduate Division](#).
10. Additional resources can be found at <https://academicpersonnel.ucr.edu/employeerelations>.

Section B: Performance Management

1. Introduction

Performance management is the ongoing process of communication and feedback between a supervisor and employee that occurs throughout the employee's appointment period, in support of accomplishing the objectives of the assigned academic appointment.

Proper performance management is expected of all academic titles in supervisory roles. This section outlines procedure and guidance for executing effective performance management.

For the performance management of Academic Student Employees (ASEs), it is important to refer to the *Addendum on Supervision of ASE Titles* under Appendix C for supplemental information.

2. Job Descriptions

- a. Upon hire, all employees shall be given a Job Description appropriate for their classification. This may be on a formal job description document, or incorporated as part of another appropriate document, such as the Appointment Letter. An example job description is provided in Appendix F below.
- b. Job Descriptions must establish:
 - i. The full scope of the role, both as defined by policy for the title series and the role within the department/unit/lab (i.e. from research study, to running experiments, to setting up lab equipment).
 - ii. The essential functions and responsibilities of the role and generalities in how they are to perform them, including possible frequency.
 - iii. Disclaimer statement that other duties may be assigned within the scope of their title series.
 - iv. **Guidance Point:** *Job Descriptions should be flexible, but accurately describe the core duties and scope of the role. Avoid language that establishes a process (such as "must submit reports to Chair every Thursday"), or is specific to an individual manager's expectations (such as "be there promptly at 8am") These are more appropriate for Letters of Expectation (see in Section B.3 below). Alternative language for the examples above could be "...provides regular reports on results..." or "Meets established deadlines"*
- c. All Job Descriptions must be revised and resubmitted to the employee if there are significant changes to the employee's assigned duties. Soliciting feedback from the employee on the proposed changes is encouraged.
- d. All Job Descriptions must be approved by Academic Personnel in the Dean's Office or equivalent.

e. Non-Senate Faculty Titles

- i. At the Dean's discretion, there may be exemption from the requirement for a full Job Description for particular Non-Senate Faculty titles.
- ii. If work is defined outside of teaching, research, and service duties for the title, a brief duty statement is appropriate for the added responsibilities for Non-Senate Faculty.

3. **Setting Expectations**

a. **Written Letter of Expectations**

- i. Upon hire, the supervisor should establish written expectations for the conduct and performance of the employee in the form of a Letter of Expectations.
 1. This is a document that establishes firm standards of performance, conduct, and procedures for a given employee or unit. It can be broad or specific, at the supervisor's discretion.
 2. These expectations may be a shared set of responsibilities and conduct for an entire lab or unit. UC system-wide and local campus policies are encouraged to be referenced.
 3. An example is provided in Appendix F below.
- ii. **Guidance Point:** *It is advised that the individual receive both a broad set of expectations of a unit or lab, and one established specifically for their role. Expectations may be tied to timelines, such as meeting certain benchmarks at 30 days, 90 days, or 180 days.*
- iii. **Guidance Point:** Expectations of Employees

Expectations serve as an objective basis for evaluating employee performance. From performance standards, supervisors can provide specific feedback describing the gap between expected and actual performance. Comparing the employee's performance with mutually understood expectations minimizes ambiguity and facilitates providing meaningful feedback.

Expectations exist whether or not they are discussed or put in writing. When supervisors observe an employee's performance or conduct, they usually make a judgment about whether that behavior is acceptable. What a supervisor decides is acceptable and what is unacceptable is the first step in establishing written standards.

A recommended framework to utilize for writing expectations is the SMART method – Specific, Measurable, Achievable, Realistic/Reasonable, and Time-bound.

- b. Should expectations significantly change, written communication should be given to the employee by the supervisor.

- i. Supervisors should solicit feedback from the employee on any added, changed, or clarified expectations. Any consideration of the feedback provided is at the discretion of the supervisor.
- ii. **Guidance Point:** *Often a supervisor will meet with an employee to discuss expectations or other employment matters. Best practice is for the supervisor to email the employee the key points of what was discussed and any action items expected for the employee to follow-up with. This assists in ensuring the message was received and allows the employee to clarify expectations further, if needed.*
- c. In absence of written expectations, the employee may request written expectations, comprehensive or otherwise, from their supervisor at any time, to be communicated within 15 business days of the request.

4. Supervisor Responsibilities

- a. Supervisors are responsible for verifying the performance and monitoring conduct of an employee on a regular basis and taking the appropriate action to correct issues.
 - i. **Guidance Point:** *It is advised to address performance or misconduct issues immediately. However, reasoned judgment may be used to determine if action is needed. If no immediate action is taken, the performance issue should be noted by the supervisor to identify potential trends of behavior. (See Section B.4.c: Documenting Performance below.)*
 - ii. If supervisory responsibilities are divided among multiple titles, the department, program, or unit must clearly define the responsibilities of each supervisor.
- b. Supervisors must meet with their employee one-on-one (1:1), at least once a month to provide meaningful feedback and discuss the following items, as needed: ongoing issues, performance expectations, employee successes, and professional goals. While a meeting in-person is preferential, a call or virtual meeting may be an appropriate alternative venue. This meeting requirement may be waived only by mutual agreement each month.
 - i. **Guidance Point:** *The four main goals of providing one-on-one meetings are to:*
 1. *Provide positive feedback to reinforce successful behavior*
 2. *Address deficiencies and provide clear expectations and direction*
 3. *Establish greater rapport with the employee, to understand their challenges and to discern their motivations, expertise, and morale*
 4. *Solicit feedback from employees on their perception of the supervisor's own performance*

- ii. **Guidance Point:** *The Supervisor should present a welcoming, honest, and mutually respectful environment during meetings. This will foster more constructive dialog, reciprocal feedback, and cultivate greater respect from their employees.*
- iii. **Guidance Point:** *Team meetings are effective tools for supervisors to lay out shared expectations, identify shared goals, and receive feedback. They are not appropriate venues to single-out individuals' performance issues or other matters that should be delivered (and better received) in a one-on-one format.*
- iv. Non-Senate Faculty Titles
 - 1. Employees in a non-senate faculty title are exempt from meeting once per month, and instead should meet with their supervisor or faculty designee at least once per quarter. This meeting requirement may be waived only by mutual agreement each quarter.
 - 2. Continuing Lecturer and Senior Continuing Lecturer titles are exempt from meeting once per quarter, but shall not be reasonably denied a request to meet with their supervisor at least once per academic year. Additionally, group sessions to keep all Non-Senate faculty informed are encouraged.
 - 3. If an employee is in both a faculty title and a non-faculty, non-Senate academic title, then reasonable judgment by the supervisor regarding the frequency of these meetings is appropriate, but no less frequent than once-per-quarter.
- c. Documenting Performance
 - i. All employment actions based on employee behavior, positive or negative, should be based on factual documented information.
 - ii. From day one of employment of the employee, all supervisors are expected to appropriately document behavior or attempts to resolve issues. These events can be negative or positive.
 - iii. **Guidance Point:** *When a supervisor believes an employment action is necessary or appropriate, their first thought should be: "Is there documentation that tracked the trend or noted the behavior?" Logging is critical to establishing "good cause" for a corrective action, or simply to better remind the supervisor of performance, positive or negative, during the time of review.*
- d. Accounting for Performance in Academic Reviews²
 - i. At the time of the Performance Review (such as Advancement or Quinquennial), all relevant positive and negative performance of the employee should be weighed in the supervisory letter (or otherwise appropriate communication as established by local practice).

² For represented employees, see the relevant "Personnel Files" article in the appropriate CBA (Appendix C) for appropriate application of this section.

- ii. Corrective Actions delivered to the employee during the relevant review period must be included in the corresponding review file.
- e. Management Style and Communication with Employees
 - i. It is the responsibility of each supervisor to identify the most effective way to communicate to, direct, motivate, coach, counsel, and hold accountable each individual employee reporting to them.

1. **Guidance Point:** Appropriateness of Leadership - Management Style

Not all employees respond to the same management style. When supervisors start having difficulty managing or communicating with an employee, a change of approach may be appropriate. Supervisors should be aware of different management styles, and when to use them. Supervisors should contact Academic Employee Relations in APO for additional guidance and resources on effective management.

Key Principle: Successful leaders change their style to adapt to the employee, and do not expect the employee to adapt to the management style of the leader.

- ii. The University recognizes the right of supervisors to direct the department/lab/unit they oversee as they see fit. However, this right must be exercised in tandem with their responsibilities in this policy, especially Section B.4.e.i above.

1. **Guidance Point:** Change Management

When a new supervisor or new direction is implemented, supervisors should take time to get their employees “bought in” on vision and expectations for their department/lab/unit. Conflict and resistance are common among long-established employees when new leaders come in with big changes in direction or style; managing this transition is key to a more harmonious and productive workplace.

Sometimes leaders need to tailor their new vision with the realities of the existing culture. As change progresses, recognizing employee feedback and allowing for complaints to be heard can actually assist in reducing resistance.

Supervisors should contact Academic Employee Relations in APO at APOMail@ucr.edu for additional guidance and resources on effective change management.

- iii. Delivering Feedback on Performance or Conduct

1. General feedback provided to employees on performance or conduct must be constructive and useful; avoiding statements that are vague, globalized, use inferences, are indirect, or unrelated to job duties.
2. **Guidance Point:** *When delivering feedback, supervisors should focus on:*
 - i. *Behavior, not personality*
 - ii. *Description, not judgment*
 - iii. *Observation, not inference*
 - iv. *Impact, not punishment*
 - v. *Guidance, not abdication*

A directional statement of “figure it out” is counter-productive to improving a situation. Employees should be given concrete advice, guidance, or direction as part of feedback.

iv. Email Communication

1. **Guidance Point:** *Email is recognized as a necessary tool in everyday work. However, tone and intent may be lost in this format. It is strongly advised that supervisors interact one-on-one with employees whenever possible.*
2. Significant performance or conduct concerns should not initially be addressed in email, whenever practicable. A 1:1 meeting is the most appropriate venue to discuss these matters.
 - a. **Guidance Point:** *A follow-up email outlining the conversation or key points is highly recommended (See Section B.4.a.i guidance above).*
3. Email chains that become belabored and/or contentious between an employee and supervisor, or between employees, should be ceased by the supervisor and the items resolved through a prompt phone call or meeting. (See Section B.4.e.v – Conflict Management below.)

v. Conflict Management

1. **Conflict** between a supervisor and an employee, or between employees, arises when challenges surrounding communication occur. These are not necessarily related to performance or conduct. **Conflict Management** is the act of resolving these communication issues.
2. Supervisors encountering conflict should make every effort to deescalate and remain professional. Supervisors should be aware of the following:
 - a. If the conflict contains one employee’s claim that they are facing discrimination, harassment, or related activity, that needs to be immediately reported to [Office of Title IX, Equal Opportunity and Affirmative Action](#).

prior to deciding about use of specific interventions, such as Formal Intervention or Corrective Action.

1. *Example 1: An employee constantly running late to their scheduled time in the lab may be related to extraneous family obligations, and may benefit from a change in schedule, rather than being disciplined.*
2. *Example 2: An employee is not performing to expectations. Upon speaking to the individual, it may become clear that they were not understanding what was expected, or lacked the direction, tools, or resources to perform their job adequately. In this case, discipline is not necessarily appropriate, and only Formal Intervention may be needed.*

Section C: Formal Intervention

1. General Principles

- a. “Formal Intervention” is defined in this policy as the first attempt(s) by management to correct behavior (performance, misconduct, or other employment issue), generally prior to the issuance of Corrective Action (see Section E below).
- b. No type of Formal Intervention is a Corrective Action (discipline). The types of Corrective Actions (discipline) are specifically defined in Section E (APM 150) or the appropriate CBA listed in Appendix C for represented employees.
- c. Formal Interventions are actions supervisors use to exercise management rights, including to establish, maintain, modify, and enforce standards of performance and conduct.
- d. Formal Intervention (or other appropriate action) must be issued for an Academic Employee following an unsatisfactory performance review.

2. Types of Formal Interventions include, but are not limited to, the following:

a. Verbal Counseling

Conversation with the employee to address performance deficiencies or specific incidents. Also known as an informal spoken warning.

- i. **Guidance Point:** *Verbal Counseling is the most common form of Formal Intervention, and is usually the first step in addressing issues, depending on the severity of the conduct or performance being addressed.*

b. Counseling Memo

Discussion of performance concerns and expectations also documented in writing and provided to the employee for their reference, generally in email or letter format.

- i. **Guidance Point:** *A Counseling Memo is helpful in ensuring that clear, unequivocal communication has taken place, as verbal counseling may leave employees with unresolved questions or misunderstanding of intent. However, a Counseling Memo normally should be focused on just one or two issues. If performance or conduct is lacking in multiple areas, a full (re)issuing of a Letter of Expectations is highly advised.*

c. **Letter of Expectations**

A formal document that establishes firm standards of performance, conduct, and procedures for a given employee or unit. (See Section B.3.a above)

- i. **Guidance Point:** *(Re)Issuing a Letter of Expectations may become necessary when it is determined that an employee is either not clear on what was intended (even with an initial issuing of such a letter on hire) or a firm reminder of what was expected. These follow-up issuances can be useful in resetting the understanding that both the employee and the supervisor have of their professional relationship and the employee's role.*

d. **Performance Improvement Plan ("PIP")**

A formal document that establishes firm standards of performance, conduct, and procedures expected of the employee's appointment, with an established reasonable timetable for improvement. Language focuses on clear and measurable expectations and the evaluation of results. Also known as a Remediation Plan.

See Section D: Performance Improvement Plans (PIPs) below.

Section D: Performance Improvement Plans (PIPs)

1. General Principles

- a. A **Performance Improvement Plan (PIP)**, also known as a **Remediation Plan**, is a specialized type of Letter of Expectations and performance management tool. It is designed to give an employee clear identification of unsatisfactory behavior and establish measurable goals to demonstrate improvement within a reasonable period of time.
- b. A PIP may be implemented for an Academic Employee following either an unsatisfactory performance review or the identification of behavior that necessitates immediate improvement to remain satisfactory, such as, but not limited to, a decline in the quality of performance or failure to meet performance benchmarks.
- c. Following completion of the overall time period established in the document, a PIP evaluation shall be performed by the supervisor. (*See Section D.6 below.*) Alternatively, this may take the form of a subsequent academic review (including off-cycle).

- d. All PIPs must be reviewed and approved by the Academic Personnel Office prior to issuance.
- e. For represented Unit 18 Faculty and Unit 17 Librarian employees, please also refer to their appropriate CBA in Appendix C for additional information and requirements around the use of Remediation Plans (PIPs).

2. Essential Elements of a PIP

- a. Clear and measurable expectations of performance and/or conduct, in alignment with the employee's job description and/or previously issued letter of expectations
- b. How success will be measured/evaluated
- c. Timeframe specifying within which the result/outcome should be accomplished
- d. Commitment by Supervisor to hold regular meetings with the employee on a weekly, bi-weekly, or otherwise appropriately APO-approved timeframe
- e. Identification of tools, resources, and training for the employee

3. Timetables in a PIP

- a. The PIP shall establish a reasonable timetable to demonstrate improvement in all employee behavior areas established.
- b. The completion of the entire plan is to be no less than a 90-day period (or one academic quarter as appropriate). Individual elements within the PIP may establish reasonable timetables below 90-days.
- c. The employee may request an extension to any timetable within the PIP before the deadline has passed. Denials of such requests by the immediate supervisor may be appealed by the employee to the second-line supervisor within 2 business days of being informed of the denial decision. After a reasonable review, the second-line supervisor may adjust any and all timetables within the PIP, in compliance with this policy. The second-line supervisor decision on timelines is then final, and non-grievable under APM 140.

4. Supervisory Responsibility in a PIP

- a. A supervisor must demonstrate commitment to the employee's improvement during the PIP period. This includes, but is not limited to, an "open door" policy (*see Appendix D below*); active participation in identifying training, tools, and resources for the employee; and providing clear progress updates during regular communication.
- b. A PIP must also establish regular meetings between a supervisor and the employee, to be no less frequent than bi-weekly, but preferably weekly. If meetings or the frequency of meetings are impracticable, alternative arrangements may be determined and approved by APO.
- c. In some cases, the supervisor may delegate some or share responsibilities in this section to another individual, such as a subject-matter expert or faculty designee. In these cases, the individual should formally report progress to the supervisor, and the supervisor should

participate in the plan's established regular meetings, at least once a month (or once per quarter, pursuant to 4.d below).

d. Non-Senate Faculty – Teaching Performance

- i. Non-Senate Faculty under a PIP (Remediation Plan), whose duties identified for improvement are solely teaching-related, shall instead meet with their appropriate faculty supervisor or faculty designee no less frequently than once-per-month.
- ii. Classroom observations to be performed by the faculty supervisor or otherwise appropriate designee(s) shall be incorporated into the PIP (Remediation Plan).

5. Issuance of the PIP

- a. A PIP must be delivered in writing to the employee by the supervisor, in-person whenever practicable. The employee must sign in acknowledgement of receipt or otherwise a "Proof of Service" form is to be completed by the supervisor (See Appendix F).
- b. Within 7 calendar days of the issuance of the PIP, the employee may submit input or request clarification of language, expectations, timetables, or other elements within the PIP in accordance with this policy. The University will have 14 calendar days from the issuance of the PIP to revise the document, as needed. The employee must sign in acknowledgement of receipt of any new version, unless sent via email and a "Proof of Service" form is completed by the supervisor (See Appendix F).
 - i. New elements unrelated to existing items in the PIP are not permitted to be added to any revisions; and instead should be issued in a separate PIP document with its own timetable for completion, if rising to the standard outlined in D.1.b above.
- c. The issuance of a PIP in and of itself is non-grievable under APM 140. See Section H: APM 140 Grievance Rights for more information.

6. PIP Evaluation

- a. At the conclusion of the PIP period, the supervisor has no more than 14 business days to issue a written report to the employee, evaluating the results of their improvement efforts, unless an academic review is initiated.
- b. This report should outline the results of each improvement area identified in the PIP. For each section, a conclusion should be written that clearly communicates if completed by the employee and whether the PIP overall was either "Satisfactory", "Partially Met", or "Unsatisfactory".
- c. The report must include any further recommendations based on the outcome(s), which may include:
 - i. Further non-time bound expectations or action items for follow-up based on the original PIP;

- ii. Extension of the PIP, which may be for no less than thirty (30) more days;
 - iii. Formal Corrective Action (*see Section E below*).
- d. The PIP Evaluation should be delivered and discussed with the employee in a meeting.
- i. If appropriate, formal Corrective Action may be delivered simultaneously with the PIP evaluation, in accordance with applicable provisions in Section E below or the appropriate CBA.

Section E: Progressive Discipline and Corrective Action (APM 150)

1. General Principles

- a. This section of the policy provides the standards and procedures for instituting corrective action for **Non-Senate, non-represented academic employees**, in accordance with [APM 150](#).
- b. For **Non-Senate, represented academics**, instead refer to their appropriate CBA for equivalent Corrective Action procedures. (See Appendix C below for links to each CBA.)
- c. Corrective Action may be instituted for *good cause*, including but not limited to: misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy.
- d. All Corrective Actions shall only be considered in consultation with the Department Chair, equivalent, or higher authority, and the Dean's Office Academic Personnel Director (or designee); or APO in absence of either.³
- e. The types of Corrective Action are:
 - i. Written Warning
 - ii. Written Censure
 - iii. Suspension Without Pay
 - iv. Reduction in Salary
 - v. Demotion
- f. All Corrective Actions, including related items such as supporting documentation and employee responses, shall be stored in the Personnel File.
- g. A "Proof of Service" form must be filled out for all Corrective Actions delivered, unless the employee's signature is obtained. See Appendix F for Proof of Service template.

2. Investigatory Leave

- a. Investigatory Leave, also known as Administrative Leave, includes removal from University premises and a debarment with pay from appointment responsibilities. It is not considered Corrective Action.

³ For certain types of misconduct, such as violations of University anti-discrimination or harassment policies, corrective action may be taken only in accordance with the applicable University policy, which may require specific procedural steps to be taken and approvals by designated campus officials.

- b. An employee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating conduct, which in the judgment of the Vice Provost of Academic Personnel requires removal of the appointee from University premises.
 - i. While on such leave, the employee's return to University premises without written permission may create independent grounds for dismissal.
 - ii. Being placed on investigatory leave must be documented in writing.
- c. During this leave, the University shall establish facts and make a determination on the appropriate type of Corrective Action to issue, if any. All relevant Corrective Action procedures, as outlined below, including the Notice of Intent process, shall still apply.
- d. These Investigatory Leave provisions are non-grievable under the APM 140 grievance process.

3. Progressive Discipline – Principle of Corrective Action for Academics at UC Riverside

- a. Progressive discipline is the process of using increasingly severe steps or measures when an employee fails to correct a problem after being given a reasonable opportunity to do so.
 - i. **Guidance Point:** *The corrective action response should be commensurate with the behavior that precipitated it. For example, a Suspension Without Pay may not be the appropriate action for an individual being issued corrective action for the first time over repeatedly being late. However, if the employee continues to be late after an initial Written Warning, then Suspension Without Pay may be more appropriate.*
- b. Under some circumstances, it may be appropriate to skip or repeat progressive corrective actions, or move immediately to Dismissal.
 - i. **Guidance Point:** *A written warning need not precede more serious corrective action when, for example, an employee knows or reasonably should have known the conduct or performance was unsatisfactory or in direct violation of university policy or procedure; or when the misconduct is severe.*
 - ii. **Guidance Point:** *Every disciplinary case is unique, and the appropriateness of the initial corrective (or dismissal) action in response should be weighed by the severity or frequency of the behavior, along with the context that the behavior took place in.*
- c. **Guidance Point:** *Depending on the behavior, Corrective Actions that are over two years old are not recommended to be base-building towards a more severe Corrective Action step or Dismissal. However, this would not preclude it from being referenced in subsequent discipline material or otherwise appropriate employment-related documents.*

4. Written Warnings

- a. A Written Warning is a document that informs the employee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency.
 - i. **Guidance Point:** *Depending on the frequency and severity of the behavior, written warnings are often the first disciplinary step to give the employee notice that the behavior must be corrected immediately, after any appropriate formal intervention has failed.*
 - ii. Written Warnings shall include the specific policy, procedure, and/or expectations violated, including referencing any prior attempts at formal intervention efforts with the employee.
 1. Any supporting documentation for the Written Warning shall be provided as attachments.
 - iii. Written Warnings shall include the required steps to correct the behavior, with a timetable for improvement appropriate for the behavior.
 1. **Guidance Point:** *Performance issues may necessitate a longer timeframe of correction, while issues of immediate policy violation (for example) may require immediate compliance.*
 - iv. Written Warnings must include the following language at the conclusion of the document:

“Further delinquency in this area may lead to further corrective action, up to and including dismissal, pursuant to APM 150 and the UCR Performance Management, Corrective Action, and Dismissal Policy and Procedures (Non-Senate Academic Titles).”
 - v. Written Warnings must be delivered in a meeting between the supervisor and employee, whenever practicable. If the employee’s signature is request on the letter, the employee shall be informed that signing acknowledgement does not mean agreement with the warning, through the following language: *“By signing, you acknowledge that you received this document. Your signature does not indicate agreement or disagreement with the content of this document.”* If the employee refuses to sign, the discipline still stands. A “Proof of Service” form must then be completed by the supervisor, per Section E.1.g above.
- b. Employees have the right to draft a written response to the Written Warning document and submit it to their supervisor within fourteen (14) calendar days from the date of issuance.
 - i. The written response from the employee will be included with the Written Warning, stored in the Personnel File.

- ii. Any consideration of the written response is at the sole discretion of the University.

5. Written Censure

- a. A Written Censure is a formal written expression of institutional rebuke that contains a description of the censured conduct.
- b. In the context of this policy, a Written Censure is differentiated from a Written Warning in the following ways:
 - i. A Written Censure is inherently a “Final Warning”, with Dismissal being the next action. This shall be communicated to the employee in the Written Censure notice.
 - ii. A Written Censure generally should be issued in writing by a Dean or higher administrative authority on behalf of the University of California, Riverside.
- c. A Notice of Intent to issue a Written Censure is required prior to delivery. (*See Section F: Notice of Intent and Notice of Action Process below*)
- d. Written Censures must be delivered to the recipient in-person, whenever practicable, by both a Chair, and Associate/Divisional Dean or higher authority. The Dean, or a higher authority, may assign other appropriate designees, as needed.
- e. A copy must be maintained in the Personnel File. The University may specify, in the writing, a limited period of time for the censure to be maintained in the personnel record.
- f. **Guidance Point:** *Written Censures are an appropriate response to gross violations of policy or other misconduct.*

6. Suspension Without Pay

- a. A Suspension Without Pay is debarment from appointment responsibilities without pay for a stated period of time.
- b. Unless otherwise noted, the terms of a suspension will include loss of normal employee privileges such as access to University property and parking and library privileges.
- c. A Notice of Intent to issue a Suspension Without Pay is required prior to implementation. (*See Section F: Notice of Intent and Notice of Action Process below*)
- d. **Guidance Point:** *A Suspension Without Pay should normally be considered for severe cases, or repeated behavior not corrected by previous corrective action.*
- e. Nothing shall preclude the University from considering other employment actions instead of a Suspension Without Pay, up to and including Dismissal.

- f. A Suspension Without Pay shall only be considered with justification submitted to APO for approval.
- g. Suspension Without Pay shall not be used in place of any “Investigatory Leave” or “Administrative Leave” for the purpose of investigating conduct by an employee.

7. Reduction in Salary

- a. A Reduction in Salary does not include a change in rank or step.
- b. The amount and duration of the reduced salary shall be specified in writing.
- c. A Notice of Intent to issue a Reduction in Salary is required prior to implementation. (*See Section F: Notice of Intent and Notice of Action Process below*)
- d. Reductions in Salary shall only be considered with justification submitted to APO for approval.

8. Demotion

- a. A demotion is an employee’s compulsory reduction to a lower rank or step with a corresponding reduction in salary.
- b. Demotions shall only be considered after an unsatisfactory performance review. If the employee is subject to Peer Review for performance evaluations, that process shall be advisory to the supervisor authorized to issue the corrective action.
- c. A Notice of Intent to issue a Demotion is required prior to implementation. (*See Section F below*)
- d. Demotions shall only be considered with justification submitted to APO for approval.

Section F: Notice of Intent and Notice of Action Process (APM 150)

1. General Principles

- a. The Notice of Intent process provides an employee due process in the face of specific Corrective Actions and Dismissal.
- b. For **Non-Senate, represented academics**, refer to their appropriate CBA for the Notice of Intent and Notice of Action procedures. (See Appendix C below for links to each CBA.)
- c. The following types of actions require a Notice of Intent process to be utilized:
 - i. Written Censure
 - ii. Suspension Without Pay
 - iii. Reduction in Salary

- iv. Demotion
 - v. Dismissal
- d. No Notice of Intent is required for the issuance of a Written Warning.
 - e. Employees may represent themselves or together with another person at any stage of the Corrective Action or Dismissal process when a Notice of Intent is issued.

2. Issuing a Written Notice of Intent (“NOI”)

- a. The University shall provide a written Notice of Intent to the employee prior to initiating the Corrective Action or Dismissal.
- b. The Notice shall state:
 - i. the intended action, including reasons for the action and the proposed effective date;
 - ii. the basis of the charges, including copies of pertinent materials supporting the charges;
 - iii. the appointee’s right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and
 - iv. the name and contact information of the person to whom the appointee should respond.
- c. The proposed date of the action shall not be less than fifteen (15) days after the issuance of the Notice of Intent. Appropriate time for the review of the employee response shall be taken into consideration (see Section F.3 below).

3. Response to Written Notice of Intent

- a. The employee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent.
- b. The response, if any, shall generally be reviewed by the second-line supervisor, or Associate/Divisional Dean, whichever is of lower authority. If the resulting reviewer would be an individual who was involved with the decision to institute the action, the next higher authority should be assigned as the reviewer. In normal circumstances, this should not be higher than the Dean. In certain cases, the reviewer may be designated from outside of the line of supervision instead.
- c. The reviewer shall have no more than fourteen (14) calendar days to review the employee response and issue a recommendation that is either concurring with the proposed action, reducing the proposed action, or rejecting the proposed action. In some circumstances, the reviewer may ask for clarification or additional information, prior to issuing their decision.

- d. If no response from the employee is received, or is not timely, the proposed action in the Notice of Intent stands, and no review is required.
- e. Nothing in this policy prevents a Notice of Action (Written Censure, Suspension Without Pay, etc.) to be issued within one (1) calendar day following the receipt of the response.

4. Written Notice of Action (“NOA”)

- a. If the University determines to institute the Corrective Action or Dismissal following the review of a timely response, if any, from the appointee, the employee shall be issued a written Notice of Action stating the Corrective Action or Dismissal to be taken and its effective date. The effective date may be the same day as the issuance of the NOA.
- b. The written Notice of Action must be issued within thirty (30) calendar days of the date of issuance of the original written Notice of Intent, unless an extension had been granted for any stage of the Notice of Intent process.
- c. The Notice of Action may not include an action more severe than that described in the Notice of Intent.
- d. The Notice of Action also shall notify the appointee of the right to grieve the action under APM 140.
- e. A copy of the Notice of Action shall be placed in the employee’s Personnel File.

5. Extension of Time

- a. Upon written request, and prior to the expiration of any time limit stated in this policy, the VPAP, or a higher authority if necessary, may grant extensions.
- b. Time limits which expire on days that are not business days shall be automatically extended to the next University business day.

Section G: Dismissal of Non-Senate Academic Employees (APM 150)

1. General Principles

- a. Dismissal is the termination of an appointment for good cause initiated by the University prior to the ending date of appointment.
- b. For **Non-Senate, represented academics**, instead refer to their appropriate CBA for Dismissal procedures. (See Appendix C below for links to each CBA.)
- c. Dismissal actions shall be for good cause, including but not limited to: misconduct, continued unsatisfactory work performance, dereliction of duty, or violation of University policy.

- i. **Guidance Point:** While dismissal may be necessary as an immediate step due to severity of the behavior, alternative intervention options, from formal intervention to progressive corrective action, should be considered.*
- d. A Notice of Intent of a Dismissal action is required prior to delivery (*See Section F above*)
- e. For Non-Senate academic employees who are subject to peer review for performance evaluation, dismissal for unsatisfactory work performance shall involve the regular peer review process (at normal time or off-cycle). Such peer review shall be advisory to the supervisor authorized to institute the dismissal action. Peer reviewed titles are defined in the relevant APM article governing title series.
- f. The Dismissal of an employee shall only be considered with approval from the Department Chair, the Dean's Office AP Director, and the Academic Personnel Office.

2. Procedures for Dismissal of a Non-Senate Faculty Employee (APM 150-40)

Pursuant to Regents' Bylaw 40.3(c), all Non-Senate faculty employees are to follow the procedures set forth below for Dismissal. For the affirmative list of titles considered to be "Faculty", see [APM 110, Section 110-4\(15\)](#).

- a. Regents' Bylaw 40.3(c) provides that termination of the appointment of a faculty member before the expiration of their appointment shall be only for good cause, after an opportunity for a hearing before a properly constituted advisory committee of the Academic Senate.
 - i. A non-Senate faculty appointee is entitled to select only one grievance review mechanism, either APM 140 or an Academic Senate hearing as provided by Regents' Bylaw 40.3(c).
- b. In the written Notice of Intent for Dismissal of a Non-Senate faculty title, the employee should be notified of the opportunity to elect a hearing before the properly constituted advisory committee of the Academic Senate, pursuant to Regents' Bylaw 40.3(c).
 - i. The notice shall state: "You have the right to elect a hearing before the Academic Senate on this proposed dismissal, prior to the issuance of any Notice of Action. If you elect a hearing with the Academic Senate, you waive your right to grieve the final action under APM 140."
- c. If a Non-Senate faculty employee elects an Academic Senate hearing, good cause shall be defined as set forth in APM 150-0.
- d. If a non-Senate faculty employee elects an Academic Senate hearing, and if the elected hearing has not commenced by the proposed date of dismissal, the proposed date is automatically extended for an additional thirty (30) days.
- e. If the hearing has not commenced by the ending date of the appointment, the dismissal becomes a non-reappointment, effective at the end of the appointment. The employee has

thirty (30) calendar days from the ending date of the appointment to instead grieve the non-reappointment pursuant to APM 137 and APM 140.

- f. The Academic Senate reserves the right to refuse a hearing, pursuant to Senate Bylaws. Should a hearing be refused, the employee shall regain the right to grieve under APM 140.

Section G: APM 140 Grievance Rights

1. In general, the listed policy and procedures in this document are grievable under [APM 140](#). Refer to [UCR's local procedures for the APM 140 grievance process](#).
2. **Limitation on Grievability**
 - a. [APM 140](#) expressly limits grievability of all APM 150-related actions, including the issuance of a Written Warning or Dismissal. A grievant may only file a complaint alleging “a violation of applicable University rules, regulations, or Academic Personnel policies [that] adversely affected the appointee’s then-existing terms or conditions of appointment” (APM 140-4.c). All APM 140 grievances in relation to this policy must be filed under 140-4.a(2), and define the adverse effect to the employee’s then-existing terms or conditions of appointment.
 - b. Any item listed as a “Guidance Point” in this document is non-grievable. These statements reflect neither a policy nor procedure.
 - c. The issuance of any Formal Intervention in and of itself, including a Performance Improvement Plan (PIP), is non-grievable; only allegations of violation of respective process, as outlined in the relevant sections may be grieved. The issuance of Formal Intervention does not, in and of itself, have an adverse effect on the employee’s then-existing terms or conditions of appointment, and is recognized as a management right.
 - d. Investigatory Leave is non-grievable.
3. During initial grievance review, the campus Grievance Liaison is to reject complaints that are non-grievable, including but not limited to, items defined in Section G.2 above.
4. [APM 140-31](#): Informal Resolution by the Grievant:
 - a. Before filing a Step II formal grievance, employees are encouraged to attempt an informal resolution with the supervisor or responsible administrator whose action is being grieved.
 - b. If informal resolution with the supervisor or responsible administrator is attempted but unsuccessful, a grievant may request that the Grievance Liaison or Academic Employee Relations assist in resolving the grievance. Where appropriate, the Grievance Liaison or Academic Employee Relations may work with all parties to reach an informal resolution.
 - c. Attempts at informal resolution for a grievance do not extend the time limits for filing a formal grievance unless a written extension is granted by the Grievance Liaison.

Appendix A: UC and Local Policy References

Please see the following for further information on process, procedure, and standards of conduct for all employees, as they apply to them:

Academic Personnel Manual (APM) References:

Complete APM: <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/>

- [APM 015 – Faculty Code of Conduct \(Non-Represented Faculty\)](#)
- [APM 110 – Academic Personnel Definitions](#)
 - For list of Faculty Titles; see Section 110-4(15).
- [APM 140 – Non-Senate Academic Appointees/Grievances](#)
 - Please refer to: [UCR Local Procedures for filing APM 140 Grievances](#)
- [APM 150 – Non-Senate Academic Appointees / Corrective Action and Dismissal](#)

Conduct Standards and Guidance:

- [Regents Policy 1111 - Policy on Statement of Ethical Values and Standards of Ethical Conduct](#)
- [UCR Principles of Community](#)
- [APM 015 – Faculty Code of Conduct \(Non-Represented Faculty\)](#)
 - [IX Contract, Article 3 – Academic Responsibility \(For represented Unit 18 Faculty\)](#)
- [Title IX – Sexual Harassment, Sexual Violence Policies and Procedures](#)
- [EEO/AA – Discrimination Policies and Procedures](#)
- [Bullying and Abusive Conduct \(UCR Policy 650-76 – Anti-Bullying\)](#)
- [Violence Prevention in the UCR Community \(UCR Policy 850-85 – Zero Tolerance for Violent Behavior\)](#)

Academic Personnel Office: <https://academicpersonnel.ucr.edu/>

- Academic Employee Relations: <https://academicpersonnel.ucr.edu/employeerelations>
- Non-Senate Academics: <https://academicpersonnel.ucr.edu/Non-Senate-Academics>
- APO General Policies: <https://academicpersonnel.ucr.edu/policies>

UC System-Wide Bargaining Unit Contracts:

<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/index.html>

See Appendix C below.

Other UCR campus policies: <https://fboapps.ucr.edu/policies/>

Pre-Employment and Recruitment:

- [Academic Hiring Toolkit](#)
- [UCR Best Practices in Hiring](#)

Additional resources related to the matters in this policy are posted at:

<https://academicpersonnel.ucr.edu/Non-Senate-Academics>

Appendix B: Non-Represented, Non-Senate Titles

The following title series are Non-Represented, Non-Senate titles, and are therefore subject to APM 150 policy and procedures, including local policy as outlined in Sections E-H above:

Visiting Appointments

Health Sciences Clinical Professor Series

Adjunct Professor Series

Professional Research Series (Supervisor/Managers, Visiting, or WOS only)

Project Scientist Series (Supervisor/Managers, Visiting, or WOS only)

Agronomist Series

Specialist (Supervisor/Managers, Visiting, or WOS only)

Specialist in Cooperative Extension Series

Cooperative Extension Advisor Series

Continuing Education Specialist

Clinical Associate Series

Faculty Fellow Program Series

Librarian Series (Supervisor/Manager roles only)

Associate and Assistant University Librarian

Academic Administrator Series

Academic Coordinator Series

If a title or series is not listed above, nor covered in *Appendix C: Represented Employees*, please contact academicpersonnel@ucr.edu for further guidance on eligibility for PMCAD/APM 150 procedures.

Appendix C: Represented Employees and Links to Contracts

Nothing in this policy is intended to conflict with any represented employee’s CBA. Please refer to the appropriate CBA for all applicable procedures, particularly for Corrective Action (Discipline) and Dismissal:

Represented Unit Titles	Bargaining Unit Name	Link to Contract	Link to Corrective Action and Dismissal Article
Lecturers (Non-SOE) Supervisors of Teacher Education (STEs) Other related Titles	Unit 18 (IX) Non-Senate Instructional Unit	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/contract.html	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_30_discipline-dismissal_2016-2020.pdf
<u>Non-Supervisory:</u> Librarian Associate Librarian Assistant Librarian Titles	Unit 17 (LX) Professional Librarians Unit	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/contract.html	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/docs/lx_2019-2024_23_corrective-action-dismissal.pdf
Associate In ___ Reader Teaching Assistant Teaching Fellow Tutor, Remedial Tutor Titles	Academic Student Employees (ASE) (BX)	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html	Article 8 Discipline and Dismissal
Graduate Student Researcher (GSR) Titles	Graduate Student Researchers Unit (UAW) (BR)	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/br/contract.html	Article 6 Discipline and Dismissal
All Postdoc Titles Titles	Postdoctoral Scholars (CASE/UAW) (PX)	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/px/contract.html	Article 5 Discipline and Dismissal
<u>Non-Supervisory, Non Visitor Titles</u> <u>for:</u> Prof. Researchers Project Scientists Specialists Coord. Of Public Prog. Other titles	Academic Researchers Unit (ARU) (UAW) (RA)	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/index.html	https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/docs/ra_2019-2022_06_corrective-action-and-dismissal.pdf

Please contact Academic Employee Relations prior to instituting any Corrective Action/Discipline or Dismissal of a Represented Academic Employee: ✉: APOMail@ucr.edu

Contact campus Labor Relations at labor.relations@ucr.edu if both Academic Employee Relations or the Academic Personnel Director in the appropriate Dean’s Office are unavailable. Academic Employee Relations should be copied on all communications sent to alternative contacts.

Appendix C: Represented Employees and Links to Contracts (*Continued*)

Addendum on Supervision of ASE titles

1. **Setting the Expectations** (Section B.1 through B.3 above)

Academic Student Employees (ASEs) will be provided with the **Description of Duties (DoD) form** by their Department, Dean's Office, or equivalent, which shall outline the expectations of the supervisor for the individual course or role. These expectations should be centered on the specifics, such as required lecture attendance, lab and discussion responsibilities, when grading is due, and office hours frequency. The DoD form satisfies the requirements of a Letter of Expectation (Section B.3 above). ASE Job Descriptions are to be included in the Graduate Division's [Graduate Student Employment Manual](#), and all appointment letters shall include a link to this document.

All assigned responsibilities must be in accordance with the maximums established in [BX Article 32 – Workload](#). Additionally, it is highly advised to provide further details to the ASE regarding expected hours for each assigned task, such as how long it should reasonably take to complete the grading for a specific assignment. During required 1:1 meetings with their ASEs, supervisors should solicit feedback on the required duties and expectations, particularly as they impact an ASE's workload. Pursuant to Section B above, 1:1 meetings between an ASE and their supervisor shall be no less frequent than monthly; except for Associate In titles, which are no less than quarterly.

2. **Department Considerations – Workload**

- a. Supervisory responsibilities should be clearly defined by the department or program, respective to workload assignments. Responsibilities may be shared between titles.
- b. For all Unit 18 Faculty (see Appendix C), workload assignments should be considered pursuant to the standard in [IX Article 24, Section A.3](#) regarding “extensive supervision of academic student employees (ASEs)”.
- c. ASEs are responsible to initiate discussions with their supervisor as soon as they anticipate any workload issues that would result in a violation of [BX Article 32 - Workload](#). If the workload cap is exceeded, the supervisor is responsible for the remainder of the workload.

3. **Supervisory Responsibility** (Section B.4 above)

Supervisors are responsible for the oversight of their student employee and taking the appropriate action to correct issues. In some circumstances, the appropriate action may be to refer issues to the Department Chair or equivalent.

- a. **Guidance Point:** *When performance or conduct issues arise, supervisors should discuss the matter with the student employee directly or escalate the matter to their Department Chair (or equivalent). The Dean's Office Academic Personnel team, Academic Employee Relations, or Labor Relations are additional resources to support the supervisor.*

4. **Issuing Corrective Action or Dismissal**

For all ASE titles, the Department Chair, equivalent, or higher authority is responsible for delivering Corrective Action or Dismissal actions, in consultation with the supervisor, Academic Personnel in the Dean's Office (or equivalent), and Academic Employee Relations (*see Appendix C.1 above*).

5. **Academic Student Employee (ASE) Guidance for Supervising Instructors** document shall be provided to all new faculty supervising ASEs by their department, program, or unit. The link to document is:

https://graduate.ucr.edu/resources-and-policies#supervision_of_graduate_student_employees

Appendix D: Glossary of Terms

See also: [Academic Personnel Definitions \(APM 110\)](#)

The following definitions are used for purposes of this policy only:

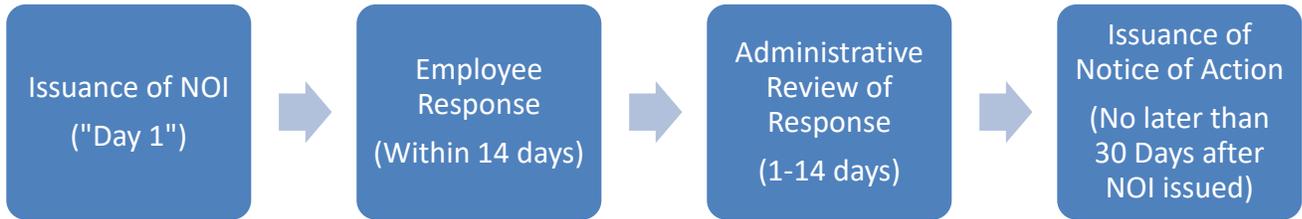
- **Behavior** – Action(s) by an employee that constitutes either a matter of work performance or conduct.
- **Corrective Action** – Term used in the APM for discipline (disciplinary actions). Defined in Section E.
- **Employee** – Non-Senate Academic Employee who reports to a Supervisor.
- **Employment Action** – A formal action that affects the employee’s status, such as a Written Warning, Demotion, or Dismissal. Formal Intervention is not considered an Employment Action.
- **One-on-One Meeting (1:1 meeting)** – A private meeting between the supervisor and their employee, generally face-to-face or over a remote meeting platform such as Zoom.
- **“Open Door” Policy** – When a supervisor allows a culture of open communication and/or unannounced meetings between them and their direct subordinates; to discuss matters related, but not limited to, the employee’s concerns, performance, or conduct.
- **Misconduct** – Behavior by an employee that is in violation of an established standard of conduct, including a policy violation, that is not expressly related to the competency or quality of work performed.
- **Non-Senate Faculty** – See [APM 110, Section 110-4\(15\)](#) for complete definition and list of titles.
- **Peer Review Process** – Department or other local process utilized for the academic performance review of a particular title series, as identified by that title’s APM article.
- **Performance** – Behavior by an employee that is related to the quality or competency of the work performed, meeting or not meeting a set criteria or standards for the employee’s role or title series.
- **Supervisor** – Academic employee responsible for managing the performance and conduct of another academic employee. May or may not be assigned a formal Administrative Appointment title.
 - **Second-Line Supervisor (2nd-Line Supervisor)** – The next level supervisor above the immediate employee responsible for performance and conduct of another academic employee. An example would be if a Faculty P.I. supervises a Professional Researcher, the 2nd-Line Supervisor would be the Department Chair. The next-line Supervisor (next higher authority) will be an Associate or Divisional Dean, followed by the Dean.

Acronyms:

- **AP** – “Academic Personnel”
- **APM** – “Academic Personnel Manual”
- **APO** – “Academic Personnel Office” (Central Office)
- **NOI** – “Notice of Intent”
- **NOA** – “Notice of Action”
- **VPAP** – “Vice Provost of Academic Personnel”

Appendix E: Illustration of the NOI/NOA Process (APM 150)

Order of Notice of Intent / Notice of Action Process:



Example Calendar (without regard to “business days”):

1 NOI Issued	2	3	4	5	6	7
8	9	10	11	12	13	14 Employee Response Due
15	16	17	18	19	20	21
22	23	24	25	26	27	28 Response Review & Decision Due
29	30 Last Date of NOA can be issued	31				

Time Limits and Extensions of Time (See Section F above)

1. Time limits which expire on days which are not business days shall be automatically extended to the next University business day.
2. Upon written request and prior to the expiration of any time limit stated in this policy, the VPAP, or higher authority as necessary, may grant extensions.
3. The written Notice of Action must be issued within thirty (30) calendar days of the date of issuance of the original written Notice of Intent, unless an extension had been granted for any stage of the Notice of Intent process.

Note: Represented Academic Employees may have a different NOI timeline, such as a 15-day response period. Please refer to Appendix C for the link to the appropriate procedures.

Appendix F: Templates and Examples

The following templates and examples are for implementation of this policy. The examples herein are not necessarily to be utilized in whole or in part for any communication, rather to provide clarity on how the documents generally should be written in terms of structure, formatting, and language. Nothing precludes the University from providing any of the items below with differing formats or language, as appropriate. Contact the Academic Personnel Office for any assistance on the application of any of these documents at academicpersonnel@ucr.edu.

Table of Contents – Templates and Examples:

1. Job Description Template
2. Job Description Example
3. Letter of Expectations Template
4. Letter of Expectations Example
5. Counseling Memo Example
6. Performance Improvement Plan Template
7. Performance Improvement Plan Example
8. Written Warning Template
9. Written Warning Example
10. Notice of Intent Template (Censure, Suspension, Reduction in Salary, Demotion, Dismissal)
11. Notice of Action Template
12. Proof of Service Form Template

Any text listed in [brackets], red text, or highlighted should be removed or replaced with appropriate language prior to the issuance of any final document. Highlighted text in documents are variable data to be modified.

Additional templates and examples, including Letters of Expectation equivalents for teaching titles, can be found at: <https://academicpersonnel.ucr.edu/employeerelations>.

For Represented Academics - Please contact Academic Employee Relations prior to drafting any type of Corrective Action (Discipline) or dismissal letter of a represented Academic Employee – See Appendix C.

JOB DESCRIPTION

[TEMPLATE]

[TO BE GIVEN TO ACADEMIC EMPLOYEE WITHIN SEVEN (7) CALENDAR DAYS OF THE APPOINTMENT START DATE IF DELIVERING UPON HIRE]

[COPY/INSERT TEXT BELOW ON DEPARTMENT/LAB/UNIT LETTERHEAD OR OTHER APPROPRIATE LOCAL TEMPLATE]

CANDIDATE'S NAME:

APPOINTMENT TITLE:

SUPERVISOR'S NAME:

DEPARTMENT NAME:

Policy Scope:

[INSERT APPROPRIATE DEFINITION FROM APM]

Custom Scope for [DEPARTMENT/LAB/UNIT]:

- 1)
- 2)
- 3)
- 4)
- 5) *[Add or subtract as needed]*
- 6) Other duties as assigned, within scope of title series and rank.

[ALL BULLETS MUST BE WITHIN APM SCOPE – INCLUDE SERVICE RESPONSIBILITIES AS APPROPRIATE FOR TITLE/RANK]

Requirements:

- 1)
- 2)
- 3) *[Add or subtract as needed]*
- 4) «Insert degree requirements, as defined by policy»

[e.g. "Must possess knowledge on X methods of research"] [ALL REQUIREMENTS MUST BE WITHIN POLICY]

Candidate's Signature

Date

Supervisor's Signature

Date

[SAVE DETAILS FOR LETTER OF EXPECTATIONS – THIS IS DEFINING THE GENERAL DUTIES AND SCOPE OF THE ROLE, NOT THE DAY-TO-DAY, HOUR-BY-HOUR PICTURE]

JOB DESCRIPTION

[EXAMPLE]

CANDIDATE'S NAME: Sarah Sample
APPOINTMENT TITLE: Jr. Specialist
SUPERVISOR'S NAME: Dr. Timothy Template
DEPARTMENT NAME: Department of General Science

Policy Scope:

Titles in the Specialist series are assigned to those appointees who are engaged in specialized research, professional activity, and University and/or public service and who do not have any formal teaching responsibilities. Specialists are expected to use their professional expertise to make scientific and scholarly contributions to the research enterprise of the University and to achieve recognition in the professional and scientific community. Specialists may participate in University and/or public service depending upon funding source and the duties required by the job description for the position. Most Specialist appointments are made to provide research projects with special skills, experience, and knowledge. A Specialist provides considerable independent input into the planning and execution of research; however, the Specialist generally works under the direction of an appointee in the Professional Research or Professorial series. Individuals may be appointed in the Specialist Series to positions in which conducting research is not the principal responsibility, and in which they provide specialized skills in support of research. The Specialist provides a service to a supervisor, a group, or the institution

Custom Scope for the Dr. Timothy Template Research Lab:

- 1) Collect and identify samples from field research sites on a regular basis.
- 2) Independently process sample material and enter data into laboratory computer after samples are collected.
- 3) Assist the PI and lab manager with planning and coordination of weekly field and laboratory work, as requested.
- 4) Establish and maintain field and lab experiments, as assigned.
- 5) Other duties as assigned, within scope of title series and rank.

Requirements:

- 1) Must possess a baccalaureate degree (or equivalent degree) or equivalent research experience in the field of General Science

Candidate's Signature

Date

Supervisor's Signature

Date

LETTER OF EXPECTATIONS

[TEMPLATE]

**[TO BE GIVEN TO ACADEMIC EMPLOYEE WITHIN SEVEN (7) CALENDAR DAYS OF THE APPOINTMENT
START DATE IF DELIVERING UPON HIRE]**

[INSERT TEXT ON DEPARTMENT/LAB/UNIT LETTERHEAD]

[Date]

Dear [Employee name],

The purpose of this letter is to define and clarify your responsibilities as a [TITLE] in [DEPARTMENT/LAB/UNIT] at the University of California, Riverside. This information is provided to help you have a clear understanding of the expectations that accompany your position. You may ask at any time for clarification or discussion of any of the following points.

[SECTION TITLE (such as "Hours and Attendance")]

[Example: Outline General Work Hours and Attendance Expectations]

[Expectation Paragraph]

[Expectation Paragraph]

[SECTION TITLE]

[Expectation Paragraph]

[Expectation Paragraph]

[ADD MORE SECTIONS AS NEEDED]

**[At least one section should describe supervisor commitments, such as 1:1 meetings
and their frequency]**

[Expectation must be within scope of title series, as defined by APM]

This document is not comprehensive and may be revised at any time. As you move forward in your role, these expectations may change in accordance with the scope of your [Job Description/Duty Statement]. You may ask for clarification to these expectations at any time.

[Signature lines]

Letter of Expectation
[EXAMPLE – Non-Teaching Titles]

September 01, 2020

Dear **Dr. Eleanor Example**,

The purpose of this letter is to define and clarify your responsibilities as **an Assistant Specialist** in **Dr. Timothy Template's lab** in the **Department of General Science** at the University of California, Riverside. You may ask at any time for clarification or discussion of any of the following points.

Hours and Attendance

You should be physically present in Dr. Template's lab during normal working hours which will be from **8am to 5pm** with a **1 hour** lunch break. Please notify Dr. Template in advance if you will be late for any reason.

Use of accrued vacation (PTO) must be approved in advance by Dr. Template, with normally at **least two-weeks' notice given**. Absences due to illness or other medical reasons require notice to Dr. Template to be provided as soon as possible. Extended absences due to illness may require a doctor's note.

If you are unable to be in the lab during normal work hours, you must set-up an out of the office auto-reply email. You should also notify lab personnel of your dates of absence, so that they know that you will not be available during vacation or sick leave time. You must notify Dr. Template if any outstanding assignments/experiments/project items need follow-up during any absence.

Performance Expectation

You are to deliver reliable performance and efficiency expected from **a Ph.D. graduate trained with relevant working experience**.

All tasks, assignments, and projects will be delivered to you **by either Dr. Template, or Dr. Laura Leader, Associate Project Scientist**. **Tasks may be hands-on or require technical analysis**. If any specificity in the execution of a task is provided by either Dr. Template or Dr. Leader, you must follow that procedure

Dr. Template will work together with you to set deadlines for tasks that need to be completed. If the task cannot be completed within that time-frame, it is essential for you to communicate your challenges. It is also important to ask if you do not understand the expectations of the task, require additional training or support, or for any other issues, please reach out to Dr. Template immediately.

You must record all the details of your experiments and reports to Dr. Template on a weekly basis, with a CC to Dr. Leader.

Conduct Standards

You are required to adhere to the professional conduct standards set by the University of California, Riverside and the expectations of Dr. Template’s lab. You are expected to maintain the upmost integrity in your research and work efforts, uphold all Environmental Health and Safety protocols, and punctually complete any required training. In addition, you are expected to maintain a professional, constructive, collaborative, and respectful relationship with all your colleagues. If you have any challenges or conflict with another member of the lab, you should notify Dr. Template immediately. If you are unable to speak to Dr. Template for any reason on these matters, additional resources can be found here: <https://academicpersonnel.ucr.edu/employeerelations>.

Professional Development and University Service Activities (Optional)

Attendance at on-campus activities that enhance your ability to contribute to the lab are encouraged, but should be carefully balanced against lab responsibilities. Such activities would include all seminars, demonstrations, trade shows, or all types of University service. Off campus events such as attending conferences, seminars, and vendor events, should be approved by Dr. Template.

Supervisory Commitments

Dr. Template will meet with you at least once per month to discuss the research project, listen to and provide feedback, or address other employment matters as they arise. In between meetings, Dr. Template maintains an “open door” policy, should additional or impromptu, formal or informal, meetings need to occur.

This document is not comprehensive and may be revised at any time. As you move forward in your role, these expectations may change in accordance within the scope of your research project description. You may ask for clarification of these expectations at any time.

Acknowledgement:

Employee Name: _____ Title: _____

Employee Signature: _____ Date: _____

Supervisor Name: _____ Title: _____

Supervisor Signature: _____ Date: _____

Counseling Memo
[EXAMPLE]

To: Dr. Eleanor Example

From: Dr. Timothy Template

RE: Meeting on September 30, 2020

This letter is to memorialize our conversation on September 1, 2020 and communicate in writing the issues at hand. In your Letter of Expectation, you were informed that you are required to deliver reliable performance and efficiency expected from a Ph.D. graduate trained with relevant working experience. In addition, letter also stated “If any specificity in the execution of a task is provided by either Dr. Template or Dr. Leader, you must follow that procedure”. Starting on 09/15/20, you were required to perform a series of basic experiments as directed by Dr. Leader, gather the data, and report your results to Dr. Template with a copy to Dr. Leader by week’s end. However, the procedure you executed on missed several key steps, and as a result the data was skewed and therefore unusable. You also did not send your results until the following Monday after you had to be reminded by Dr. Leader.

On 09/22/20, when Dr. Leader informed you of your mistake, you said you misunderstood and were instructed to perform the task again. Following this, while you did send your data by week’s end, Dr. Leader and I both reviewed and found further errors in your methodology. When Dr. Leader spoke to you again on 09/28/20, you denied the mistake, blamed Dr. Leader for his poor instructions, challenged his methodology, and overall delivered these messages in a loud and disrespectful tone. This was overheard by Dr. Sarah Sample from across the lab. Per your Letter of Expectation, you are required to maintain a standard of conduct that maintains a respectful and professional environment. Disagreements are not prohibited, but unprofessionalism is.

When we spoke today, you stated you understood better Dr. Leader’s methodology, will follow the instructions, and will ask for clarification should you face any questions or challenges. You acknowledged your poor response to Dr. Leader, apologized, and we agreed that we would move forward. I let you know that you and I would meet weekly one-on-one, instead of monthly, through at least October.

Sincerely,

Dr. Timothy Template
Associate Professor

Performance Improvement Plan (Remediation Plan)

[TEMPLATE]

[INSERT TEXT ON DEPARTMENT/LAB/UNIT LETTERHEAD]

[Date]

To: [Employee Name]

From: [Supervisor Name]

RE: [Performance Improvement Plan or Remediation Plan]

Dear [Employee Name],

The purpose of this letter is to give you the clear communication of identified unsatisfactory performance and establish measurable goals for you to demonstrate improvement within a period of time. You may ask at any time for clarification or discussion of any of the following points.

Background

[Reference performance gaps or other problematic behavior, in alignment with the Job Description, Letter(s) of Expectation, and any previous formal intervention on the issues at hand.]

Performance Gap(s)

[List in an organized fashion each deficiency, the clear and measurable expectations of performance and/or conduct that needs to be demonstrated and the individual timetable for completion.]

Supervisor Commitments

[List in an organized fashion each area of support to be provided by the Supervisor, including commitment to regular 1:1 check-in meeting (define frequency), "open door" policy, as well as any additional tools, training, and resources. Mentors could also be assigned.]

Conclusion

[Articulate overall PIP timetable, format of the PIP evaluation (i.e. PIP report, off-cycle academic review, etc.). This section should also invite again the employee to ask questions, express any concerns with the expectations or timetables, and request clarifications.]

Signatures

Performance Improvement Plan

[EXAMPLE]

November 30, 2020

To: Dr. Sarah Sample

From: Dr. Timothy Template

RE: Performance Improvement Plan

Dear Dr. Sarah Sample,

The purpose of this letter is to give you the clear communication of identified unsatisfactory performance and establish measurable goals for you to demonstrate improvement within a period of time. You may ask at any time for clarification or discussion of any of the following points.

Background

Pursuant to your Job Description, you were assigned to collect samples from the field sites on a regular basis, independently process the sample material in the lab, and enter the data into the computer. The Letter of Expectations articulated the need for accuracy and timeliness in your regular tasks, and responsiveness to myself and other members of the lab on your progress. In addition, you were expected to maintain expertise in your academic background in which you were hired for.

Over the past three months, you have demonstrated a failure to perform at the level expected. You have had several one-on-one meetings, in which feedback was provided to you and both Dr. Laura Leader and myself saw immediate but temporary improvement. Within a few weeks, your performance and research output has declined, observed by wasted hours and poor attention to detail.

As you have been able to demonstrate satisfactory performance in previous moments, Dr. Leader and I are placing you on this Performance Improvement Plan, in order for you to demonstrate sustained improvement over the next three months.

Performance Gap 1 – Research Output and Communication

As mentioned to you in several one-on-one meetings, our research work must keep moving apace. Once one task is completed, the next task must begin in earnest. You were previously provided feedback around your time management, as you have been witnessed by myself to be browsing the internet and missing important deadlines for reporting data. When sent follow-up emails on your status, you failed to respond or did not give an estimate on a completion date.

You are to adhere to all deadlines and report to either myself or Dr. Leader in advance whenever you are unable to meet a deadline. Once a task is completed, you must move on to the next one. The expected timeframe for improvement in this area is immediate.

Performance Gap 2 – Quality of Work

Analysis of your data has shown errors and raised concerns with methodology. In conjunction with managing your time in the performance gap above, your time in the lab is best spent taking time to be thorough and double-checking your work.

The expectation is that the errors within your data show significant decline (over 50%) by the 30 day mark, and continued to improve to a negligible level thereafter for the remainder of the PIP. You will be given regular feedback in this area.

Performance Gap 3 – Professional Qualifications

On numerous occasions, you asked for assistance from other lab members on basic concepts and procedures that indicated you lacked the required expertise in our field of research. While Dr. Leader has taken time to address your knowledge gaps, additional learning is required yourself independently in order for the lab research to continue apace. In speaking together previously, you expressed willingness to read additional journal papers on our field of study to enhance your exposure to our methods and practices.

You will be assigned reading materials, such as published papers on our area of research to better enhance your knowledge and practices within the field. You will be expected to complete these readings within two weeks of assignment.

Supervisor Commitments

As part of the plan, I will be meeting with you on a weekly basis to review progress, provide feedback, and answer questions and concerns. Outside of scheduled meetings, I will maintain an “open door” policy anytime you need to meet with me. In addition to the reading materials you will be assigned, I may provide additional materials or resources for additional consideration. As part of your learning, I will assign Postdoc Dr. Denise Demonstration to be a subject mentor for you, when you need further understanding of the materials. Dr. Laura Leader will also remain available to you as needed.

Conclusion

This Performance Improvement Plan will be effective through February 28, 2021. Upon conclusion, your efforts for improvement in each performance gap identified will be evaluated, as well as your efforts taken as a whole. You will be provided a full report shortly after with this assessment. Should you have any questions, comments, concerns, or clarifications on any part of this document, please let me know.

Signatures:

Dr. Timothy Template

Date

Dr. Sarah Sample

Date

Written Warning
[Template – Non-Represented Employees]

[DATE]

[INSERT ON DEPARTMENT OR UNIVERSITY LETTERHEAD]

Via [Hand Delivery]

[Employee Name]

University of California, Riverside

[DEPARTMENT, UNIT, OR PROGRAM NAME]

[LAB/WORKSITE ADDRESS]

Riverside, CA 92521

Re: Written Letter of Warning

Dear [Employee Name]:

This letter is informing you that you are hereby given a **Written Warning** for [misconduct and/or performance deficiencies] that requires immediate correction.

Nature of [Misconduct and/or Performance Deficiency]:

[MUST BE OBJECTIVE AND NEUTRAL IN TONE]

{Background Narrative:

- *Briefly summarize in chronological order all prior communications, discussions, and actions regarding similar issues provided to the employee that communicated expectations and are relevant to the current issue.*
- *Cite all that are relevant: job description, letter(s) of expectation, contracts, policies, protocols, established practices, coaching, training, email(s), formal intervention actions (counseling memo, performance improvement plan (PIP)) or previously issued corrective actions such as other written warnings, suspension, etc.*
- *If a letter, email, or other physically available documentation is cited, attach to this letter.*

[Examples of narrative language:

- *On [DATE], you were issued a verbal counseling addressing your need to improve in [cite relevant area]. [Attachment A. (e.g. any supervisor's notes made from meeting, etc.)]*
- *On [DATE], you were issued a counseling memo regarding [relevant subject area]. In that letter, you told that the expectation was [cite expectation conveyed in letter]. [Attachment A.]*
- *On [DATE], you attended a training regarding [subject area]. In that training, you were told that the expectation regarding [issue] was [cite expectation conveyed in training]. Attach copy of training material [Attachment C.]*

{Triggering Issue(s) Narrative:

[Cite how the key issue(s) arose. Example: On [DATE], the lab manager reported to me that you were observed [cite issue], OR that you failed to [cite issue].]

[Articulate the Employee's response when confronted with issue(s):]

On [DATE], we met to discuss [event discussed Examples: your attendance, an incident which occurred on DATE regarding xxx, an interaction between you and a co-worker on DATE]. In attendance were [list all attendees' names and titles].

[For each event or issue discussed: Your response was [describe/summarize the employee's response. Address why the employee's response(s) do not offer appropriate excuse or explanation, or is/is not credible].

Corrective Action:

[Write expectations for performance/conduct going forward here – specific, measurable, and with an expected timetable (can be “immediately” depending on the nature of the issue).]

[Optional:] Our Department provides [describe the department's service to faculty, staff, students, patients, public]. It is imperative that all employees perform their jobs in a satisfactory manner. [Describe real or potential impact of employee's actions or omissions]. For these reasons and others, it is important for you to understand that your [subject] is in need of improvement.

Further delinquency in this area may lead to further corrective action, up to and including dismissal, pursuant to APM 150 and the UCR Performance Management, Corrective Action, and Dismissal Policy and Procedures (Non-Senate Academic Titles). If you have any questions regarding this matter, please let me know.

Sincerely,

[Insert Supervisor's Signature here]

[Supervisor Name/Title]
[Department]

Employee Signature: _____ Date: _____

By signing, you acknowledge that you received this document. Your signature does not indicate agreement or disagreement with the content of this document.

cc: [CHAIR (if not supervisor) Name/Title/Department]
[Dean's Office or appropriate equivalent]
Academic Personnel Office
Employee Personnel File

Attachments:

- 1: [AS NEEDED]
- 2:
- 3:
- 4:

[if letter is sent without employee signature, you must attach the Proof of Service form]

Written Warning

[Example – Non-Represented Employees]

October 26, 2020

Via Hand Delivery

Dr. Eleanor Example
University of California, Riverside
Department of General Science
Riverside, CA 92521

Re: **Written Letter of Warning**

Dear Dr. Example:

This letter is informing you that you are hereby given a **Written Warning** for both misconduct and performance deficiencies that requires immediate correction.

Nature of Misconduct and Performance Deficiencies:

On your hire date of 09/01/20, you were issued a Job Description (attachment 1) and Letter of Expectation (“LOE”) (attachment 2) outlining your job duties and expectations working within the lab.

Between 9/15/20 and 09/30/20, you demonstrated failure to follow directions on assigned experiments and missed your first deadline. When confronted with your second set of errors, you denied the mistake, blamed Dr. Leader for his poor instructions, challenged his methodology, and you delivered these messages in a loud and disrespectful tone, all overheard by another member of the lab. These actions violated the expectations set in your LOE. You met with me on 09/30/20 to discuss the incident, where you admitted your actions and apologized. During this meeting, the relevant expectations set in your LOE were reiterated as they related to these issues, and a Counseling Memo was issued to you.

During the following week, you and Dr. Sarah Sample were assigned to produce a data analysis report on the work done in September by October 11, 2020 (see email, attachment 3). By October 11, the report had not been turned in and no communication to either myself or Dr. Leader had been issued to account for the delay. During our 1:1 meeting on October 15, in which you were asked for the reason for the delay, you stated you thought Dr. Sample would turn in the report, but you admitted you failed to verify. This failure to meet deadlines represents a repetition of poor performance in this area and continued to violate the expectations set in your LOE.

In a lab meeting on October 16, you and Dr. Sample began to argue with Dr. Leader on her instructions for a parallel experiment you were responsible for, saying “don’t lie to our faces”. We then spoke 1:1 again, where you reiterated that Dr. Leader didn’t give you proper direction. Dr. Leader verified with me what instructions were provided and they were routine and met the professional standard. Given the previous discrepancies in your work and previous altercation with Dr. Leader over similar matters, your subsequent response to me is not credible. This conduct is a violation of the conduct expectations in your LOE, including violations of campus policies around respectful interaction with colleagues and integrity (UCR Principles of Community, UC Regents Policy 1111, attachments 4 and 5 respectively).

During the week of October 19, you did not show up for two days, missing both our scheduled 1:1 meeting and the group lab meeting, providing no reason or advance notice. In addition, you failed to respond when Dr. Leader and I both separately asked for a status update on your subsequent assignment when you returned the following day. As both Dr. Leader and I were out of the lab, we were relying on your prompt response to plan for the following week. This again was a violation of your LOE.

The severity and trend of behavior as a whole has resulted in disruption in our research progress during a critical stage. For this and other reasons stated herein, formal corrective action is hereby issued to address these concerns.

Corrective Action:

You must adhere to the expectations set in your LOE, including but not limited to: meeting all deadlines, responding to communication by others, and treating your fellow lab members with respect. Your work is expected to be maintained at a professional standard you are to maintain integrity in all your interactions.

Further delinquency in these areas may lead to further corrective action, up to and including dismissal, pursuant to [APM 150](#) and the [UCR Performance Management, Corrective Action, and Dismissal Policy and Procedures \(Non-Senate Academic Titles\)](#).

Our research is in the field of general science performing important work. It is imperative that all employees perform their jobs in a satisfactory manner. The outcomes of our project could make significant advances in finding solutions to long-held problems – solutions that could save lives. For these reasons and others, it is important for you to understand that your behavior is in need of improvement. If you have any questions regarding this matter, please let me know.

Sincerely,

Dr. Timothy Template

Dr. Timothy Template
Department of General Science

Acknowledgement:

Employee Signature: *Eleanor Example* Date: 10/26/20

By signing, you acknowledge that you received this document. Your signature does not indicate agreement or disagreement with the content of this document.

cc: Dr. Suzanna Seat, Chair of Department of General Science
 Dean's Office
 Academic Personnel Office
 Employee Personnel File

Attachments:

- 1: Job Description
- 2: Letter of Expectation
- 3: Email form week of 10/01/20
- 4: UCR Principles of Community
- 5: UC Regents Policy 1111

Notice of Intent
[Template]

[May be delivered to the employee either in person, via email, or by placing the notice in the U.S. Mail, first class postage paid, addressed to the employee at their last known address.]

[Date]

ADMINISTRATIVE CONFIDENTIAL

[Name]

[Department]

RE: Notice of Intent to [Issue a Written Censure, Suspend Without Pay, Issue a Reduction in Salary, Demote, or Dismiss]

In accordance with APM 150 and the UCR Performance Management, Corrective Action, and Dismissal Policy and Procedures (Non-Senate Academic Titles), I am issuing this Notice of Intent to take the action of [Intended Action, e.g., suspension without pay, reduction in salary, demotion, or dismissal] effective [Effective Date – *must be no earlier than 14 days and no later than 30 days from the date of this notice, pursuant to Section F*] due to the following reasons: [List reasons].

[Describe the basis for the intended action here, including copies of pertinent materials supporting the intended action – see *Written Warning template for guidance on justification narrative*]

You have the right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of this written Notice of Intent. If you wish to respond, please direct your response to [Name], [Title], [Department/Unit Name] by [14 calendar days from the date of Notice of Intent]. Your response will be reviewed by the appropriate level of administration.

Sincerely,

[Department Chair Signature]

[Department Chair Name]

Chair, [Department Name]

cc: Dean's Office
Academic Personnel Office

Notice of Action
[Template]

MUST BE PROVIDED AFTER REVIEW OF ANY RESPONSE TO NOTICE OF INTENT AND WITHIN THIRTY (30) CALENDAR DAYS OF THE DATE OF ISSUANCE OF THE WRITTEN NOTICE OF INTENT – See Section F]

[May be delivered to the employee either in person, via email, or by placing the notice in the U.S. Mail, first class postage paid, addressed to the employee at their last known address.]

[Date]

ADMINISTRATIVE CONFIDENTIAL

[Name]

[Department]

{Dismissal Template: This is to inform you of your dismissal from your position as [Title], [Step], in the [name of Department/Unit/Program], [School/Division/College] of the University of California Riverside, effective [Date], due to [lack of performance/misconduct/behavior], as described in the attached Notice of Intent to Dismiss.}

{Corrective Action Template: This is to inform you of your [Insert Corrective Action], as a [Title], [Step], in the [name of Department/Unit/Program], [School/Division/College] of the University of California Riverside, effective [Date], due to [lack of performance/misconduct/behavior], as described in the attached Notice of Intent.}

On [Date], you were issued a Notice of Intent for [Corrective Action type or Dismissal], which informed you of your right to respond orally or in writing within 14 calendar days.

{Response Received Template: [Assigned administrative reviewer] reviewed your written response to the attached Notice of Intent for [Corrective Action or Dismissal], dated [Date of Notice of Intent] and they have determined that the proposed action is to be [upheld / reduced to {action} / withdrawn]}

{No Response Received Template: As of «Date response was due», no response was received from you.}]}

The University has decided to proceed with the proposed action of [Intended Action, e.g., suspension without pay, reduction in salary, demotion, or dismissal] as [Title], [Step], in the [name of Department/Unit/Program], [School/Division/College] of the University of California Riverside, effective [Date]. **[The notice of action may not include an action more severe than that described in the Notice of Intent.]**

You have a right to grieve this action under Academic Personnel Manual Policy 140 (APM 140), a copy of which is attached for your reference, along with the UCR Local Procedures for APM 140.

Sincerely,

[Department Chair Signature]

[Department Chair Name]

Chair, [Department Name]

cc: Dean's Office
Academic Personnel Office

Attachments:

Attachment 1: Notice of Intent **[include all attachments to NOI]**

Attachment 2: APM 150

Attachment 3: APM 140

Attachment 4: UCR APM 140 Local Procedures

[Add other attachments as needed]

[Full hyperlinks are acceptable to list here instead of attachments.]

APM 150: <https://www.ucop.edu/academic-personnel-programs/files/apm/apm-150.pdf>

APM 140: <https://www.ucop.edu/academic-personnel-programs/files/apm/apm-140.pdf>

UCR APM 140 Local Procedures:

https://academicpersonnel.ucr.edu/sites/g/files/rcwecm1261/files/2019-01/apm_140_ucr_local_grievance_procedure_for_non_senate_academics.pdf

Template for a Proof of Service Form:

PROOF OF SERVICE FORM

Directions: Please complete this form and attach to document when a Proof of Service by personal delivery is required. Retain a copy for your records.

PERSONAL DELIVERY

On **[insert date]** I personally delivered the attached to

[Employee Name]

[Name of Department/Program/Unit]

Briefly explain document(s) being personally delivered:

[List each document]

[NAME & TITLE OF ISSUING PERSON; e.g. Department Head or Supervisor]

Appendix G: Acknowledgment of Policy

Supervisor Name: _____

Department: _____

I am supervising in the capacity as a:

(Check all that apply)

- Faculty Administrative Officer (e.g. Director, Chair, Dean, Vice Chair, Divisional/Associate Dean)
- Principal Investigator (P.I.)
- Academic employee with supervisory role, such as over TAs or GSRs

Policy Link: <https://academicpersonnel.ucr.edu/performance-management-policy>

I have received the Performance Management, Corrective Action, and Dismissal Policy and Procedures document and understand its contents, including the responsibilities required of me to supervise Non-Senate Academic Titles.

I will review revisions to this policy as they are communicated by the University of California Riverside.

If the employees I supervise are Represented Academics (as listed in Appendix C), I am aware of their Collective Bargaining Agreement, and will defer to their labor contract for administration of their employment, as applicable.

Supervisor Signature: _____

Date: _____

This document is to be submitted to and maintained in the Dean's Office Academic Personnel or equivalent unit.

For questions, please contact Academic Employee Relations at academicpersonnel@ucr.edu.

Appendix H: Revision History of Policy

Pre-Release and Issuance Phase:		
Date	Reason	Notes
07/01/2020	Pre-Release for Campus Preparation	Pre-Release Version 1
08/10/2020	Requested revisions by the Compliance Department and VPAP (primarily in Section A)	Pre-Release Version 2
09/01/2020	Final Version Release, with Templates	Effective Date; fully complete policy

Revisions to Policy:		
Date	Reason	Notes
10/01/2022	Revised language in multiple areas to clarify original policy intent, clarify management rights and responsibilities, remove unnecessary procedural hurdles, eliminated references to "in-person", and loosened requirements around signatures. Original language did not factor in remote meetings or remote work. Further revisions made to account for UC policy and CBA updates since issuance and reinforce CBA compliance.	First comprehensive revision after issuance
05/05/2023	Revised links	Updated links