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**Subject:** Campus Comment - UCR Performance Management Policy  
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Dear Academic Senate,

Through feedback from faculty and our direct involvement with issues, the Academic Personnel Office (APO) recognizes the challenges facing academic supervisors when managing Non-Senate Academic employees. In order to provide clear guidance and direction on these matters, APO has developed a new general policy for our campus that encompasses issues around effective communication, setting clear expectations, and intervention tools to address concerns. This policy also contains our local procedures for APM 150 which is *Corrective Action and Dismissal for Non-Senate Non-Represented* academic employees. While union-represented academics are exempt from APM 150 since they are subject to the procedures in their contract, the sections in the attached policy not related to corrective action and dismissal still apply to this population. This includes the management of TAs (ASEs), GSRs, Postdocs, Academic Researchers, and Lecturers. This also applies to Lecturers themselves supervising ASE titles.

We are targeting April 1, 2020 as the effective date of this policy. We are asking for review and feedback and that all feedback and comments be sent to [nicholas.weston-dawkes@ucr.edu](mailto:nicholas.weston-dawkes@ucr.edu) by Friday February 28, 2020.

We hope that this important step forward will provide academic supervisors at all levels the much-needed support on effective management practices. Once the policy is implemented, APO will continue to work with campus partners on implementation initiatives around the policy, such as training, further communication and resources, as well as expanded Employee Relations support through Dean's Office Academic Personnel teams.

Thank you!

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## **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 Memorandum of Understanding (MOU), this document applies only to the extent provided for in the MOU, especially for Sections E through G, which serve as local procedures for APM 150. Please refer to the appropriate MOU 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.

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## Section A: General Policy and Procedures

1. Non-Senate academic employees are expected to maintain a standard of academic responsibility which requires service consistent with the objectives of the University. Non-Senate faculty employees are also subject to the standards set forth in the Faculty Code of Conduct (APM 015).
2. 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)
3. All academic employees, including supervisory employees, are held to, at minimum, the conduct expectations set forth in the UCR Principles of Community and the system-wide UC Regents Policy 1111: Statement of Ethical Values and Standards of Ethical Conduct.
4. Upon appointment, reappointment, or assignment of supervisory duties, all academic supervisory employees should receive a copy and acknowledge receipt of the **Guidance from the UCR Provost Regarding Abusive Conduct and Bullying Involving Faculty and Academic Appointees**:  
[https://diversity.ucr.edu/sites/g/files/rcwecm1016/files/2018-12/abusive\\_conduct\\_and\\_bullying\\_-\\_uc\\_guidance\\_for\\_faculty.pdf](https://diversity.ucr.edu/sites/g/files/rcwecm1016/files/2018-12/abusive_conduct_and_bullying_-_uc_guidance_for_faculty.pdf)
5. No staff title position may be in a supervisory role over an academic title, unless authorized by the Chancellor or 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.
6. 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.
7. 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](mailto:APOMail@ucr.edu).
8. Nothing in this policy is intended to conflict with any represented employee's MOU. Please refer to the appropriate MOU for all applicable procedures, particularly for Corrective Action and Dismissal. (See Appendix C below for links to each MOU.)
9. Pre-employment matters including the recruitment are not covered in this policy. Please refer to the [Academic Hiring Toolkit](#) and [UCR Best Practices in Hiring](#) for further guidance.

## 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.

### 2. Job Descriptions (Duty Statements)

- a. Upon hire, all employees shall be given a Job Description appropriate for their classification and sign in acknowledgement of receipt. This may be on a formal duty statement document, or incorporated as part of another appropriate form.
- 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 specific 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 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 of the role. Avoid language that establishes a process (such as "must submit expense reports to Chair every Thursday"), or is specific on 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 "...during regular lab hours" or "Meets established deadlines"*
- c. All Job Descriptions must be revised and resubmitted to the employee for acknowledgement if there are significant changes to the employee's assigned duties. Soliciting feedback from the employee on the proposed changes is encouraged.
- d. 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. Signature from the employee in acknowledgement of receipt is required.
- ii. **Guidance Point:** *It is advised 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. How a supervisor decides what's acceptable and what's 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 be added, change, or need to be clarified, written communication should be given to the employee. Signature from the employee in acknowledgement of receipt is required, unless the circumstances require delivery via email.

- i. **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.*
- ii. Supervisors should solicit feedback from the employee on the proposed added, changed, or clarified expectations. Any consideration of the feedback provided is at the discretion of the supervisor.
- c. The employee has the right to 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 performance 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.)*
- b. Supervisors must meet with their employee in-person 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. If the nature of their position does not allow for in-person meeting, a call may be an appropriate 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 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, whenever possible. 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. Employees in a faculty title are exempt from meeting once per month, and instead should meet with their supervisor at least once per quarter.
  - 1. If an employee is in both a faculty title and a non-faculty, non-Senate academic title, then reasonable judgment on the supervisors' regarding the frequency of these meetings is appropriate, but no less frequent than once-per-quarter.

c. Documenting Performance

- i. All employment decisions 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 wants to take an employment action, the first question 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 Reviews

- 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).
- ii. Corrective Actions related to performance 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 change 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 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. An in-person meeting is the most appropriate venue to discuss these matters, followed by a phone conversation, if necessary due to practical limitations.
  - 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 in-person 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.
  - a. Supervisors should contact the AP Director in their Dean’s Office, or Academic Employee Relations at 951-827-2935 (or specifically to [APOmail@ucr.edu](mailto:APOmail@ucr.edu)) for assistance at any time in resolving conflict.
3. **Guidance Point:** *Resolving conflict, which is often a symptom of miscommunication between parties, should be addressed first before*

*addressing objective performance or conduct matters, unless the behavior around the miscommunication is in violation of University Policy.*

4. **Guidance Point:** *Miscommunication, which leads to conflict, is not uncommon. 1:1 meetings are the first step to clear the air and identify common (mis)understandings, to reset the relationship going forward. However, more dysfunctional or antagonistic conditions may require greater intervention, and may require assistance from the AP Director in the Dean's Office or Academic Employee Relations.*

vi. **Guidance Point:** *If a supervisor has any questions, concerns, or requires any training on management and communication styles, they are highly encouraged to reach out to Academic Employee Relations at 951-827-2935, or send a request to [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu).*

f. Training, Tools, and Resources

- i. If an employee does not have a skill, knowledge, or ability to perform a task that was not expected upon hire, reasonable attempts should be made to provide the necessary training, tools, and resources needed for the satisfactory performance of the expected duties.
- ii. **Guidance Point:** *Training, tools, and resources are the other side of the coin of Performance Management. If an individual is knowingly hired without the skillset needed to complete assigned task(s), including when new tasks requiring the new skillset are assigned later in an appointment, the onus is on the supervisor to provide them what resources are needed for their success. This is especially important when attempting Formal Intervention, as described in Section C, below.*

5. Communication Prior to Intervention

- a. When a significant performance or conduct issue is identified, prior to the execution of Formal Intervention (Section C below), Corrective Action (Section E), or Dismissal (Section G), the supervisor or higher authority must meet with the employee to discuss the concern.
  - i. **Guidance Point:** *Issues are not always as clear-cut as they appear to be. Supervisors should determine the facts, context, and decision making of the employee in question prior to making a decision 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) prior to the issuance of Corrective Action (see Section E below).
- b. All types of Formal Interventions are not Corrective Actions (discipline).

### 2. Types of Formal Interventions include, but 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 should be 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 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) 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. **Also known as a Remediation Plan.**
- b. A PIP is 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.

### 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 result/outcome should be accomplished;
  - d. Commitment by Supervisor to regularly meet 1:1 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. 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 at their discretion, in compliance with this policy. The second-line supervisor decision 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 in-person meetings between a supervisor and the employee, to be no less frequent than bi-weekly, but preferably weekly. If in-person meetings or the frequency of meetings are impracticable, alternative arrangements may be determined and approved by APO.
    - a. 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 faculty supervisor 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.

- b. Within 7 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 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.
    - 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 C.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 a full 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 30 more days;
    - iii. Formal Corrective Action (*see Section E below*).
  - d. The PIP Evaluation should be delivered and discussed with the employee during an in-person meeting.
    - i. Appropriate formal Corrective Action may be delivered simultaneously with the PIP evaluation, in accordance with applicable provisions in Section E below or the appropriate MOU.

## **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 academic appointees, in accordance with [APM 150](#).
- b. For Non-Senate, Represented Academics, instead refer to their appropriate MOU for equivalent Corrective Action procedures. (See Appendix C below for links to each MOU.)
- 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, including related items such as supporting documentation, employee responses, and signatures in acknowledgement shall be stored in the Personnel File.
- e. All Corrective Actions shall only be considered in consultation with the Department Chair or higher authority, and the Dean's Office Academic Personnel Director (or designee); or APO in absence of either.
- f. The types of Corrective Action are:
  - i. Written Warning
  - ii. Written Censure
  - iii. Suspension Without Pay
  - iv. Reduction in Salary
  - v. Demotion

## **2. Investigatory Leave**

- a. Investigatory Leave, also known as Administrative Leave, is a debarment with pay from appointment responsibilities. It is not considered Corrective Action.
- 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. Such investigatory leave must be documented in writing after it is instituted.
- 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 an employee knows or reasonably should have known the conduct or performance was unsatisfactory or in direct violation of University policy or procedure.*
- c. **Guidance Point:** *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. 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 will lead to further disciplinary 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 an in-person meeting between the supervisor and employee, whenever practicable. The employee and the supervisor must sign and date, acknowledging the meeting took place.
  1. The employee shall be informed that signing acknowledgement does not mean agreement with the warning, through the following language:
    - a. *“By signing, you acknowledge that you received this document. Your signature does not indicate agreement or disagreement with the content of this document.”*
    2. The signature by the employee may be waived at the supervisor’s discretion if there is an appropriate University employee present, such as a 2<sup>nd</sup> line supervisor or Academic Personnel representative, serving as a witness.
    3. If the employee refuses to sign, the discipline still stands.
  - 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.
- ii. A Written Censure must 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 by both a Chair, and Associate/Divisional Dean or higher authority. The Dean, or a higher authority, may assign 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 the 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 delivery. (See Section F: Notice of Intent and Notice of Action Process below)
- d. A Suspension Without Pay should normally not be considered unless there is repeated behavior not corrected by previous corrective action.
  - i. Nothing shall preclude the University from considering other employment actions instead of a Suspension Without Pay, up to and including Dismissal.
  - ii. A Suspension Without Pay shall only be considered with justification submitted to APO for approval.
- e. 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 delivery. (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 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 delivery. (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. 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
- c. No Notice of Intent is required for the issuance of a Written Warning.
- d. 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 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 must be assigned as the reviewer. In normal circumstances, this should not be higher than the Dean.
- c. The reviewer shall have no more than fourteen (14) calendar days to review the employee response and issue a decision 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. The decision of the reviewer must be issued to both the employee and the immediate supervisor. The decision communication may simply be the decision, not the rationale.
- e. 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.
- f. 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 University shall issue a written Notice of Action to the appointee of 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 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. 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.*
- c. A Notice of Intent of a Dismissal action is required prior to delivery (See Section F above)
- d. 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.
- e. 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

Pursuant to S.O. 103.9, all positions formally considered equivalent to ladder rank, but who are not members of the Academic Senate, including all ranks of Astronomers, Agronomists, and Supervisors of Physical Education, are to follow the following procedures for Dismissal.

- a. S.O. 103.9 provides that termination of the appointment of an “equivalent rank” 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 S.O. 103.9.
- 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 S.O. 103.9.
  - 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 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.

## Section G: APM 140 Grievance Rights

1. In general, the listed policy and procedures in this document are grievable under [APM 140](#). Please see [UCR’s local procedures for filing an APM 140 grievance](#).
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" (APM140-4.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:

### **APM References:**

[APM 015 – Faculty Code of Conduct](#)

[APM 110 – Academic Personnel Definitions](#)

For list of Non-Senate 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](#)

[Violence Prevention in the UCR Community – Zero Tolerance for Violent Behavior](#)

[Guidance from the UCR Provost Regarding Abusive Conduct and Bullying Involving Faculty and Academic Appointees](#)

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

Academic Employee Relations: <https://academicpersonnel.ucr.edu/employee-relations>

### **UC System-Wide Bargaining Unit Contracts:**

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

*See Appendix C below.*

### **Pre-Employment and Recruitment:**

[Academic Hiring Toolkit](#)

[UCR Best Practices in Hiring](#)



## **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 and not covered in Appendix C: Represented Employees, please contact [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu) for further guidance on eligibility for APM 150 procedures.

## Appendix C: Represented Employees and Links to Contracts

Nothing in this policy is intended to conflict with any represented employee’s MOU. Please refer to the appropriate MOU for all applicable procedures, particularly for Corrective Action 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) <a href="#">Other related Titles</a>	Unit 18 (IX) Non-Senate Instructional Unit	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/contract.html">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/contract.html</a>	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_2016-2020_30_discipline-dismissal.pdf">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ix/docs/ix_2016-2020_30_discipline-dismissal.pdf</a>
<u>Non-Supervisory:</u> Librarian Associate Librarian Assistant Librarian	Unit 17 (LX) Professional Librarians Unit	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/contract.html">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/contract.html</a>	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/docs/lx_2013-2018_23_corrective-action-dismissal.pdf">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/lx/docs/lx_2013-2018_23_corrective-action-dismissal.pdf</a>
Associate In ___ Reader Teaching Assistant Teaching Fellow Tutor, Remedial Tutor	Academic Student Employees (ASE) (BX)	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/contract.html</a>	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/docs/bx_2010-2013_08_discipline-dismissal_ta.pdf">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/bx/docs/bx_2010-2013_08_discipline-dismissal_ta.pdf</a>
All Postdoc Titles	Postdoctoral Scholars (PX)	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/pX/contract.html">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/pX/contract.html</a>	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/pX/docs/PX_2016-2020_05_DISCIPLINE_AND_DISMISSAL.pdf">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/pX/docs/PX_2016-2020_05_DISCIPLINE_AND_DISMISSAL.pdf</a>
<u>Non-Supervisory, Non Visitor Titles for:</u> Prof. Researchers Project Scientists Specialists Coor. Of Public Prog.	Academic Researchers Unit (ARU) (RA)	<a href="https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/index.html">https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/index.html</a>	TBD

**Please contact Academic Employee Relations prior to instituting any Corrective Action/Discipline or Dismissal of a Represented Academic Employee.**

☎: 951.827.2935

✉: [APOmail@ucr.edu](mailto:APOmail@ucr.edu)

Contact campus Labor Relations at \_\_\_\_\_ if both Academic Employee Relations or the Academic Personnel Director in the appropriate Dean’s Office are unavailable.

For ASE or Postdoc titles, Graduate Division is also an alternative contact, and can be reached at \_\_\_\_\_.

Academic Employee Relations should be copied on all communications sent to alternative contacts.

## Appendix D: Glossary of Terms

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

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

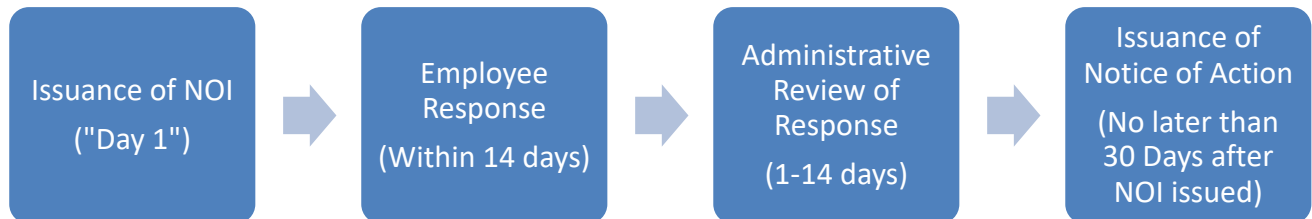
- **Behavior** – Action(s) by an employee that constitutes either a matter of work performance or conduct.
- **Employee** – Non-Senate Academic Employee who reports to a Supervisor.
- **Employment Action** – A formal action that affects the employee’s status, such as a Written Warning, Demotion, or Dismissal. Formal Intervention is not considered an Employment Action.
- **One-on-One Meeting (1:1 meeting)** – A private face-to-face meeting between the supervisor and their employee.
- **“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 (2<sup>nd</sup>-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 2<sup>nd</sup>-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.

### 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 Intent Example
12. **Notice of Action Template**
13. Notice of Action Example

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

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

**JOB DESCRIPTION**

**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 OF THE ROLE, NOT  
THE DAY-TO-DAY, HOUR-BY-HOUR PICTURE]**

**LETTER OF EXPECTATIONS – TEMPLATE**  
**TO BE GIVEN TO ACADEMIC EMPLOYEE WITHIN SEVEN (7) CALENDAR DAYS OF THE APPOINTMENT  
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"*]»

«Outline General Work Hours and Attendance Expectations»

«Expectation»

«Expectation»

«SECTION TITLE»

«Expectation»

«Expectation»

[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 within the scope of your [Job Description/Duty Statement]. You have the right to request further clarification or revisions to these expectations at any time.

**[Signature lines]**

[Job Description Example: *TO BE DEVELOPED*]

[Letter of Expectations Example: *TO BE DEVELOPED*]

[Counseling Memo Example: *TO BE DEVELOPED*]

[Performance Improvement Plan (Remediation Plan) Template: *TO BE DEVELOPED*]

[Performance Improvement Plan (Remediation Plan) Example: *TO BE DEVELOPED*]

[Written Warning Example: *TO BE DEVELOPED*]

[Notice of Intent Template: *TO BE DEVELOPED*]

[Notice of Intent Example: *TO BE DEVELOPED*]

[Notice of Action Template: *TO BE DEVELOPED*]

[Notice of Action Example: *TO BE DEVELOPED*]



## Appendix G: Acknowledgment of Policy

Supervisor Name: \_\_\_\_\_

Department: \_\_\_\_\_

---

I am supervising in the capacity as a:

- Faculty Administrative Officer (Director, Chair, Dean, etc.)
- Principle Investigator (P.I.)
- Current Role with assigned supervisory duties, including over student employees such as TAs

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.

---

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 951-827-2935 or email to [academicpersonnel@ucr.edu](mailto:academicpersonnel@ucr.edu).*