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Contact:	Tina Jordan
Title:	Academic Human Resources Manager
Email:	tjordan@ucanr.edu
Phone:	(530) 750-1280

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Note: For links to referenced documents see Section VI,
Related Information, below.

I. POLICY SUMMARY

- A. This section of the Policy and Procedure Manual for the University of California (UC) Agriculture and Natural Resources (ANR) describes the local procedures for implementing UC Academic Personnel Manual (APM) Section 150, *Non-Senate Academic Appointees/Corrective Action and Dismissal* for all UC ANR academic appointee title series.

Note: The Professional Researcher, Project Scientist and Specialist title series are also subject to the Academic Researcher's Unit Memorandum of Understanding ("MOU", a.k.a., collective bargaining agreement). Refer to Section VI, *Related Information*, below for a link to the MOU.

- B. Nothing contained in these implementing procedures should be read or interpreted to contradict the UC APM policy. If any provision should contradict the UC APM policy, the UC APM policy shall prevail.
- C. The information provided herein is general, whereas the circumstances associated with specific demotion and dismissal situations are unique. Please contact the Academic Human Resources Manager regarding questions or concerns you have about specific situations. (Contact information on page 1 above).
- D. UC ANR academic appointees are expected to maintain a standard of academic responsibility and service consistent with the objectives of the University. Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy. Corrective action is intended to give the academic appointee an opportunity to improve and/or correct conduct or performance.
- E. Selected academic appointees have been assigned to a UC campus with personnel actions approved through campus academic policies and procedures. Thus, those selected academic appointees are subject to campus policies and procedures and are not addressed in UC ANR local implementing procedures. This section of the Policy and Procedure Manual is applicable only to academic appointees subject to UC ANR personnel actions.

II. DEFINITIONS

- A. **Academic Appointee:** An individual appointed to the position of UC ANR Professional Researcher, Project Scientist, Specialist, Specialist in UC Cooperative Extension, UC Cooperative Extension Advisor, Academic Administrator, or Academic Coordinator.
- B. **Campus-Based:** Selected academic appointees have been assigned to a UC campus. Most are subject to the campus academic human resources policies and procedures, and such academics are not addressed in this context. This section of

the PPM is applicable to those academics that are subject to the UC ANR-based academic human resources policies and procedures.

III. POLICY TEXT

- A.** Demotion and dismissal are distinct processes, are not necessarily sequential, and are used depending on the particular situation.
- B.** Demotion is a reduction in academic rank and/or step. Demotion is a disciplinary action taken when an individual no longer meets the performance expectations of their level/rank and step. Inherent in the concept of demotion is the assumption that the demoted individual has the capacity to improve their substandard performance, and that the organization is willing to recognize this capacity and to give the individual an opportunity to improve.
- C.** Dismissal is the termination of the individual's appointment. Dismissal is appropriate in cases where no improvement in the individual's substandard performance has been demonstrated, or where an initial improvement has not been sustained.
- D.** For additional grounds for corrective action or dismissal see APM 150 (link is available in Section VI, *Related Information*, below).

IV. COMPLIANCE / RESPONSIBILITIES

A. UC ANR-Based Academic Appointees

1. The UC ANR Vice President (VP) has authority and responsibility for demotion, dismissal, and related matters as they apply to UC ANR-based academic appointees. The VP has redelegated this authority to the UC ANR Associate Vice President (AVP). The AVP may further redelegate such authority to the UC ANR Vice Provost of Strategic Initiatives and Statewide Programs, the UC ANR Vice Provost of Research and Extension (Vice Provost), and/or other appropriate personnel as designated by the AVP.
2. The VP and the AVP also have authority and discretion to make exceptions to this section of the PPM as they deem appropriate, subject to the provisions of the UC APM policy.

B. Campus-Based Academic Appointees

The campus Chancellor (acting on behalf of the VP) has authority and responsibility for academic annual evaluations and related matters as they apply to campus-based academic appointees that are subject to campus academic human resource policies and procedures.

V. PROCEDURES

The procedures for determining whether demotion or dismissal based on poor performance is warranted are as follows.

- A.** The demotion or dismissal action must be preceded by at least two negative evaluations, which may include either the advancement process and/or the performance evaluation process (reference PPM 336, *Annual Evaluations*). These evaluations must have resulted in the conclusion that the individual is performing at a level below their current level/rank and/or step. The evaluations should be accompanied by evidence that the supervisor and the employee, working together, developed and discussed a reasonable performance improvement plan, and established a schedule for implementing that plan. No more than one calendar year should intervene between the two evaluations, but they may occur at a shorter interval, such as six months. At the time of the second written evaluation of substandard performance, the individual must be advised in writing by their supervisor that lack of improvement may lead to demotion or dismissal.
- B.** In consultation with the Vice Provost and Academic Human Resources, once the supervisor has made the decision to initiate the demotion or dismissal process, the academic appointee shall be notified in writing of the possible action. The academic appointee shall be asked to submit a program review dossier (refer to *Guidelines for Preparing the Thematic Programmatic Review Dossier - "E-Book"*) covering their career since initial appointment, together with supporting documentation. If the academic appointee is unwilling to submit a program review dossier, the supervisor should compile relevant documentation for review.
- C.** The supervisor reviews the program review dossier, and writes a letter of evaluation with a written recommendation based on the evidence in the program review dossier, and on any other substantiating evidence deemed pertinent. The letter of evaluation is then forwarded to the Vice Provost of Research and Extension, to the Vice Provost of Strategic Initiatives and Statewide Programs, or to the next administrative level.
- D.** The Vice Provost or other appropriate administrator conducts an independent review of the program review dossier, the accompanying documents, and the supervisor's recommendation. They then prepare a written letter with a recommendation for action to be taken.
- E.** The program review dossier and the accompanying documents, together with the administrative recommendations, are forwarded to an ad hoc review committee appointed by the Associate Vice President with input from the Academic Assembly Council Personnel Committee.
- F.** The ad hoc review committee reviews the program review dossier, the accompanying documents, and the administrative recommendations, and prepares a written letter of evaluation. The Academic Assembly Council Personnel Committee reviews the ad hoc review committee's letter of evaluation for adherence to procedures.
- G.** All accompanying documents (including the program review dossier and all letters of evaluation, and administrative recommendations) are submitted to the Associate

Vice President, who determines, based on the complete file, whether to proceed with demotion or dismissal.

- H. If a decision is made to proceed with demotion or dismissal, the individual shall be given a written notice of intent and further notices as set forth in detail in APM-150 32 c, d, and e.
- I. If an individual is demoted in rank and/or step, they shall have the opportunity to be reviewed for advancement following the normal number of years of service in the new rank and/or step. The review for such advancement requires submission of a new PR and progression through the normal advancement procedures.

VI. RELATED INFORMATION

- [UC Academic Personnel Manual \(APM\) 150, Non-Senate Academic Appointees/Corrective Action and Dismissal](#)
- [UC Academic Researchers Unit MOU](#) (a.k.a., collective bargaining agreement) November 8, 2019 – September 30, 2022

VII. FREQUENTLY ASKED QUESTIONS

Not used.

VIII. REVISION HISTORY

November 2017:

Format updated.

March 2021:

Revised for current practices, consistency and clarity, titles and links updated, gender-neutral language incorporated.