I. Summary

UC Santa Barbara’s Local Personnel Policies for Staff Members (LPPSM) provide additional guidance and implementing procedures for the Systemwide PPSM. This local procedure provides additional information or procedural steps not included in the corresponding systemwide policy.

II. Definitions

Not applicable.

III. References

PPSM 62- Corrective Action

IV. Responsibility

The Director of Human Resources is responsible for administering this procedure, in consultation with the Vice Chancellor of Administrative Services.

V. Procedures Text

A. Approval of Corrective Actions. Prior to taking formal corrective action, managers and supervisors shall review the need for corrective action with Employee & Labor Relations.
B. **Response Extension.** An employee may request an extension of the response period for a notice of intent by submitting a written request for extension to Employee & Labor Relations. The request for an extension must be made before the end of the response period. The decision to approve or deny the request will be provided to the employee in writing.

1. **Informal Resolution.** Managers and supervisors are strongly encouraged to use various informal means of addressing and resolving employee performance or conduct deficiencies at the earliest possible stages. When possible, informal resolution should be based on discussions between the employee and supervisor regarding their mutual interests in a collaborative process. Attempts at informal resolution do not constitute corrective actions.

   a. **Oral Counseling.** Supervisors and managers may orally counsel employees regarding conduct and performance deficiencies and expectations. Oral counseling should advise employees that corrections or improvements in performance or conduct must occur to avoid formal corrective action or termination. Oral counseling provides the supervisor with the opportunity to address concerns as soon as they arise in employee conduct or performance. Managers and supervisors are responsible for providing assistance and guidance to employees, for the purpose of resolving employee performance or conduct issues at the earliest possible stage. Such assistance may include referral to the Employee Assistance Program in Human Resources (ASAP), the Ombuds Office, or Labor and Employee Relations.

   b. **Letters of Concern.** Supervisors and managers may write letters or memoranda advising employees of the need to address performance or conduct deficiencies. Letters of concern shall offer advice and assistance to the employee whose performance or conduct requires improvement. Letters of concern are not considered corrective action because they do not state the probable adverse consequences or actions which may be taken for the employee's failure to correct or improve performance or conduct. Employees may respond in writing to letters of concern.

2. **Corrective Action.** If attempts at informal resolution do not correct or improve the employee's performance or conduct deficiencies, or, for more serious issues in which informal resolution may be inappropriate, managers and supervisors shall take formal corrective action to address the deficient conduct or performance of staff. Prior to taking any formal corrective action, supervisors and managers shall review the need for corrective action with the Labor Relations Office. All formal corrective actions are subject to review under the Complaint Resolution
Policy. Therefore, all written notices of corrective action shall include a statement advising staff of their right to request such a review.

a. **Written Warning.** A warning letter is the first level of corrective action. Warning letters to employees shall state the specific areas which require correction or improvement, the actions which must be taken by the employee to correct or improve performance or conduct, and the probable adverse consequences, including more serious corrective actions or termination, which may occur if the employee does not correct or improve performance or conduct deficiencies.

b. **Notice of Intent for Serious Corrective Action.** Actions such as demotion, reduction in salary and suspension shall be preceded by at least one written warning, unless the employee's conduct or performance deficiency is so serious that a prior warning is not reasonably required. Other than written warnings, all corrective actions require a written notice of intent to take a corrective action, with an opportunity for the employee to provide an oral or written response within eight calendar days following the notice of intent. Labor Relations may approve an extension of the employee response period specified in the notice of intent, at the request of the employee, or if the University determines that additional time is required prior to taking final action. Following consideration of any input provided by the employee, or after eight calendar days, corrective action may be taken, as stated in the notice of intent, or a less serious corrective action may be taken. All corrective action decisions and effective dates shall be communicated in writing to the employee by the supervisor or manager.

3. **C. Records.** Records of corrective action or a letter of concern and counseling memos are retained in the employee’s personnel file. Upon the employee’s written request, corrective action and/or counseling memos may be removed from the employee’s personnel file after a period of two years from the date of the document’s issuance, provided if there have been no further other corrective action or letter of concern counseling memos on or relating to the same or similar issue. If the employee’s request for removal of the document is approved, the document is removed from the employee’s personnel file and transferred to Employee & Labor Relations for the remainder of the applicable University document retention period.

**D. Applicability:** This procedure applies to regular status career Professional and Support Staff who have passed probation. This policy does not apply to employees who hold positions in Limited, Contract, Casual/Restricted or Management & Senior Professional or Senior Management Group appointment types.