

UCI School of Medicine

Office of Academic Affairs

Academic Researcher Training
ARU's and Policy-Covered Researchers

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School of Medicine Academic Affairs

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Today's Agenda

ARU's vs. Policy-Covered Researchers

Title Codes

Resources

FYI: Researchers Appointments (WOS, Non-ARU)

FYI: ARU Appointments

ARU Sample Appt/Review Timelines

Renewals

Junior Specialists

Special Situations

Layoff/RIT

What are ARU's?

What are 'Policy-Covered'
Researchers?

Researchers:

- Specialist Series
- Project Scientist Series
- Researcher Series

Different policies govern this group depending on if they are ARU's or Policy-Covered Researchers

ARU's

ARU = Academic Researchers Unit

ARU's are **paid** Researchers and are part of the Union

Refer to [current contract](#)

Policy-Covered Researchers

Typically WOS (without salary), but may have a paid supervisory role (consult with SOM Dean's office if a paid ARU has supervisory responsibilities)

Policy-Covered Researchers are not part of the Union; they are not 'ARU's'; they are 'out of unit'.

Refer to [APM](#) and [APP](#)

We also call ARU's and WOS Researchers 'Non-faculty Academics' or 'Non-faculty Appointees'

Title Codes

Use [SOM Title Codes Document](#)

[FLSA Page](#) – use this page to determine if your paid ARU is Exempt (EX) or Non-Exempt (NEX)

check for new appts and reappointments AND when % time is revised (up or down)

MAKE SURE TO USE THE CORRECT TITLE CODE: Most commonly used Title Codes are paid ARUs (EX and NEX, left column) and WOS titles(right column) 'Non-Rep' titles are **very** rarely used in SOM

Research Titles: Represented	
Assistant Researcher	3220
Associate Researcher	3210
Researcher	3200
Asst. Proj. Scientist (EX)	3394
Asst Proj. Scientist (NEX)	3494
Assoc. Proj. Scientist (EX)	3392
Assoc. Proj. Scientist (NEX)	3492
Project Scientist (EX)	3390
Project Scientist (NEX)	3490
Junior Specialist (EX)	3330
Junior Specialist (NEX)	3329
Assistant Specialist (EX)	3320
Assistant Specialist (NEX)	3321
Associate Specialist (EX)	3310
Associate Specialist (NEX)	3311
Specialist (EX)	3300
Specialist (NEX)	3301

Research Titles: Non-Represented	
Assistant Researcher (NON REP)	3227
Assistant Researcher (WOS)	3222
Associate Researcher (NON REP)	3217
Associate Researcher (WOS)	3212
Researcher (NON REP)	3207
Researcher (WOS)	3202
Assistant Project Scientist (NON REP)	3407
Assistant Project Scientist (WOS)	3489
Associate Project Scientist (NON REP)	3405
Associate Project Scientist (WOS)	3488
Project Scientist (NON REP)	3403
Project Scientist (WOS)	3487
Junior Specialist (EX NON REP)	3333
Junior Specialist (NEX NON REP)	3334
Junior Specialist (WOS)	3328
Assistant Specialist (EX NON REP)	3323
Assistant Specialist (NEX NON REP)	3324
Assistant Specialist (WOS)	3322
Associate Specialist (EX NON REP)	3313
Associate Specialist (NEX NON REP)	3314
Associate Specialist (WOS)	3312
Specialist (EX NON REP)	3303
Specialist (NEX NON REP)	3304
Specialist (WOS)	3302

Resources

[AP's ARU Page:](#)

- Current Contract – refer to this first
- FAQ's
- Appt/Reappt Checklists
- Merit/Promo Checklists & Review Notice Letter
- Layoff/Reduction in Time resources incl. template letters
- Supervisory duties form

[APM \(Academic Personnel Manual\)](#)

- Good source of Info for titles that are not represented.
- Need minimum requirements for Recruit ad? Start here to familiarize yourself with minimum criteria.

[AP Salary Scales Page](#)

[AP Checklists](#)

[FLSA Page](#) – use this page to determine if your ARU is EX or NEX ***check for new appts and reappointments AND when % time is revised (up or down)***

FYI: Researchers, WOS Appointments (Non-ARU)

- WOS appointments do not require an open recruitment
- Initial appointments may be less than 1-year and do not have to be tied to the 7/1-6/30 calendar (can end on any date, initially)
- After the initial appointment, WOS appointments may be tied to the fiscal (7/1-6/30) calendar after the first merit review.
- **Use UCI AP-21 form** for appointments/renewals/revisions; always use a new form from AP's web page for each action: forms auto-populate based on input & undergo regular updates by AP
- **All WOS review files are processed via Scholar Steps**
- For WOS researchers ALL Merit or Promotion actions require a full file; see appropriate AP Checklist
- **Non-represented Academic Researchers (including WOS titles) remain subject to the APM:**
<https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/>

*As a reminder, please allow a minimum of 1-2 weeks processing time for AA to review files.

**Units are responsible for verifying approved actions are entered in payroll accurately & timely

FYI: ARU Appointments

- Paid appointments in the Researcher series are covered by the 'RA' contract. We call them 'ARU's', 'covered', or 'in-unit'
- Paid appointments ALWAYS require an open recruitment; for this population, 30-day recruitments are preferred, *if necessary, a 15-day search is permissible for Specialist, Project Scientist, Academic Coordinator, and Teacher-UNEX series positions (APP 2-30).*
- **Use UCIRA-1 form** for appointments/renewals/revisions/extensions
- Per Contract: the initial appointment, and all reappointments must be a minimum of 1 year until the first merit or promotion review. **After their first successful review, the ARU is then reappointed to the normative time at rank/step, and they are tied to the 7/1-6/30 schedule.**
 - **Exceptions to length of appointment:**
 - Lack of Work, lack of funds or programmatic need – must document reason on the RA-1 form
 - If the department chooses to extend the appointment, the extension must be for at least a full year or until the first review action whichever is sooner.
 - Visa restrictions

FYI: ARU Appointments (Cont'd)

- Workload must be commensurate with appointment percentages and must be whole numbers, not decimals (75% not 75.38%)

Example: If ARU appointee is expected to have four-day work week, M-Th the appointment percentage should reflect 80% time

- Appointment percentages should not be “backed into” using funding dollars
- Represented Academic Researchers (ARUs) are subject to the latest [contract](#)

*As a reminder, please allow a minimum of 1-2 weeks processing time for AA to review files.

**Units are responsible for verifying approved actions are entered in payroll accurately & timely.

File Tips

- Use [RA-1](#) or [AP-21](#) form from AP's web page; use a new form from AP each time: forms auto-populate based on input & undergo regular updates by AP
- Be sure to use live links to forms rather than saving to desktop or editing prior documents
- Off-Scale Salaries: VP is the final authority on all off-scale salary increases not provided during a scheduled review. Considered based on professional achievement/availability of funding only (*must be addressed in dept letter).

FYI: ARU Sample Timeline – Appt and Review

Jane Eyre is hired as Assistant Specialist, step I, 80% from 5/1/23-4/30/24

- One year minimum initial appointment is met;
- Department wants to keep Jane past 4/30/24; they decide to provide a reappointment for one year: 5/1/24 to 4/30/25; again, minimum reappointment time is met
- Asst. Specialist normal time at rank/step is 2 years, a review is due and effective on 7/1/25
- If department intends to review and keep Jane past 4/30/25, they process a short extension using the RA-1 form from 5/1/25 to 6/30/25
- Department puts together Jane's first merit review file in Fall of 2024, with an eff date of 7/1/25. This file is due to SOM AA by 12/1/24, and SOM AA must submit the file to AP by 3/1/24.
- Everything goes well and Jane receives a Merit effective on 7/1/25. Jane has a Visa end date of 6/30/26
- Her Merit letter includes an end date of 6/30/26 (2 years normative time is restricted by Visa end date)
- Department does not submit an RA-1 to extend Jane's appointment, since the appointment is extended via the Merit letter. *Department ensures that the new appointment is entered correctly and in a timely manner into UCPATH*
- If Jane's Visa is later extended, the department should submit an extension to the normative time (6/30/27) using the RA-1 form

SAMPLE LOG ENTRY

Dept.	Last	First	Initial Hire		T-Code	Title	Step	Salary	%	VISA	Rev Date	Next		Notes	
			Date/Renewal	END								Action	Next Step		
Medicine	Eyre	Jane	5/1/2023	4/30/2024	3320	Asst. Specialist	I	\$54,900	80%	6/30/2026	24-25	M	II	Initial Appt	
			5/1/2024	4/30/2025	3320	Asst. Specialist	I	\$57,096	80%	6/30/2026	24-25	M	II	1st Reappointment	
			5/1/2025	6/30/2025	3320	Asst. Specialist	I	\$59,379	80%	6/30/2026	24-25	M	II	Short Extension to 6/30 while file is processed; submitted to HRSN	
	Eyre	Jane	7/1/2025	6/30/2027	3320	Asst. Specialist	II	\$61,754	80%	6/30/2026	26-27	M	III	PROPOSED; MUST FILE EXTENSION RA-1 TO 6/30/27 WHEN VISA EXTENDED	

ARU Review Files

(1) 2023-24 ARU File Deadlines is 12/1/23

Due on this date: Promotions, Non-reappointments, Above Scale actions, Dean-Delegated Merits, and all other actions (including non-faculty academics: ARU's and WOS researcher series appointees)

Academic Affairs will accept early file submissions. Files received 12/1 that are incomplete or require return to department review are not considered on time.

(2) In 23-24 ALL REVIEW FILES MUST COME FORWARD IN SCHOLARSTEPS, except for:

- Appointments and non-reappointments
- Split appointments
- Jr Specialists ARU's (Use AP-RA1 form)

(3) ARU contract requires 6-week notice of materials due for review file

- Use template letter on AP's site to notify ARU and keep request department records.

FYI: Junior Speialists

Junior Specialists (ARU)

- Initial appointment may be less than 1-year due to programmatic need, visa limitation or lack of funding; reappointments must be for 1 year
- Junior Specialists may only remain at each step for 1 year
- If reappointed for second year, must receive a step/rank and salary increase and normative time; normative time for this rank is **1 year**

Junior Specialists (ARU)

- PAID Junior Specialists (ARU) do not undergo merit reviews, they are granted a 'step increase', or a 'rank increase' using the RA-1 form. This means that *instead of a Review file*, an increase in rank/step is reported on the UCI-AP-RA1
- If hired at Junior Specialist I, step increase to Junior Specialist II is required after 1 year
- If hired at Junior Specialist II, rank increase + evaluation to Assistant Specialist I is required after 1 year

Sample Appointment Trajectory:

- 3/1/21– 2/28/22, Jr Specialist, Step 1
- 3/1/22–2/28/23, Jr Specialist, Step 2
- 3/1/23– 6/30/25, *Asst Specialist, Step 1; first review: now tied to the 7/1-6/30 schedule*

Recap: ARU Jr. Specialists, Reviews

- Paid Jr. Specialists are required to have a 'step increase' each year until they achieve step II.
 - *Jr. Specialist ARU's do not undergo merit review – their step increase or rank increase is recorded using the RA-1 form*
- After step II, they will then receive a 'rank increase' to Assistant Specialist, and the appointment is tied to the 7/1-6/30 schedule thereafter.
 - *Assistant, Associate and Full ARU's (of all series) do undergo merit reviews – use appropriate AP Checklist*

FYI: Jr. Specialists, WOS Reviews (Non-ARU)

- Jr. Specialists, WOS: (in contrast to ARU's) Review is not required until year 2 for those hired at Jr. Specialist step I, WOS, or until year 1 for those hired at Jr. Specialist step II
- Jr. Specialists, WOS always require a full Merit or Promotion file; they do not utilize step or rank increase
- Use Scholar Steps to submit Review file

Check Your Knowledge (1)

Scenario #1

Jane Doe is a Junior Specialist, step I who is appointed from 7/1/22 to 6/30/23. The department has funding for the position through 7/31/2023.

Jane receives a Step Increase using the RA-1 form, eff. on 7/1/23. **Could the department renew Jane's position for only 1-month from 7/1/23-7/31/23?**

- ▣ Yes
- ▣ No

Answer: Scenario #1

NO – the department cannot renew the appointment for one month.

- The contract requires that renewal be made for the duration that is equivalent to the title's normative time at step. For Junior Specialists, normative time at step is 1-year. Potential options are:
 - a. No renewal, appointment ends on term end date: 6/30/2023
- OR
- b. If the department is awaiting funding decision, a renewal of 1-year may be offered, and layoff procedures must be initiated if funding does not materialize to end appointment early.

Questions



Special Situations

Special Situations – Moving out of the bargaining unit

What happens if a represented ARU needs to be moved out of the bargaining unit?

- There is a defined process the University must follow; let your Dean's Analyst know. The Office of Academic Personnel will manage with the departments/schools

The following process is required:

- **Step 1:** Complete the [Supervisory Duties Form](#) and Checklist for the Academic Researcher being moved out of the unit and submit to the Office of Academic Personnel.
- **Step 2:** After reviewing the checklist, if they concur with the proposed out-of-unit movement, the Office of Academic Personnel will notify the union 30 days prior to the effective date of the out-of-unit movement.
- **Step 3:** AP will notify the department/school of the decision on the out-of-unit movement. Department initiates payroll request to change title code.

Special Situations: Please consult with the Dean's Office

Layoff/Reduction in Time (RIT)

The University shall provide a copy of the layoff notice to the UAW within five (5) working days of the layoff notice to the Academic Researcher

Non-Renewal or Partial Renewal

Please have the required documents and supporting materials ready as far in advance of notice period as possible; if you need help planning timelines, consult with your Dean's Analyst and work with our office to make corrections, gather required materials, etc.

Out-of-unit movement

Please work with your Dean's Analyst to initiate this process ASAP: AP must provide the Union notice no later than thirty (30) calendar days in advance of the effective date of the out of unit movement

AP will review the above actions and provide the appropriate notice to the union; no action other than draft notices/other required or supporting documentation required by Department Analyst.

These are special situations: please work closely with your Dean's Analyst in these situations; the sooner the Dean's office is notified, the better.

Best practice is to confirm notice requirements/timelines with your analyst.

Layoff/Reduction In Time vs. Separation/Non-Reappointment

Layoffs and RITs

- Layoff is defined as an involuntary separation due to a change in programmatic need in the lab/hiring unit, lack of work, or lack of appropriate funding *within the term of the appointment*.
- A Layoff/Reduction In Time (RIT) occurs when an Academic Researcher's appointment is involuntarily reduced due to a change in programmatic need in the lab/hiring unit, lack of work, or lack of appropriate funding *within the term of the appointment*.

Separation/Non-Reappointment

- Academic Researchers with term appointments are considered separated from employment at the expiration of such appointments, unless reappointed. This separation does not constitute a layoff and is considered a non-reappointment.

Layoff/Reduction In Time

What is Required?

- Complete the [Proposal Form](#)
- Complete the [Notice of Layoff](#) or [Notice of Reduction in Time](#) (*template letters on AP's ARU page)
- University shall provide written notification to the Academic Researcher at least forty-five (45) calendar days in advance of the effective date of the layoff. Pay and benefits in lieu of notice is required if notice is less than 45 days

Please allow up to 10 business days' time for the Dean's Office to review the vetting form and draft notices, and any supporting documents and an additional 10 days' time for AP's review of all documents. We recommend providing the documents to your Dean's Analyst at least 60 days in advance of the adverse action.

Note: Layoff Status/Recall rights shall be granted for one (1) year or the end of their appointment, whichever is sooner, for all Academic Researchers subject to layoff or RIT

Layoff/RIT Helpful Hints

Layoff – Proposal Form

List all individuals in the department with the same title series as the individual proposed for **layoff**. Seniority can be determined by those paid on the same grant/funding if the reason is lack or loss of funds. If the proposed action is out of seniority order, a memo justifying the lack of skills or knowledge of the more senior employee also required.

Supporting documentation required: budget summaries for lack of funds;
emails/documentation for lack of work

Revising a RIT

If there is a change in the RIT (even with a change that increases the original RIT % or fully restores the funding), the RIT notice should be revised to document the actual RIT and ensure accurate layoff recall status, or the RIT notice should be rescinded if no longer needed.

* RA-1 should always reflect the accurate appointment % at the time of change.

Non-Renewal/Partial Renewal

What is Required?

(1) Complete the [Adverse Action Vetting Form](#) (*to be posted on SOM page soon)

(2a) For ARU'S that are appointed 8 years or more consecutively in same series, and 50% or more, complete the [Notice of Action](#) and [Notice of Intent](#) (*template letters on AP's ARU page)

IMPORTANT: University must provide written notification to the Academic Researcher at least forty-five (45) calendar days in advance of the effective date of the layoff. Pay and benefits in lieu of notice is required if notice is less than 45 days

(2b) For all other ARU's, complete the [Courtesy 30-day Notice](#) (*to be posted on SOM page soon – contact Dean's Analyst)

IMPORTANT: It is SOM's practice to provide provide written notification to the Academic Researcher at least forty-five (45) calendar days in advance of the effective date of the layoff

Please allow up to 10 business days' time for the Dean's Office to review the vetting form and draft notices, and any supporting documents and an additional 10 days' time for AP's review of all documents. We recommend providing the documents to your Dean's Analyst at least 60 days in advance of the adverse action.

Vetting

Vetting is the process by which an Adverse employment action is reviewed by Campus officials prior to giving our School the 'Green Light' to proceed with the adverse action.

Vetting is required for the following situations; formal vetting by AP can take up to 2 weeks after review by the Dean's Analyst:

- ❑ Non-reappointment
- ❑ Partial renewal
- ❑ Dismissal
- ❑ Layoff/RIT – Vetting is NOT required, however, AP review is required after review by the Dean's Analyst

Instructions: Renewals, Non-Renewals, Vetting, etc.

Click on link for step-by-step [SOM Renewal Instructions](#)

Please ensure you verify the current employment data (i.e. department records + payroll) before submitting documents to ensure timely processing

Check Your Knowledge (2)

Scenario #2

When a department needs to layoff an ARU due to lack of funding, is it appropriate to place them in a WOS title after the layoff has occurred, so they may continue working?

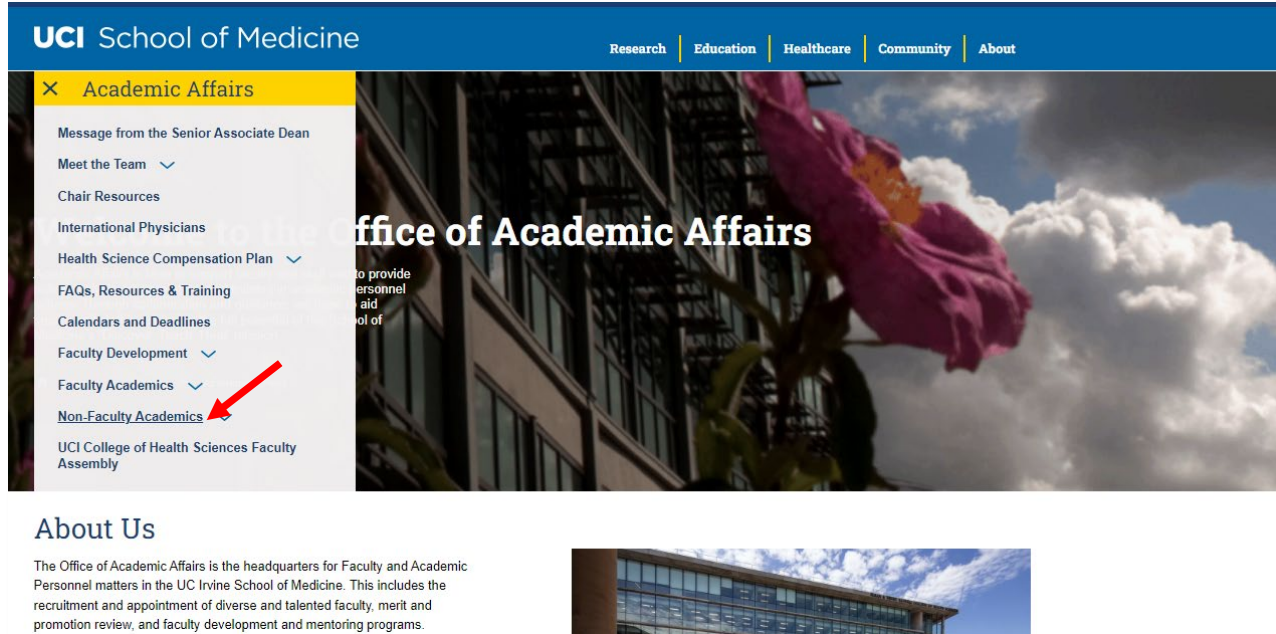
- ▣ Yes
- ▣ No

Answer: Scenario #2

- Academic Researchers may not alternate back and forth between paid and WOS titles (even after a break in service or due to resignation)
- If there is a lack of funding, the layoff process is required to end the appointment and individuals subject to layoff cannot convert to WOS titles
- WOS titles are not allowed during the layoff period (even if voluntary)
- Anybody who is in WOS title switching → paid would be subject to UCI recruitment/ appointment procedures (i.e. time at rank/step would re-start)

SOM Academic Affairs – Web Page

Other Resources



UCI School of Medicine

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× Academic Affairs

- Message from the Senior Associate Dean
- Meet the Team
- Chair Resources
- International Physicians
- Health Science Compensation Plan
- FAQs, Resources & Training
- Calendars and Deadlines
- Faculty Development
- Faculty Academics
- Non-Faculty Academics**
- UCI College of Health Sciences Faculty Assembly

Office of Academic Affairs

The Office of Academic Affairs is the headquarters for Faculty and Academic Personnel matters in the UC Irvine School of Medicine. This includes the recruitment and appointment of diverse and talented faculty, merit and promotion review, and faculty development and mentoring programs.

About Us

SOM Office of Academic Affairs:
<https://medschool.uci.edu/about/office-academic-affairs>

UCI Academic Personnel:
<https://ap.uci.edu/ar/>

UAW Contract:
<https://ucnet.universityofcalifornia.edu/labor/bargaining-units/ra/contract.html>

Questions

