Adverse Actions

March 2024

Maral Dakessian | Training Manager, SOM Academic AffairsDean’s Office
# Dean’s Office Analysts

**School of Medicine Academic Affairs Dean’s Office Staff/Dept Analysts**

**Unit/Department Assignments**

**As of March 26, 2024**

<table>
<thead>
<tr>
<th>Department/Unit</th>
<th>Faculty Analyst</th>
<th>Backup Analyst</th>
<th>Non-Faculty Analyst</th>
<th>Backup Analyst</th>
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<td>Anesthesiology &amp; Perioperative Care</td>
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<td>Urology</td>
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<td>April Heath</td>
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Agenda

- Resources
- Definitions
- Where to start
- General Notification Timelines
- Non-Renewal: Faculty & Policy Covered Appointees / ARU's
- Layoff: Faculty & Policy Covered Appointees / ARU's
- Resignation/Retirement
- Corrective Action/Discipline
- Adverse Actions: Scenarios
- Questions
Resources

- **AP Guidelines:** APP 4-09 Term Appointments – APM 137 and APP 4-16 Non-Represented Non-Senate Layoff

- AP’s ARU and Postdoc Pages

- 2024-25 Renewals Instructions

- SOM Vetting Policy

- **30-day Courtesy Notices, Vetting form, and SOM Policies:** visit the Academic Affairs page and review ‘Recall, Leave, Adverse Actions’ page for each title series (Faculty/Non-Faculty)
Adverse Actions: Definitions

A change to the appointee’s terms of employment, initiated by the department.

*Departments must follow University policies or Contract guidelines depending on the affected title series.*
Adverse Actions: Definitions

1. **Non-Renewal:** Appointee is due for renewal (typically eff. on 7/1), however, the department decides that they will not renew the appointment (*usually due to lack of work or lack of funds*)

2. **Partial Renewal:** Appointee is due for renewal (typically eff. on 7/1), however, the department decides that they will renew for a length of time shorter than the term of the appointment (1 year for Faculty or Policy Covered Non-Faculty or 2-3 years for ARUs) OR they will only renew a reduced portion of the full appointment (*usually due to lack of work or lack of funds*)

3. **Layoff/Reduction in Time:** Appointee’s position is eliminated or reduced in time prior to the term end date

4. **Layoff Unit:** A layoff unit is normally considered to be the department, division, or program.

5. **Voluntary Resignation/Retirement:** These are voluntary, therefore, not technically considered Adverse Actions

6. **Dismissal:** Appointee’s appointment is ended due to cause – please contact your SOM AA Dean’s Analyst
Adverse Actions: Where to Start

1. **First, look at your ARU’s and Policy Covered Non-Faculty (Specialists, Project Scientists, etc.):** This group commonly have Adverse Actions (Non-Renewal, Partial Renewal) and ARU’s have 45-day notice requirements.

2. **Next, look at HS Clinical Instructors:** They often have a 1-year appointment and end on 6/30. The department must vet and provide a 30-day Courtesy Notice, OR the HS Clin Instructor may provide a voluntary resignation notice.

3. **Does the department have any Faculty or Non-Faculty that will retire or resign all or part of their appointment (voluntarily)?** Make sure you have their voluntary resignation or retirement letter (signed, dated, and must include date of resignation/retirement).

*NOTE: This is not an exhaustive list*
Adverse Actions – General Notification Timelines

Policy Covered Faculty/Non-Faculty: department is required to provide at least a 30-day Courtesy Notice, OR a 60-day notice of intent and 30-day Notice of Action depending on the time in series and the action (Layoff vs. Non-Renewal)

Contract-Covered Non-Faculty (ARU’s): There is either a 45-day or 60-day notice period depending on the time in series and the action (Layoff vs. Non-Renewal)

NOTE: all Adverse Actions (except for layoffs) must be vetted with Academic Personnel. Layoffs are not vetted, but they still require AP review. AP’s review adds approx. 10-15 days to the above timelines
Adverse Actions: Step by Step Overview

1. **Determine title series:** (Faculty/Non-Faculty, ARU, postdoc etc.)

2. **Are they Policy Covered** (Non-Senate Faculty, non-represented Researchers series)? **Or Are they covered by a Contract/MOU** (ARUs, Postdocs)

3. **Determine how long the appointee has been in the same title series consecutively:** this will determine the notice period

4. **Determine the action:** Non-Renewal, Partial Renewal, or Layoff

5. **Review guidance on the SOM Academic Affairs page,** (see drop downs: Faculty or Non-Faculty, then click on 'Recall, Leave or Adverse Actions' page) **OR review AP's website** (ARU's, Postdocs)

6. **Determine the notice period required, review your timeline and start gathering required documents**

7. **Assemble required documents, review and submit to your Dean’s Analyst**
Non-Renewal: Faculty & Policy Covered Appointees

The next few slides will address Non-Renewals and Partial Renewals for Faculty and Policy-Covered Non-Faculty:

- Health Sciences Clinical Professor Series
- Adjunct Professor Series
- Professional Researcher Series (WOS)
- Project Scientist Series (WOS)
- Specialist Series (WOS)
- Visiting Titles
Policy: Non-Reappointment for Term Appointees (summarized)

**APP 4-09 Term Appointments APM 137**

This policy applies to those appointees who are not subject to an MOU (Union contract)

Non-Senate Faculty/Non-Faculty appointments are considered ‘term’ appointments: appointments that are made for a specific period and end on a specified end date. Appointments with an established ending date are self-terminating and subject to the notice requirements of APM 137.

For the purposes of this policy, a non-reappointment is a decision not to reappoint an individual beyond the established ending date. A non-Senate academic appointee with a term appointment is considered separated at the expiration of such an appointment. This is not considered a layoff.

The University is required to provide a written notice of an appointment or reappointment to each non-Senate academic appointee with a term appointment. The University has the sole discretion not to reappoint those who have served less than eight consecutive years of service in an academic title or title series on a campus.

The University is required to give notice of non-reappointment to those who have served at least 50 percent time for eight or more consecutive years of service in the same academic title or title series on a campus.

SOM has an established practice to provide a 30-day Courtesy Notice of non-reappointment (at minimum) to all paid appointees who are subject to APM 137. There is no established practice to provide a Courtesy Notice to WOS appointees.

APM-137 applies to all academic appointees of the University with term appointments who are not members of the Academic Senate:

Health Sciences Clinical Professor Series
Adjunct Professor Series
Professional Researcher Series (WOS)
Project Scientist Series (WOS)
Specialist Series (WOS)
Visiting Titles
In cases of non-reappointment, the following criteria apply:

<table>
<thead>
<tr>
<th>Appointee with less than 50 percent time or no more than one quarter</th>
<th>The University is not required to give written notice of non-reappointment to appointees who hold appointments at less than 50 percent time or short-term appointments of no more than one quarter. <em>SOM practice is to provide a 30-day ‘Courtesy Notice’ for paid appointments in this category</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointee with fewer than eight consecutive years of service</td>
<td>For appointees who have served fewer than eight consecutive years in the same academic title or title series on a campus, the appointment terminates automatically on its specified ending date unless notice of reappointment is given. It is within the University's sole discretion not to reappoint an appointee under this section, so long as the reasons for non-reappointment are not unlawful or in violation of University policy. <em>SOM practice is to provide a 30-day ‘Courtesy Notice’ for paid appointments in this category</em></td>
</tr>
<tr>
<td>Appointee with eight or more consecutive years of service</td>
<td>For appointees who have served at least 50 percent time for eight or more consecutive years in the same academic title or title series on a campus, notice of non-reappointment must be given in accordance with APM-137-32. The University may decide not to renew a term appointment under this section, when in its judgment, the programmatic needs of the department or unit, lack of work, the availability of suitable funding for the position, or the appointee's conduct and performance do not justify renewal of the appointment. <em>University policy is to provide a 60-day Notice of Intent, followed by a 30-day Notice of Action</em></td>
</tr>
</tbody>
</table>
Faculty/Policy Covered: Non-Renewal Notice Requirements

SOM requires a 30-day Courtesy Notice when:
The appointee has less than 8 consecutive years of service in the same academic title or title series. Use SOM 30-Day Courtesy Notice Template (faculty or policy covered Researchers).

University requires a 60-day Notice of Intent followed by a 30-day Notice of action when:
The appointee has been employed at least 50 percent time for 8 or more consecutive years in the same academic title or title series on campus. Use template letters in APP Policy 4-09-C.

No notice required when:
The current appointment is without salary (WOS).
The appointee voluntarily resigns or retires (*please send your Dean's Analyst a signed/dated resignation or retirement notice)
Non-Renewal: ARU’s

The next few slides will address Non-Renewals and Partial Renewals for ARU’s.

ARU’s are part of the RA Unit subject to Contract guidelines; they are paid appointees in the following title series:

- Specialists
- Project Scientists
- Professional Researchers
Contract Guidelines: Non-Reappointment for ARU's

Summary of Contract Guidelines:

**a. Appointments of Less Than 50 Percent Time**
The University is not obligated to give written notice of Non-Reappointment
*SOM practice is to provide a 30-day 'Courtesy Notice' for paid appointments in this category*

**b. Appointments of More Than 50 Percent Time With Fewer Than Eight Consecutive Years of Service:**
The appointment terminates automatically on its specified ending date unless notice of reappointment is given. It is within the University's sole discretion not to reappoint, so long as the reasons for non-reappointment are not unlawful or in violation of this Agreement.
*SOM practice is to provide a 30-day 'Courtesy Notice' for paid appointments in this category*

**c. Appointments of More Than 50 Percent With Eight or More Consecutive Years of Service:**
The University may decide not to renew an appointee who has served at least 50 percent time for eight or more consecutive years in the same title series on the same campus when the programmatic needs of the lab/hiring unit, lack of work, the availability of appropriate funding for the position, or the appointees’ conduct or performance do not justify renewal of the appointment.  University/Union requires a 60-day Notice of Intent, followed by a 30-day Notice of Action
SOM requires a 30-day Courtesy Notice when:
The appointee has less than 8 consecutive years of service in the same academic title or title series
Use SOM ARU 30-Courtesy Notice Template

University requires a 60-day Notice of Intent followed by a 30-day Notice of action when: The appointment is at least 50 percent time for 8 or more consecutive years in the same academic title or title series on campus
Use Notices on AP's ARU page

No notice required when:
The appointment is WOS
The appointee voluntarily resigns or retires (*please send your Dean's Analyst a signed/dated resignation or retirement notice)
Non-Renewal; All Appointees – Next Steps

Once you have identified which notice is required, assemble the following documents:

1. Draft Notice (.doc format)
2. **SOM Adverse Action Vetting Form**
3. Any back-up documents needed to document the reason for non-reappointment
   - Budget statements showing lack of funds; OR
   - Emails or other documents showing lack of work
4. Send all items to your Dean’s Analyst
5. Dean’s Analyst will review, ask you to make any corrections or add items, and then will send to AP for vetting
6. When AP has reviewed/vetted, they will send the Dean’s Analyst the ‘green light’ email
7. The Dean’s Analyst provides the department the go-ahead to provide the letter(s) to the appointee
8. Department Analyst will obtain Chair’s signature on the letter, review the date at the top and the body of the letter to ensure they are all accurate and timely, then provide the letter to the appointee along with a copy of the letter to all those that are CC’d, including the Dean’s office, but excluding the Dean and AP (Dean’s Analyst will provide them a copy)
9. Department Analyst will keep a copy of the letter in the appointee’s department file
10. Department Analyst will process the separation in UCPath/HR Service Now
Non-Renewal (ARU's) – Reminder: Draft Notices

All Notices:

a) Must be on Department Letterhead

b) Must include a ‘future’ date which provides enough time to review/vet the decision and notify the appointee of the adverse action.

c) Must not include the Chair’s signature (signature may be added later when vetting is complete)
Layoff: Faculty & Policy-Covered Appointees

Health Sciences Clinical Professor Series
Adjunct Professor Series
Professional Researcher Series (WOS)
Project Scientist Series (WOS)
Specialist Series (WOS)
Visiting Titles
Policy & Definitions: Layoff for Term Appointees

APP 4-16 Non-Represented Non-Senate Layoff

Layoff
An action is considered a layoff if, without voluntary resignation, an appointee’s employment is ended prior to the specified end date because of lack of work, lack of funds, or programmatic change. A layoff action should not be used as a means of rectifying a performance-based problem.

Reduction In Time
Similarly, involuntary reduction in time is a change in the percentage of time to a lesser percentage of time prior to the specified end date in a situation not specifically requested by the appointee but, rather, determined by the University because of lack of work, lack of funding, or programmatic change.

This policy applies to all non-senate academic appointees who are not covered by a memorandum of understanding (MOU).
Policy: Layoff for Term Appointees

Summary of [APP 4-16-C Procedures]:

When a reduction in personnel is necessary because of lack of funds, lack of work, or programmatic change, the employing unit is required to:

1) Determine who is to be laid off on the basis of the procedures established under “Order of Layoff”, and provide appropriate information on Intent to Layoff form

2) Attach draft of notice of layoff letter to Intent to Layoff form

3) Determine the order of layoff and preferential recall policies in alignment with [APP 4-16-C] and [4-16-E]. If seniority is used for purposes of determining the order of layoff or involuntary reduction in time, it shall be established on the basis of the number of months of full-time equivalent service with the University.

4) Notify the appointee(s) in writing of Layoff or Involuntary Reduction in Time; the notice must include: the reason for the action and the effective date of the action, allowing for at least 30 calendar days notice to the appointee.
## Faculty/Policy Covered: Layoff Notice Requirements

### Required Notice Periods:

<table>
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<tr>
<th>Non-Senate Teaching Titles:</th>
<th>Non-Senate Teaching Titles:</th>
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<tbody>
<tr>
<td>Adjunct Professor series</td>
<td>Adjunct Professor series</td>
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<tr>
<td>HS Clinical Professor series</td>
<td>HS Clinical Professor series</td>
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<tr>
<td>Acting Assistant Professor</td>
<td>Acting Assistant Professor</td>
</tr>
<tr>
<td>Visiting Professor titles</td>
<td>Visiting Professor titles</td>
</tr>
<tr>
<td>Teacher – UNEX</td>
<td>Teacher – UNEX</td>
</tr>
</tbody>
</table>

Generally, for layoff or involuntary reduction in time at least 30 calendar days advance written notice must be given. Where advance notice is not practicable, pay in lieu of notice will be given with Chancellor/designee approval.

For the Adjunct Professor series (APM 280), the Clinical Professor series, and Acting Assistant Professor (APM 235), the following notice should be given:

- 30 days notice - appointee with up to 2 years of service
- 60 days notice - appointee with more than 2 years of service

### Other Non-Senate Titles (Non-Teaching):

- Professional Research Series
- (and visitors)
- Specialist Series
- Project Scientist Series
- Continuing Education Specialist
- Academic Coordinator
- Academic Administrator

Generally, for layoff or involuntary reduction in time at least 30 calendar days advance written notice must be given. Where advance notice is not practicable, pay in lieu of notice will be given with Chancellor/designee approval.
Layoffs – Faculty/Policy Covered: Which Notice and Forms Do I Use?

1) AP’s Intent to Layoff Form

2) AP’s Sample Layoff Notices A-D, depending on Title Series
   - Sample Letter A – Non-Senate Non-Teaching Layoff Notice
   - Sample Letter B – Non-Senate Non-Teaching Reduction in Time Notice
   - Sample Letter C – Non-Senate Teaching Layoff Notice
   - Sample Letter D – Non-Senate Teaching Reduction in Time Notice

3) Checklist AP UCI 145

**NOTE: All Draft Notices …**

- Must be on Department Letterhead
- Must include a ‘future’ date which provides enough time to review/vet the decision and notify the appointee of the adverse action.
- Must not include the Chair’s signature (signature may be added later when AP review/approval is complete)
Layoffs – Faculty/Policy Covered: Intent to Layoff Form

INTENT TO LAYOFF OR INVOLUNTARY REDUCTION IN TIME

It is proposed that the individual named below be laid off or reduced in time for the following reasons:

____ Lack of Work  ____ Lack of Funds  ____ Programmatic Change

NAME_____________________________ TITLE & STEP____________________

HIRE DATE________ END DATE______ MONTHS OF SERVICE__________

DEPARTMENT________________________

FUNDING SOURCE: Account Name(s) & Account Number(s)____________________

_____________________________ __________________________
EFFECTIVE DATE REASON(S)

____________________________
(Use additional pages to complete this section. Include names of others who hold appointments in the same title or title series and explanation of order of layoff.)

I am requesting approval for the layoff based on the above information:

Supervisor/Unit Head __________________________ Date______

Department Chair __________________________ Date______

APPROVED:

_____________________________ __________________________
Dean: __________________________ Date:

REVIEWED:

_____________________________ __________________________
Diane K. O’Dowd Vice Provost Date______

Attachment: Draft of Layoff Letter
Layoffs – Faculty/Policy Covered: Sample Draft Notice

SAMPLE A

NOTICE OF LAYOFF. NON-TEACHING TITLES (use only for non-senate academic appointees not represented by a collective bargaining agreement, e.g., Researchers, Specialists, Project Scientists)

ADMINISTRATIVE CONFIDENTIAL

*

Department of *

It is with regret that I must inform you that your position as a * in the Department of * School of * will be eliminated due to * (lack of funds, programmatic change, etc). The effective date of this layoff is *. This letter constitutes the thirty (30) calendar days notice required by University policy.

University policy on layoffs for non-Senate academic appointees is set out in the Academic Personnel Manual, Section 145. This policy includes a provision to recall * (insert unit of layoff) until * (insert date—e.g. your last teaching term or control period for APN 143-20). During this time, if there is a vacancy in your series title of * (state title or title series) within * (state unit or unit title), you will be recalled if you are qualified for the position, and if you are available to begin work within a reasonable amount of time. If more than one qualified person is on layoff status, the order of recall shall be in reverse order of layoff. In addition, preferred reemployment rights are available for qualified appointees at the same campus, in the same title or title series and at the same or lower rank as the position you currently hold. A listing of current academic job opportunities at UCI is available at https://recruit.apuci.edu/

Please be aware that an appointee who is subject to layoff or involuntary reduction in time may request that the Chancellor or designate supply in writing a summary of the reasons for the order of layoff or involuntary reduction in time. A request for such information should be submitted in writing to the Office of Academic Personnel.

Layoff decisions may be appealed in accordance with policy and procedures set forth in Section 146 of the Academic Personnel Manual.

As an appointee who has been subject to layoff or involuntary reduction in time in accordance with APN 145, you may be eligible to continue your current UC-sponsored health plans (medical, dental, vision) for up to 18 months by making a timely ”COBRA” election. Under Federal law, the election period is sixty (60) days from date of separation. Interested employees must contact the Benefits Office to obtain continuation forms and more information.

I wish you success in securing new employment and hope the transition will be a short one.

Sincerely,

Designated Supervisor/PI

cc: Dean
Chair
CFO
Labor Relations
Academic Personnel
Benefits Office
Layoffs – Faculty/Policy Covered: Next Steps

1. Assemble all required documents: Layoff Checklist (AP 145), Intent to Layoff Form, Draft Notice
2. Add any back-up documents needed to document the reason for Layoff
   • Budget statements showing lack of funds; OR
   • Emails or other documents showing lack of work
4. Send all items to your Dean’s Analyst
5. Dean’s Analyst will review, ask you to make any corrections or add items, and then will send to AP for vetting
6. When AP has reviewed, they will send the Dean's Analyst the ‘green light’ email
7. The Dean’s Analyst will give the department analyst the go-ahead to provide the letter(s) to the appointee
8. Department Analyst will obtain Chair’s signature on the letter, review the date at the top of the notice, and any dates in the body of the letter to ensure they are all accurate and timely, then provide the letter to the appointee. Send a copy of the letter to all those that are CC’d, including the Dean’s office, but excluding the Dean and AP (Dean’s Analyst will provide a copy)
9. Keep a copy of the letter in the appointee’s department file
10. Process the separation in UCPath/HR Service Now
Layoff: ARU’s

Specialists

Project Scientists

Professional Researchers
Layoff is defined as an involuntary separation for an Academic Researcher due to a change in programmatic need in the lab/hiring unit, lack of work, or lack of appropriate funding.

A reduction of time (in percent effort or duration of appointment) 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.

The University has the sole, non-grievable discretion to determine the layoff unit. When the University determines that there is to be a change in the layoff unit within the bargaining unit, it shall give the UAW advance notice of at least thirty (30) calendar days and, upon request by the union, shall bargain regarding the impact on Academic Researchers.

From: RA Contract, Article 11 Layoff and Reduction in Time
ORDER OF LAYOFF OR REDUCTION IN TIME

1. The order of layoff or reduction in time for Academic Researchers in the same layoff unit and the same title or title series, shall be on the basis of special skill, knowledge, or ability essential to the department, program, project, or unit. This determination is made by the supervisor.

2. Where there is no substantial difference in the degree of special skill, knowledge, or ability essential to the department, program, project, or unit, the order of layoff or involuntary reduction in time shall be in inverse order of seniority within the layoff unit.

3. "Seniority" is calculated by full-time-equivalent months (or hours) of University service. Employment prior to a break in service shall not be counted. When employees have the same number of full-time equivalent months (or hours), the employee with the most recent date of appointment shall be considered the less senior employee. 4. At the written request of the Academic Researcher who has received notice of layoff or reduction in time, who is supported primarily by sources on which they are PI or co-PI, the University may reduce the salary for a fixed period of time as an alternative to reduction in time, provided they remain FLSA exempt and provided their effort remains commensurate with their appointment percentage. The University and the Academic Researcher shall sign an agreement regarding the duration of the salary reduction, and restoration of salary, if any, for a period of time not to exceed their term appointment.

From: RA Contract, Article 11 Layoff and Reduction in Time
ARU’s: Layoff Notice Requirements and Layoff Status

**Notice Period – 45 days**
The 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.

In the event forty-five (45) calendar days’ notice cannot be provided, the University shall provide the laid off Academic Researcher pay and benefits in lieu of notice for the portion of the forty-five (45) calendar days for which notice was not provided.

The notice shall include the reason for the layoff or reduction in time.

**Layoff Status**
An Academic Researcher who is subject to layoff or reduction in time shall have layoff status for one (1) year, or the end of their appointment, whichever is sooner.

An Academic Researcher on layoff status shall be recalled into a vacant position that the University intends to fill of the same title for which the Academic Researcher is qualified and into the same layoff unit. If more than one qualified person is on layoff status, the order of recall shall be in order of the effective date of layoff.

From: [RA Contract](#), Article 11 Layoff and Reduction in Time
Layoffs – ARU’s: Which Notice and Forms Do I Use?

1) **Proposal Form**

2) **Notice of Layoff** or **Notice of Reduction in Time**

3) Supporting Documents: Budget Statements to support lack of funds, Emails, memos or other to support lack of work

#'s 1-2 ARE LOCATED ON AP'S ARU PAGE

**NOTE: All Draft Notices ...**

- Must be on Department Letterhead
- Must include a ‘future’ date which provides enough time to review/vet the decision and notify the appointee of the adverse action.
- Must not include the Chair's signature (signature may be added later when AP approval/review is complete)
Adverse Actions: SAMPLE ARU DRAFT NOTICE

Draft notice must be on department letterhead
Always use templates on AP’s website

Must be dated with the date that you will provide notice; at least 45 days in advance of the layoff.
ADD A BUFFER TO ALLOW TIME FOR SOM/AP REVIEW

If the layoff is approved before or after date on letter, you may need to update the date and other details in the body of the letter

PI/Chair must not sign letter and letter must not be provided to appointee until after SOM Dean’s review AND AP’s ‘green light’ to proceed

Once PI signs and letter is provided to the appointee, Dept Analyst will Email a copy of the final, signed letter to the Dean’s Analyst, and keep a copy for dept. records
Adverse Actions: SAMPLE ARU PROPOSAL FORM

- **FILL OUT FORM COMPLETELY!!**
- Add additional pages to list layoff unit appointees, if necessary
- Chair must sign form
- The Dean’s Analyst will review the form, ask any clarifying questions, submit to the Assoc. Dean for signature, and then route to AP for their review.
- The Dean’s Analyst will then follow up with the department if AP needs additional information to complete their review.
- Once AP gives us the ‘green light’ the Dean’s Analyst will follow up with the dept. analyst

A **Layoff Unit** is defined as individuals in a research team receiving funding from the same contract/grant and who have the same specialized knowledge for the particular project they are working on.

Here, we are looking for a list of ALL personnel with the same title series as the appointee that is being laid off. List Months of FTE academic service. If they are WOS, list ‘0’

If reason is ‘Lack of Funds’, don’t forget to attach proof, like a financial statement

If the reason is ‘Lack of Work’ or ‘Programmatic Change’ make sure explanation is detailed.

Make sure to fill this area out completely (if applicable)

If reason is 'Lack of Funds', don’t forget to attach proof, like a financial statement

If the reason is 'Lack of Work' or 'Programmatic Change' make sure explanation is detailed.

Make sure to fill this area out completely (if applicable)

[Image of sample form]

**Section 1: Designated Employee Information**

- **Name:** John Doe
- **Employee ID:** 123456789
- **Department:** School of Medicine
- **Title:** Assistant Professor
- **Specialty:** Pathology
- **School:** School of Medicine
- **Division:** Pathology
- **Location:** Los Angeles
- **Month of Full-Time Equivalent Academic Service:** 9
- **List of Full-Time Equivalent Academic Service:** 40

**Section 2: Action**

- **Date of Reduction in Time:** 1/31/2023
- **Reason for Reduction:** Lack of Funds

**Section 3: Other Academic Research Information**

- **List of Appointees:**
  - Jane Doe, Assistant Professor, Pathology
  - Mary Smith, Associate Professor, Pathology

**Section 4: Approvals**

- **Chair Signature:**
- **Date:**
- **Department Chair:**
- **Date:**
- **Dean or Designee:**
- **Date:**

**Office of Academic Personnel**
Any attached supporting documents must be detailed and descriptive; it should show things like PI name, ARU name, fund #, funding over time, etc.

They should be easy for a third party to read/understand.

<table>
<thead>
<tr>
<th>PI/Co-PI Name</th>
<th>Chart-Account (Account-Fund)</th>
<th>Fund &amp; Account Title</th>
<th>FO Name</th>
<th>Projection Period</th>
<th>Total Appropriations</th>
<th>Total Expenses</th>
<th>12/31/2022 Balance</th>
<th>Projected Actuals</th>
<th>Projected Allocation</th>
<th>Projected Fund Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>IR-EP11372 (405123-06556)</td>
<td>Bridge Funds (OR)</td>
<td>Lor, Lena</td>
<td>10/22/2015</td>
<td>45,199.80</td>
<td>24,657.90</td>
<td>20,541.90</td>
<td>0.00</td>
<td>0.00</td>
<td>20,541.90</td>
</tr>
<tr>
<td></td>
<td>IR-PC14722 (485123-59584)</td>
<td>Biomarkers predicting the therapeutic response of pemphigus patients to IV Ig therapy</td>
<td>Lor, Lena</td>
<td>08/04/2021</td>
<td>78,501.00</td>
<td>78,497.18</td>
<td>3.82</td>
<td>0.00</td>
<td>0.00</td>
<td>3.82</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>123,700.80</td>
<td>103,155.08</td>
<td>26,545.72</td>
<td>0.00</td>
<td>0.00</td>
<td>26,545.72</td>
</tr>
</tbody>
</table>
ARU’s: Layoffs – Next Steps

1. Assemble all required documents: Proposal Form, Draft Notice (*see AP’s ARU page)

2. Add any back-up documents needed to document the reason for Layoff
   • Budget statements showing lack of funds; OR
   • Emails or other documents showing lack of work

4. Send all items to your Dean’s Analyst

5. Dean’s Analyst will review, ask you to make any corrections or add items, and then will send to AP for vetting

6. When AP has reviewed, they will send the Dean's Analyst the ‘green light’ email

7. The Dean’s Analyst will give the department analyst the go-ahead to provide the letter(s) to the appointee

8. Department Analyst will obtain Chair’s signature on the letter, review the date at the top of the notice, and any dates in the body of the letter to ensure they are all accurate and timely, then provide the letter to the appointee. Send a copy of the letter to all those that are CC’d, including the Dean’s office, but excluding the Dean and AP (Dean's Analyst will provide a copy)

9. Keep a copy of the letter in the appointee’s department file

10. Process the separation in UCPath/HR Service Now
What if...?

Q: What if things change and we no longer have to proceed with a Layoff?

A: The department will need to draft a recission notice; contact your Dean’s Analyst to discuss
Resignation and Retirement
Resignation and Retirement

**Resignation:** An appointee voluntarily resigns all or part of their appointment

- Obtain resignation notice from appointee and forward to your Dean’s Analyst
- Include letter of Resignation in lieu of renewal; OR send to SOM AA Analyst along with the renewal (*if applicable) when the Retirement date is after 6/30

**Retirement:** An appointee voluntarily ends their full appointment and is of retirement age, with at least 5 years of UCRP service credit

- Obtain retirement notice from appointee and forward to your Dean’s Analyst
- Include Retirement Notice in lieu of renewal; OR send to SOM AA Analyst along with annual renewal (if applicable) when the Retirement date is after 6/30

**Resignation and Retirement Notices MUST:**
- Include an effective date
- Be addressed to the Chair, signed and dated by the appointee, OR can arrive via Email to the Chair (with date stamp and UCI Email markings)
Corrective Action and Discipline
Corrective Action and Discipline

AP has requested that our office notify them early in the process of any conduct or disciplinary issues especially when this may result in a separation

Please consult with your Dean’s Analyst for assistance
Scenarios
Adverse Actions: Faculty Scenario #1

Dr. Jane Doe has a paid appointment in the department of Urology, and she has been in the Health Sciences Clinical Series, Associate Rank, for 6 years. In March, while reviewing actions for the upcoming Academic Year, the Chair mentions that the department doesn’t think the department will renew Jane’s appointment due to lack of funds to continue the appointment past 6/30/24.

What are the next steps?
Adverse Actions: Faculty Scenario #1

The department analyst does some research online and finds that the department will need to provide a Courtesy Notice to Dr. Doe. Since Dr. Doe has been employed at UC Irvine for less than 8 years, there is no campus policy notice requirement, however, SOM requires a 30-day Courtesy Notice.

1. The department analyst asks around and finds out that the reason for non-renewal is due to lack of funds. She asks the department financial analyst to provide budget statements which clearly show the lack of funds for the next Fiscal Year.

2. The department analyst completes the Adverse Action Vetting Form with all the necessary information and prepares a draft 30-day Courtesy notice. The date of the Courtesy Notice is the date that the department will provide notice to the appointee (e.g. 6/1/2023)
4. On April 5th, the Analyst Emails the **draft Courtesy Notice**, the **Adverse Action Vetting Form**, and the **supporting budget documents** to the Dean’s Analyst for review.

5. On April 16th, the Dean’s Analyst reviews and asks the Dept. Analyst for more information. Once the Dean’s review is complete, the Dean’s Analyst sends everything to AP for review.

6. On May 3rd, AP completes their review on and provides a ‘green light’ to proceed with the notice. The Dean’s Analyst notifies the department, who then updates the date of the letter to the current date, obtains Chair signature, provides the Notice to the employee, and sends a copy to the Dean’s analyst, saving a copy of the letter in the department files.
Adverse Actions: ARU Scenario #2

Sam Wise is a paid Assistant Project Scientist, 100% (ARU) with the department of Physiology. Mr. Wise received his last review action on 7/1/23 and obtained a 2-year renewal through 6/30/25.

The department realizes that they are running low on funds and do not have sufficient funding to continue the appointment for Mr. Wise after 10/15/24. The department decides to proceed with a partial renewal from 7/1/24 to 10/15/24.

Is Partial Renewal the correct action?

What should the department Analyst do next?
Adverse Actions: ARU Scenario #2

Since Mr. Wise’s appointment will undergo a reduction in time and could end prior to the established end of the term of his appointment, this is considered a **LAYOFF** not a partial renewal.

1. The department analyst reviews the SOM Renewal Instructions under ‘Layoffs’ and is referred to AP’s page to complete the Proposal Form.

2. The Analyst prepares a list of all academic appointees in the same department in the same title series and ranks them by seniority. They fill out the form completely, and also drafts the Notice of Layoff using the template from AP’s website.

3. Once all forms are complete, the Analyst meets with the department financial analyst and gathers documents which clearly show lack of funds in the account which pays Mr. Wise after 10/15/24. (*the A/F in the supporting documents matches the A/F that pays Mr. Wise in UCPath)*
4. The department analyst sends the draft Notice, complete Proposal Form, and budget statement (if required) to the Dean’s Analyst

5. The Dean’s Analyst reviews and follows up with questions as necessary, and then forwards documents to AP for further review.

6. Upon further review, the Academic Personnel office may have follow-up questions before they proceed with a green light.

7. When AP approves, since the analyst submitted materials well in advance of the projected layoff date, the department has enough time to provide the required 45-day notice to the appointee.
Adverse Actions: ARU Scenario #2 – ALTERNATIVE

What if:

Today is 5/1/24 and the Department Analyst is notified that there are not enough funds to continue Mr. Wise’s appointment after 6/30/24 – does the department have enough time to proceed with a full layoff?

**NOT NECESSARILY**

AP and the Dean’s office are impacted with various requests during this time of year. There is a minimum of 2 weeks of review time between the Dean’s Office and AP, as well as 45 days’ notice time for the appointee: this is approx. 8 weeks total time. The department may need to provide pay in lieu of notice.
Questions?

Training slides will be posted online here

Any Questions...

Maral Dakessian | Training Manager
SOM Academic Affairs, Dean’s Office

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