# School of Medicine Academic Affairs

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
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<tbody>
<tr>
<td>Geoffrey Abbott, PhD</td>
<td>Senior Associate Dean, Academic Personnel</td>
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<tr>
<td>Mohammad Helmy, MD</td>
<td>Associate Dean for Academic Affairs/Non-Senate</td>
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<tr>
<td>Kyoko Yokomori, PhD</td>
<td>Associate Dean for Academic Affairs/Senate</td>
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<tr>
<td>Jami Holland</td>
<td>Director, Academic Affairs</td>
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<tr>
<td>Thuy Vu</td>
<td>Assistant Director, Academic Affairs</td>
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<tr>
<td>Maral Dakessian</td>
<td>Training Manager</td>
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<td>TJ Kennedy</td>
<td>Compensation Plan Manager</td>
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<tr>
<td>Jaylee Mai</td>
<td>Academic Affairs Dean’s Level Review Analyst (Non-Faculty)</td>
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<tr>
<td>Sonha Castelli</td>
<td>Academic Affairs Dean’s Level Review Analyst (Non-Faculty)</td>
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<tr>
<td>Amy Nguyen</td>
<td>Academic Affairs Dean’s Level Review Analyst (Non-Faculty)</td>
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<td>Elizabeth Jurado</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
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<td>Mirella Ruano</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
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<td>Chanthou Sung</td>
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<td>April Heath</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
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<tr>
<td>Tracee Davis</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
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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
- Professional 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)**
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
F Y I: A R U A p p o i n t m e n t s

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 UCI RA-1 form for appointments/renewals/revisions/extensions

Per Contract: 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
F.Y.I. 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).
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 3/1/25
- 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 6/30/27 (2 years normative time is restricted by Visa end date). NO MORE RESTRICTION TO RENEWAL DUE TO VISA STATUS
- **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
<table>
<thead>
<tr>
<th>Dept.</th>
<th>Last</th>
<th>First</th>
<th>Initial Hire Date/Renewal</th>
<th>END</th>
<th>T-Code</th>
<th>Title</th>
<th>Step</th>
<th>Salary</th>
<th>%</th>
<th>VISA</th>
<th>Rev Date</th>
<th>Next Action</th>
<th>Next Step</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Medicine</td>
<td>Eyre</td>
<td>Jane</td>
<td>5/1/2023</td>
<td>4/30/2024</td>
<td>3320</td>
<td>Asst. Specialist</td>
<td>I</td>
<td>$54,900</td>
<td>80%</td>
<td>6/30/2026</td>
<td>24-25</td>
<td>M</td>
<td>II</td>
<td>Initial Appt</td>
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<tr>
<td></td>
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<td></td>
<td>5/1/2024</td>
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<td>3320</td>
<td>Asst. Specialist</td>
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<td>$57,096</td>
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<td>M</td>
<td>II</td>
<td>1st Reappointment</td>
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<td></td>
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<td></td>
<td>5/1/2025</td>
<td>6/30/2025</td>
<td>3320</td>
<td>Asst. Specialist</td>
<td>I</td>
<td>$59,379</td>
<td>80%</td>
<td>6/30/2026</td>
<td>24-25</td>
<td>M</td>
<td>II</td>
<td>Short Extension to 6/30 while file is processed; submitted to HRSN</td>
</tr>
<tr>
<td>Eyre</td>
<td>Jane</td>
<td></td>
<td>7/1/2025</td>
<td>6/30/2027</td>
<td>3320</td>
<td>Asst. Specialist</td>
<td>II</td>
<td>$61,754</td>
<td>80%</td>
<td>6/30/2026</td>
<td>26-27</td>
<td>M</td>
<td>III</td>
<td>PROPOSED; MUST FILE EXTENSION RA-1 TO 6/30/27 WHEN VISA EXTENDED</td>
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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 Specialists
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
Recap: ARU Jr. Specialists, Reviews

- 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.

- Paid Jr. Specialists (ARU) 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
Junior Specialists (ARU)

Sample Appointment Trajectory:

- 3/1/21– 2/28/22, Jr Specialist, Step 1
  *Initial Appointment – 1 year*

- 3/1/22-2/28/23, Jr Specialist, Step 2
  *Use RA-1: ‘Step Increase’; appt is renewed: 1 year*

- 3/1/23– 6/30/25, Asst Specialist, Step 1; now tied to the 7/1-6/30 schedule
  *Use RA-1: ‘Rank Increase’; appt is renewed for 1+ years to tie to FY schedule*

- 7/1/25 – 6/30/27 Asst Specialist, Step 1, two-year term
  *Merit is due on 7/1/27, department will need to submit a full file via Scholar Steps*
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)
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

(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

IMPORTANT: It is SOM’s practice to provide written notification to the Academic Researcher at least thirty (30) calendar days in advance of the effective date of the non-renewal/partial renewal

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.

Clink 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

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

Other Resources
Questions
Maral Dakessian | Training Manager
UC Irvine School of Medicine
Academic Affairs, Dean’s Office

Upcoming Academic Affairs Training
UCI SOM Academic Affairs

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