

UCI School of Medicine

Adverse Actions

March 2024

Maral Dakessian | Training Manager, SOM Academic Affairs Dean'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

Department/Unit	Faculty Analyst	Backup Analyst	Non-Faculty Analyst	Backup Analyst
Anatomy & Neurobiology	Chanthou Sung	Mirella Ruano	Sonha Castelli	Chanthou Sung
Anesthesiology & Perioperative Care	April Heath	Tracee Davis	Amy Nguyen	April Heath
Biological Chemistry	April Heath	Chanthou Sung	Sonha Castelli	April Heath
Dermatology	April Heath	Elizabeth Jurado	Amy Nguyen	April Heath
Emergency Medicine	Chanthou Sung	Mirella Ruano	Sonha Castelli	Chanthou Sung
Family Medicine	Tracee Davis	Chanthou Sung	Sonha Castelli	Tracee Davis
Medicine	Elizabeth Jurado	April Heath	Sonha Castelli	Elizabeth Jurado
Microbiology & Molecular Genetics	Chanthou Sung	Mirella Ruano	Amy Nguyen	Chanthou Sung
Neurological Surgery	Mirella Ruano	Chanthou Sung	Amy Nguyen	Mirella Ruano
Neurology	Mirella Ruano	Chanthou Sung	Jaylee Mai	Mirella Ruano
Obstetrics & Gynecology	Chanthou Sung	Mirella Ruano	Amy Nguyen	Chanthou Sung
Ophthalmology	Tracee Davis	Mirella Ruano	Amy Nguyen	Tracee Davis
Orthopedic Surgery	Chanthou Sung	April Heath	Sonha Castelli	Chanthou Sung
Otolaryngology-Head & Neck Surgery	April Heath	Tracee Davis	Jaylee Mai	April Heath
Pathology & Laboratory Medicine	Tracee Davis	April Heath	Sonha Castelli	Tracee Davis
Pediatrics	Mirella Ruano	Chanthou Sung	Jaylee Mai	Mirella Ruano
Physical Medicine & Rehabilitation	Mirella Ruano	Chanthou Sung	Amy Nguyen	Mirella Ruano
Physiology & Biophysics	Chanthou Sung	Tracee Davis	Jaylee Mai	Chanthou Sung
Plastic Surgery	Tracee Davis	Chanthou Sung	Jaylee Mai	Tracee Davis
Psychiatry & Human Behavior	Chanthou Sung	Mirella Ruano	Jaylee Mai	Chanthou Sung
Radiation Oncology	Tracee Davis	Mirella Ruano	Sonha Castelli	Tracee Davis
Radiological Sciences	April Heath	Elizabeth Jurado	Amy Nguyen	April Heath
Stem Cell Research Center	April Heath	Elizabeth Jurado	Amy Nguyen	April Heath
Surgery/Beckman Laser Institute	Tracee Davis	April Heath	Sonha Castelli	Tracee Davis
Urology	April Heath	Tracee Davis	Jaylee Mai	April Heath

Agenda

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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

Faculty/Policy Covered Non-Renewal Notice Requirements

In cases of non-reappointment, the following criteria apply:

Appointee with less than 50 percent time or no more than one quarter	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. <i>*SOM practice is to provide a 30-day 'Courtesy Notice' for paid appointments in this category*</i>
Appointee with fewer than eight consecutive years of service	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. <i>*SOM practice is to provide a 30-day 'Courtesy Notice' for paid appointments in this category*</i>
Appointee with eight or more consecutive years of service	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. <i>*University policy is to provide a 60-day Notice of Intent, followed by a 30-day Notice of Action</i>

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*

ARU's: Non-Renewal Notice Requirements and Notices

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:

<p>Non-Senate Teaching Titles: Adjunct Professor series HS Clinical Professor series Acting Assistant Professor Visiting Professor titles Teacher – UNEX</p>	<p>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.</p> <p>For the Adjunct Professor series (APM 280), the Clinical Professor series, and Acting Assistant Professor (APM 235), the following notice should be given:</p> <p>30 days notice - appointee with up to 2 years of service 60 days notice - appointee with more than 2 years of service</p>
<p>Other Non-Senate Titles (Non-Teaching): Professional Research Series (and visitors) Specialist Series Project Scientist Series Continuing Education Specialist Academic Coordinator Academic Administrator</p>	<p>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.</p>

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) _____

For all other appointees in the unit who hold appointments in the same title or title series, list order of layoff.

Name _____ Rank _____
 Step _____ Months of Service _____
 Reason not selected for layoff: _____

(Use additional pages to complete this section. Include names of others who hold appointment 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:

_____ Date _____
 Supervisor/Unit Head

_____ Date _____
 Department Chair

APPROVED:

_____ Date _____
 Dean

REVIEWED:

_____ Date _____
 Diane K. O'Dowd
 Vice Provost

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 an *, 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 for recall to * *[insert unit of layoff]* until * *[insert date—one year or less time according to APM 145-34]* according to APM 145-34. During this time, if there is a vacancy in your series title of * *[state title or title series]* within * *[state layoff unit]*, 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 inverse order of layoff. In addition, preferential 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.ap.uci.edu/>.

Please be aware that an appointee who is subject to layoff or involuntary reduction in time may request that the Chancellor or designee 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 grieved in accordance with policy and procedures set forth in Section 140 of the Academic Personnel Manual.

As an appointee who has been subject to layoff or involuntary reduction in time accordance with APM 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
CPO
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

Policy: Layoff for ARU's (summarized)

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

Policy: Layoff for ARU's (summarized), cont'd

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.

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

TEMPLATE FOR NOTICE OF LAYOFF
ARTICLE __ LAYOFF AND REDUCTION IN TIME

MUST BE PROVIDED AT LEAST FORTY-FIVE (45) CALENDAR DAYS IN ADVANCE OF THE EFFECTIVE DATE OF THE LAYOFF; COPY TO THE UAW WITHIN FIVE (5) WORKING DAYS OF THE LAYOFF NOTICE TO THE ACADEMIC RESEARCHER

«Date»

ADMINISTRATIVE CONFIDENTIAL

«Name»

«Department»

RE: Notice of Layoff |

I regret to inform you that your position as «Title», «Step», in the Department/Unit of «Name», «School/Division/College» of «Name», will be eliminated due to «Reason for the layoff e.g., change in programmatic need in the lab/hiring unit, lack of work, or lack of appropriate funding» per Article 11, Layoff and Reduction in Time. The effective date of this layoff is «Date».

Below is important information about your benefits:

The Termination of Employment Benefits booklet (<http://ucnet.universityofcalifornia.edu/forms/pdf/termination-of-employment.pdf>) provides information about your various health and welfare plans when enrollment ends and your options. It also provides information on your retirement savings plan options. Please review this document carefully and contact the [benefits office] should you have any questions at «Benefits office contact information».

When certain health plan enrollments end, you may continue coverage through COBRA (<http://ucnet.universityofcalifornia.edu/compensation-and-benefits/cobra.html>). CONEXIS, UC's COBRA administrator, will send you a COBRA package within 30 days after the date of your separation. If you do not receive the package within that time, please follow up with CONEXIS Customer Service at 1-877-722-2667. Please note that you have 60 days beginning with the date of your qualifying event to enroll in COBRA.

Please review the following link for information about the retirement process: <http://ucnet.universityofcalifornia.edu/compensation-and-benefits/retirement-benefits/>. If after reviewing the materials you would like to consider retirement, please contact the Retirement Administration Service Center at 1-800-888-8267 or <https://ucnet.universityofcalifornia.edu/contacts/rasc.html>.

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

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)

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'

UCI Office of Academic Personnel *Please fill out this form completely*

Reduction in Time or Layoff Proposal for Non-Senate Academic Appointee

INSTRUCTIONS: Please complete this form and forward electronically with a draft of notice letter to the Dean's Office. If the proposed action is out of seniority order, a memo justifying the lack of skills or knowledge of the more senior employee is also required.

ROUTING: 1. Unit to Dean's Office
2. Dean's Office to Academic Personnel
3. Academic Personnel Office reviews then sends to Dean's Office and Department

Section 1: Designated Employee Information

Name: John Doe Employee ID: 102335225 Department: Physiology
 Title/Step: Specialist, step II School: SCHOOL OF MEDICINE
 Months of full time equivalent academic service: 60 Visa Status: _____ Leave Status: _____

Section 2: Action

Reduction in Time (From ___ % to ___ %)
 Layoff - Full Separation
 Proposed Effective Date of Action: 9/30/23

Reason for Action:
 Lack of Work
 Lack of Funds (attach proof)
 Programmatic Change

Explanation:
 A/F fund # 12003-22 is insolvent and there are no funds to pay John Doe after 9/30/23

For an involuntary reduction in time, describe how the work will be adjusted and indicate how the adjustment is being communicated to the Academic Researcher:

Section 3: Other Academic Researcher Information

List appointees in the layoff unit at the same title or in the same title series as the selected appointee: (attach additional pages, if necessary)

Name	Title/Step	Months of FTE Academic Service	Reason not selected (e.g. possesses special skills, knowledge/abilities essential to department, level of seniority, etc.)
1. Jane Doe	Specialist II	60	Jane Doe has a different PI and different duties assigned
2. Max Doe	Assistant Specialist III	5	Different PI; possesses special skills/knowledge/abilities
3. Adam Doe	Specialist III	63	Seniority
4. Mary Doe	Specialist I	58	See attached
5.			Add more pages to explain, if necessary. Can explain different duties, special skills/knowledge/abilities, etc.
6.			
7.			
8.			

Section 4: Approvals

Chair Signature _____ Date _____
 Department Chair _____ Date _____
 Dean or Designee _____ Date _____
 Office of Academic Personnel Use Only
 Review _____ Date _____

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

Adverse Actions: SAMPLE BUDGET STATEMENT

Principal Investigator Summaries Report - Overhead Included

Date: 02/07/2023					Prepared By: dvgil1					
PI/Co-PI Name	Chart-Account (Account-Fund)	Fund & Account Title Alternate Fund Title	FO Name	Projection Period	Total Appropriations	Total Expenses	12/31/2022 Balance	Projected Actuals	Projected Allocation	Projected Fund Balance
	IR-EP11372 (405123-09535)	Bridge Funds (OR)	Lor, Lena	10/22/2015 06/30/2023	45,199.80	24,657.90	20,541.90	0.00	0.00	20,541.90
	IR-PC14722 (485123-58584)	Biomarkers predicting the therapeutic response of pemphigus patients to IVIg therapy	Lor, Lena	08/04/2021 08/03/2022	78,501.00	78,497.18	3.82	0.00	0.00	3.82
Total					123,700.80	103,155.08	20,545.72	0.00	0.00	20,545.72

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

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)

Adverse Actions: Faculty Scenario #1 – cont.

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)

Adverse Actions: ARU Scenario #2 – cont.

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.**

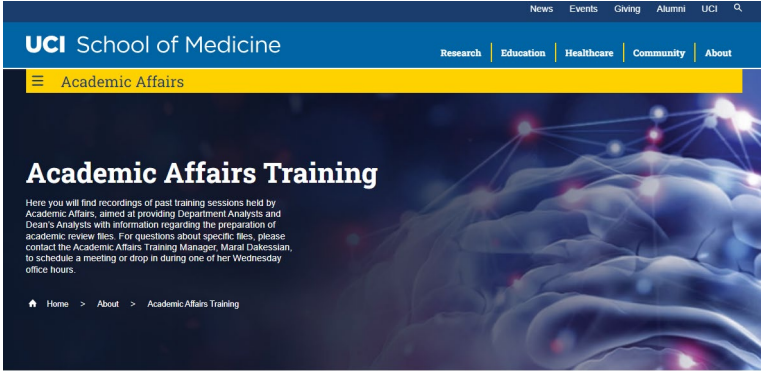
Questions?

Training slides will be posted online [here](#)

Any Questions...

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

949-383-6736
marald@hs.uci.edu



UCI School of Medicine Academic Affairs

Academic Affairs Training

Here you will find recordings of past training sessions held by Academic Affairs, aimed at providing Department Analysis and Dean's Analysis with information regarding the preparation of academic review files. For questions about specific files, please contact the Academic Affairs Training Manager, Maral Dakessian, to schedule a meeting or drop in during one of her Wednesday office hours.

Home > About > Academic Affairs Training

Past Training Sessions

Sessions hosted by Training Manager, Maral Dakessian. Additional documents and recordings will be added to this page periodically.

Date	Topic	Recorded Session	Presentation Slides
5/2023	HS Clinical Affiliates and WOS	Video Unavailable	Presentation Deck
8/9/2023	Annual File Review Update 2023-2024	Video Unavailable	Presentation Deck
8/21/2023	An Introduction to Academic Affairs (New Analyst Series 1)	Video Unavailable	Presentation Deck
8/22/2023	Academic File Review (New Analyst Series 2)	Video	Presentation Deck