



Michael V. Drake, MD
President

July 28, 2022

Office of the President
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universityofcalifornia.edu

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DIVISION OF AGRICULTURE AND
NATURAL RESOURCES

CHANCELLORS

Dear Colleagues:

The COVID-19 pandemic has caused significant disruptions to the University, including the teaching, research, and service responsibilities of UC faculty members. The effects of the pandemic and the potential for adverse consequences for faculty are likely to persist for an unknown period of time. In particular, early-career faculty are facing these challenges as they build careers in anticipation of tenure.

On April 29, 2021, at my request, Provost and Executive Vice President Michael T. Brown formed the Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG), consisting of seventeen Senate-Administration members from across all campuses. On April 12, 2022, the MCIF-WG delivered the Final Report from the Mitigating Impacts of COVID-19 on Faculty Working Group (MCIF-WG) to Provost/EVP Brown. I appreciate the thorough review the MCIF-WG conducted of the 21 recommendations issued by the Academic Council in January 2021 to alleviate negative repercussions of the pandemic on UC faculty. The Final Report recognizes that the pandemic has differentially impacted women and underrepresented faculty, as well as early-career faculty; assesses the current mitigation efforts at the campus level to address those disparities and proposes five recommendations for immediate action with the goal of making UC the employer of choice for world-class academics across disciplines.

As part of the MCIF-WG assessment, campuses provided information on current mitigation efforts underway at the campus level. I recognize and commend the campuses for the mitigation efforts they have already undertaken to respond to the impacts of the COVID-19 pandemic on faculty and understand that many of those efforts are consistent with the MCIF-WG recommendations. Examples of efforts already initiated include introducing the principle of “achievement relative to opportunity” (ARO) as an evaluative concept enabling fair and equitable assessment given the pandemic, flexibility in allowing an extension to the file material cut-off dates, tenure-clock extension opportunities, revision of solicitation letters, streamlining the merit review process, providing resources for research and trajectory recovery, holistic reviews of faculty, inclusion of an opportunities and challenges statement in advancement and promotion files, and expanding opportunities for bridge and research funding.

On May 18, 2022, Provost/EVP Brown sent the Final Report for systemwide review, with comments due by June 20, 2022. I have given careful consideration to the MCIF-WG recommendations, as well as to systemwide feedback regarding the Final Report. I agree that it is important to implement a proactive intervention strategy to prevent further negative impacts to UC faculty that gives due recognition to the programs and guidelines already in place at campuses, as well as resource constraints.

Each campus should implement programs and policies consistent with recommendations 1-4 below, with sufficient flexibility to address the highest priority needs at each campus:

- **Recommendation #1: COVID-19 Opportunities and Challenges Statement**

Campuses have already incorporated COVID-19 impact statements in the academic review process. If they have not already done so, campuses should rename these statements as “COVID-19 Opportunities and Challenges Statement” so there is a shared reference across all locations.

The MCIF-WG recommended concrete action items related to the COVID-19 Opportunities and Challenges Statements, including issuing communications, guidance, instructions, examples, checklists, template language, benchmarks, and handling of external evaluation letters. Although campuses have already implemented many of these action items, I encourage campuses to continue to develop and update guidance and resources and to distribute these to faculty in a transparent manner, including posting on websites, as appropriate. It is essential that campus guidance and resources reach every Senate faculty member and inform promotion and tenure processes where they are being made– the faculty member’s academic department or Program.

- **Recommendation #2: “Achievement Relative to Opportunities (ARO)” in Academic Advancement File Review**

Campuses have already committed to a holistic academic file review that incorporates Achievement Relative to Opportunities principles in the file-review process. However, these implementation efforts could result in dependencies on individual reviewers and reviewing bodies at each location. Further, these efforts may, unintentionally, underestimate the disproportionately disruptive effects of the pandemic and other life events on the ability of women and underrepresented faculty to achieve and pursue leadership opportunities.

Departments need guidelines, and these should be systemwide in nature. There is more work needed to craft those guidelines. I am asking Provost/EVP Brown and his leadership team to appoint a Senate-Administration Working Group to develop systemwide guidelines on how to equitably assess acceptable levels of performance and apply “ARO” principles, while maintaining flexibility for local implementation and needs. The Working Group should consider how to equitably assess acceptable levels of performance and ensure communication is in accordance with principles in the Final Report.

- **Recommendation #3: Resources and Time for Research Recovery**

I commend campuses for the actions they have already taken with respect to establishing and distributing funds to support research recovery, revitalize faculty research programs that experienced setbacks because of the pandemic, and support teaching/service duty modification programs. I support continuation of such programs at the campus level, based on local assessments of the availability of resources and evidence of continued negative consequences that warrant mitigation, particularly for those faculty most negatively impacted. I also support campus efforts to build from existing successful research funding programs by incorporating a COVID-19 mitigation

component in their call letters. I am pleased by the efforts that campuses have taken in this area.

- **Recommendation #4: Support for Faculty Success**

Campuses have established different practices for mitigating the impact of COVID-19 on sabbatical leaves and there is no reason that these practices be the same. Moreover, implementing a systemwide sabbatical credit program with retroactivity to AY 2019-20 would create a significant administrative and financial burden that appears unnecessary given that locations already have mechanisms in place, arising from campus consultation processes, to reward faculty for the dedicated work they engaged in to pivot to remote instruction or to address concerns about lost opportunities to take sabbatical leave.

I understand campuses have issued exceptions to policy to allow faculty to exceed the sabbatical threshold if they were unable to take sabbatical leave during the pandemic. Also, in 2020, at the systemwide level, Provost/EVP Brown shared with campuses that should a third one-year extension to “stop the clock” be necessary for COVID-19-related reasons, Provost/EVP Brown would review such requests favorably and be as generous as possible in granting these requests. To this end, the UCOP Academic Personnel and Programs Office developed an expedited process to aid campuses in submitting third-year tenure/security of employment extension requests for the Provost’s approval. I am satisfied that these efforts are working.

Therefore, I am unable to support a systemwide Pandemic Sabbatical Credit Program at this time but do encourage campuses to maintain flexibility and to share practices to support faculty success.

- **Recommendation #5: Campus Implementation Plan**

I appreciate the recommendation that each campus develop a five-year plan and submit quarterly reports to UCOP, but I judge that this would be costly and intrusive. Such a requirement might even be counter-productive: engaging in these additional planning and reporting activities would take time away from the current focus on continuing to support, develop, and assess the effectiveness of programs to support faculty.

Instead, I am asking Provost/EVP Brown to request that the status of mitigation efforts be an annual agenda item of the Council of Vice Chancellors (COVC) during which the executive vice chancellors can assess the success of mitigation efforts and the need for coordinated action among the campuses.

Again, I wish to convey my appreciation for the time and effort that the MCIF-WG invested in articulating its assessment in the Final Report that was shared with the University community, and for making recommendations to further the success of UC faculty. I invite campus leadership to circulate this letter and the Final Report broadly.

Implementation of these mitigation efforts provides an important opportunity for the University of California to recognize the differential impacts the pandemic has had on faculty whose work is intrinsically tied to the three-fold mission of the University in teaching, research, and public service, and that the work should be evaluated in an empathic and holistic fashion.

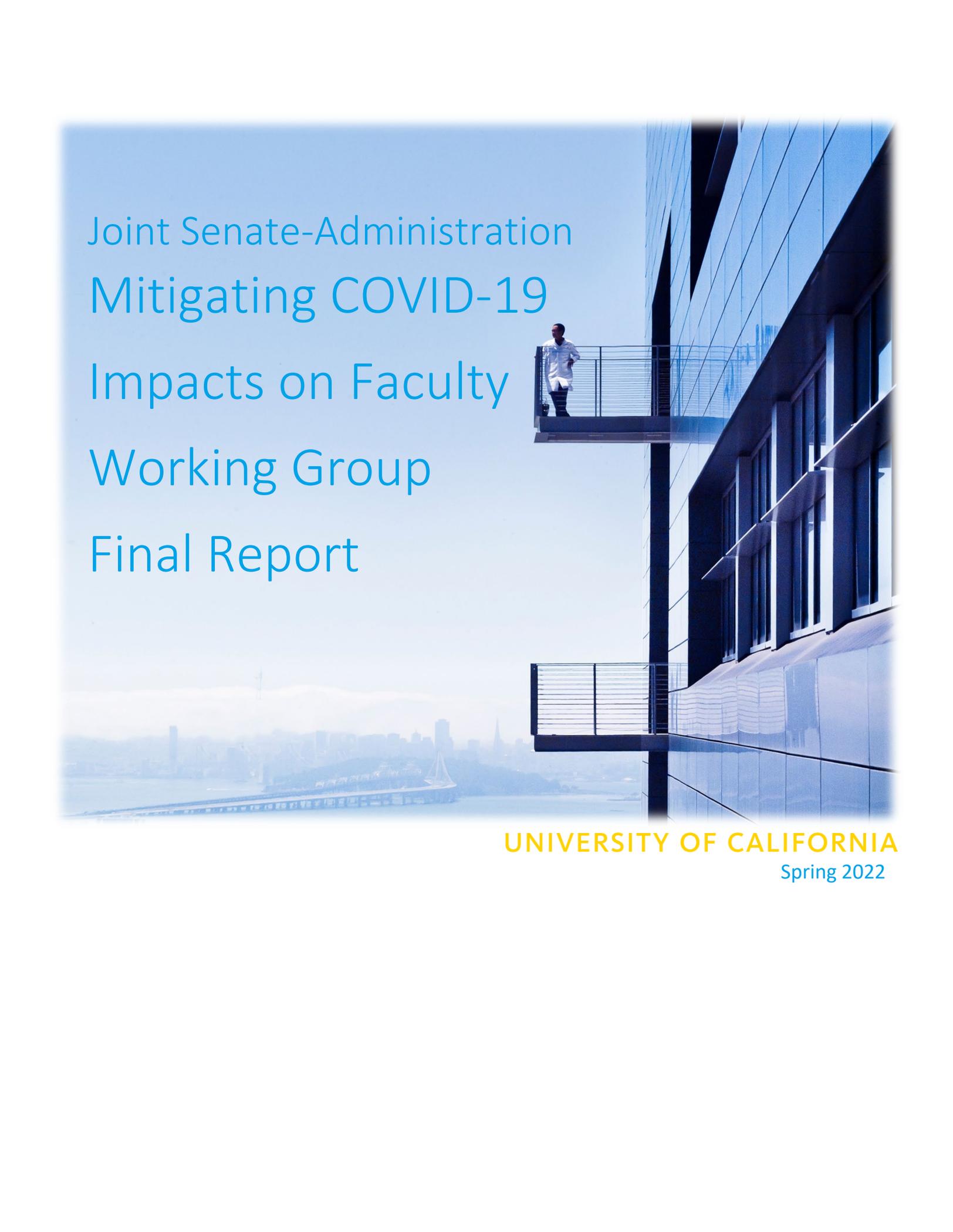
Sincerely,

A handwritten signature in black ink that reads "Michael V. Drake, MD". The signature is written in a cursive, flowing style.

Michael V. Drake, MD
President

Attachment: Final Report from the Mitigating Impacts of COVID-19 on Faculty Working Group

cc: Provost and Executive Vice President Brown
Executive Vice Chancellors/Provosts
Academic Senate Chair Horwitz
Academic Senate Vice Chair Cochran
Mitigating COVID-19 Impacts on Faculty Working Group members
Executive Vice President and Chief Operating Officer Nava
Executive Vice President Byington
Senior Vice President and Chief Compliance Officer Bustamante
Laboratory Director Witherell
Chief of Staff Kao
Vice President Brown
Vice President Gullatt
Vice President Humiston
Vice President Lloyd
Vice President Maldonado
Associate Vice Provost Lee
Deputy General Counsel Woodall

The background of the cover is a photograph of a modern building with a glass facade. A person in a white lab coat is standing on a balcony. In the distance, a city skyline and a bridge are visible over water. The text is overlaid on the left side of the image.

Joint Senate-Administration
Mitigating COVID-19
Impacts on Faculty
Working Group
Final Report

UNIVERSITY OF CALIFORNIA
Spring 2022

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Mitigating COVID-19 Impacts on Faculty Working Group Members

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Provost and Executive Vice Chancellor
UC Davis

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Chair, Systemwide Academic Senate
UC San Diego
Communication

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Chair (20-21), Systemwide Committee on Affirmative
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(April – October 2021)
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Philosophy

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History

Robin DeLugan

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Chair, Systemwide Coordinating Committee
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Chair (20-21), Systemwide Committee on
Faculty Welfare (UCFW)
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(November 2021 – March 2022)
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Molecular and Cell Biology and Chemistry

Michael Levine

Interim Executive Vice Chancellor and Provost
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Executive Summary

The COVID-19 pandemic is one of the defining moments of this century, with effects on all aspects of the University of California (UC) and our broader society. The negative impacts to faculty have included stalled research and scholarship, fewer opportunities for collaboration, pivoting to remote instruction, lowered morale and increased anxiety due to work-life balance issues, health concerns, and dependent care responsibilities, among others. Following recommendations from the UC Academic Council and UC President Michael V. Drake's response, UC Provost and Executive Vice President of Academic Affairs Michael Brown created the Joint Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG) to address the negative impacts of the pandemic on faculty. Since its formation in Spring 2021, the focus of the MCIF-WG has been to review 21 Academic Council recommendations and to advise the UC system and campuses on how to meaningfully mitigate negative pandemic impacts on faculty. The MCIF-WG has developed five recommendations with associated actions, which reflect the spirit of the original Academic Council recommendations. These recommendations are intended to be in place through the end of Fiscal Year 2025-26. Central themes of the MCIF-WG recommendations are described below. MCIF-WG recommendations one through three, described under "'Achievement Relative to Opportunities' in Academic Advancement" and "Provision of Resources and Time for Research Recovery," reflect the WG's highest priorities. MCIF-WG recommendations four and five (described under "Ensuring an Environment Conducive to Faculty Success") include measures that further support these priorities and their effective implementation.

'Achievement Relative to Opportunities' (ARO) in Academic Advancement

MCIF-WG recommendations one and two are strongly contingent on the application of ARO principles at each campus as part of their holistic academic advancement process. As described by the Academic Council, ARO principles "enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate's normal ability to achieve expected outcomes." Disruptive circumstances could have been professional or personal, though faculty should not be required to divulge the latter. Many faculty, for example, had to take on an increased level of dependent care responsibilities as schools and other child-care services closed during the pandemic.

Another aspect of applying ARO principles in file review is factoring in how the traditional balance between research, teaching, and service was disrupted and adopting a more flexible approach in evaluating performance areas, adjusting the weight given to each area based on individual circumstances which is compatible with APM 210. For example, in many cases, COVID-19 impeded research by preventing faculty from entering labs, archives, field sites, and performance spaces. At the same time, teaching and service often assumed more bandwidth than usual. Faculty had to adapt to the sudden shift to remote instruction themselves and also manage how this change would impact students. They devoted more time in service to keep academic departments operational under emergency conditions, while faculty in our health care settings took on increased patient care responsibilities. Even with a return to in-person instruction, campuses may want to continue to consider how heavily to weigh teaching evaluations or alternate means to assess instruction given how widespread student stressors outside of the control of the faculty member could be reflected in ratings.

Provision of Resources and Time for Research Recovery

At the core of MCIF-WG recommendation three is a recognition of the ways in which pandemic impacts disrupted research across the University. Research is one of the three pillars of UC's mission and the University's continued leadership in higher education depends on faculty across all of UC's campuses having the resources and time necessary to "discover and advance new knowledge." Many of the ways in which research was disrupted are detailed above in the context of how academic files have been affected. However, without direct investment from University leadership, the problems stemming from these disruptions have the potential to endure well past the peak of the pandemic, undermining the success of individual faculty *and* the University. These disruptions came at a financial loss and a time loss. Accordingly, the MCIF-WG strongly recommends that each campus prioritize identifying and allocating funding that can meaningfully mitigate against both types of these losses, particularly for those faculty most negatively impacted. Specifically, the MCIF proposes establishing mechanisms to provide grant funding to faculty in order to rehabilitate the University's research programs and to support teaching/service duty modifications. Although the relationship between research recovery and teaching/service duty modifications may not be self-evident, the latter is a key ingredient in giving faculty the bandwidth they need to advance research and other scholarship.

Ensuring an Environment Conducive to Faculty Success

MCIF-WG recommendations four ("Support for Faculty Success") and five ("Campus Implementation Plan") further support the three highest-priority MCIF-WG recommendations and their implementation (described under "Achievement Relative to Opportunities" and "Provision of Resources and Time for Research Recovery"). A prominent feature of recommendation four is a proposed Pandemic Sabbatical Credit Program, currently in draft form. After consulting with stakeholders, the MCIF-WG recommends that the University of California Provost and Executive Vice-President of Academic Affairs approve this program to further expand faculty time for recovering the University's research enterprise and other scholarship. **If approved**, campuses should prepare to implement the Pandemic Sabbatical Credit Program. Separately, recommendation four ("Support for Faculty Success") also proposes actions for rebuilding scholarly networks, particularly detrimental to newly appointed faculty, and addressing leadership opportunities lost to faculty faced with disproportionate COVID-19 impacts.

The fifth MCIF-WG recommendation ("Campus Implementation Plan") focuses on campus operations and necessary steps for effective implementation of the previous four recommendations just described and their sustainability over the five-year period. This will require the development of a campus implementation plan and the execution of disciplined communications and training plans. Campus administrations would benefit from consulting with their strategic communications units to help ensure that guidance to faculty is clear, consistent, digestible, and well-socialized through multiple modes of engagement.

Role of University of California Office of the President

UCOP's primary responsibility in this initiative will be to encourage systemwide coordination such that a baseline of transparent and equitable principles and practices are implemented. In this role, UCOP will review campus implementation plans associated with recommendation five ("Campus Implementation Plan") and do outreach to campuses as needed; set-up a library of materials campuses volunteer to

share with others; host annual meetings with the Academic Council, Council of Vice-Chancellors members, and campus leaders as a check-in; and continue to collect data (specified in section IV) to track progress across the system. Note that reports submitted to UCOP should simultaneously be provided to the divisional Academic Senate office on each campus. UCOP also will investigate the possibility of approving the Pandemic Sabbatical Credit Program, currently in draft form, which is a MCIF-WG recommendation to the UC Provost and Executive Vice President.

MCIF-WG Preliminary and Final Reports

The primary objective of the earlier MCIF-WG preliminary report was to advise campuses on the three highest-priority recommendations and which would be beneficial to address in a more immediate time-frame given the academic review cycle. As detailed above, these highest-priority items continue to be reflected in MCIF-WG recommendations one through three (“Achievement Relative to Opportunities” and “Resources and Time for Research Recovery”). In Fall 2021, Co-Chairs Provost and Executive Vice Chancellor Mary Croughan and systemwide Academic Senate and Academic Council Chair Robert Horwitz presented the content of the preliminary report to numerous University stakeholders, including the campus Provosts and Executive Vice Chancellors, the UC Provost and Executive Vice Chancellor, the Academic Council, and the UC President and Council of Chancellors, among others.

The MCIF-WG final report is comprehensive, incorporating all key content from the preliminary report. It addresses all fifteen short-term Academic Council recommendations through five MCIF-WG recommendations and associated actions (described through the course of this report). All proposed actions are itemized in the tables on pages 19 to 27. *As recommendations, they are endorsed by the UC Provost and Executive Vice President of Academic Affairs, but are not dictates from UCOP to the campuses.* The MCIF-WG final report also provides a viewpoint on the six long-term Academic Council recommendations, which center on dependent care, affordable housing, and instilling holistic values in organizational culture and advancement review as a norm. MCIF-WG members would like their input to be considered in other committees and bodies addressing these issues.

Over the past two years, the University of California, along with many organizations around the world, has had to grapple with how to respond to the pandemic, as well as consider what it would mean for future operations, values, and culture. Now is the time for forward-thinking organizations to seriously consider this question as well as to make strategic interventions to mitigate negative impacts that will continue to have ramifications.

In pragmatic terms, the implementation of the five MCIF-WG recommendations will provide needed relief to faculty and academic appointees who have faced numerous challenges over the past two years and whose work is intrinsically tied to the success of the three-fold mission of the University in teaching, research, and public service. Moreover, the implementation of these recommendations also provides an important opportunity for the University to consider the future of the University in a more empathic and holistic fashion, the type of culture we want to develop, and what it will mean for the University of California to lead in the decades ahead.

Five MCIF-WG Recommendations (specific actions summarized in tables on pages 19 through 27)

1. COVID-19 Opportunities and Challenges Statement: Encourage and provide resources on the use of COVID-19 Opportunities and Challenges Statements at campuses, both for individual faculty and on behalf of departments.

Faculty should have access to a toolbox of resources and clear guidance on Opportunities and Challenges Statements, including standardized messaging on statements in light of Achievement Relative to Opportunity (ARO) principles.

2. ARO in Academic Advancement File Review: Encourage timely file submission for all faculty with a commitment to a holistic academic advancement file review that incorporates Achievement Relative to Opportunities principles.

Campuses should consider how to equitably assess acceptable levels of performance and ensure communication is in accordance with principles laid out in section III; suggestions on how apply ARO in file review are included on pages 12 through 14.

3. Resources and Time for Research Recovery: Establish **critical** funding programs to rehabilitate UC's research recovery and to support teaching/service duty modification programs that give faculty the bandwidth to discover and advance knowledge.

Three options are provided based on whether a campus is highly resource-constrained, moderately resource-constrained, or mildly resource-constrained.

4. Support for Faculty Success: Prepare to implement a proposed Pandemic Sabbatical Credit Program **if approved** (dependent on the UC Provost and Executive Vice President agreement with MCIF-WG recommendation to approve). Separately, implement other identified measures to address the breakdown of scholarly networks and the loss of leadership opportunities for some faculty due to disproportionate COVID-19 impacts.

The breakdown of scholarly networks could have differential impacts on newly appointed faculty whereas lost leadership opportunities could significantly affect women and URM faculty and future demographics of our campus leadership.

Recommendation for Effective Implementation and Sustainability of Previous 4 Recommendations

5. Campus Implementation Plan: Develop a five-year plan through the end of FY25-26 to structure the implementation of all other MCIF-WG recommendations over the long-term, communicate regularly and post on websites for campus awareness, and notify the campus' divisional Academic Senate Office and the UC Provost's office as early as July 1, 2022 and no later than October 1, 2022 of campus activities and outcomes.

This 'cornerstone' recommendation focuses on operations, communications, training, culture, and sustainability of measures over a five-year period, as well as modest annual reporting to the campus' Academic Senate and UCOP.

I. Introduction

In March 2022, UC marked two years since closing the doors of most of our facilities and the beginning of our efforts to achieve and advance our mission in the challenging context of the COVID-19 pandemic. The negative impacts to faculty have included stalled research and scholarship, fewer opportunities for collaboration, pivoting to remote instruction, lowered morale and increased anxiety due to work-life balance issues, health concerns, and dependent care responsibilities, among others. The Joint Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG) herein addresses methods and approaches for mitigating negative pandemic impacts on faculty and academic appointees.

The MCIF-WG strongly believes that strategic interventions should be made early to counter negative trends impacting faculty advancement and career success across the UC system. The negative impacts of COVID-19 have not fallen on all faculty equally, with differential impacts based on gender, race/ethnicity, and academic level with new and junior faculty generally feeling greater impact. The strategic interventions necessary to address negative COVID-19 impacts and associated equity considerations will require a clear line of accountability at each campus to ensure that implementation is thorough, effective, and known to all faculty members and academic appointees.

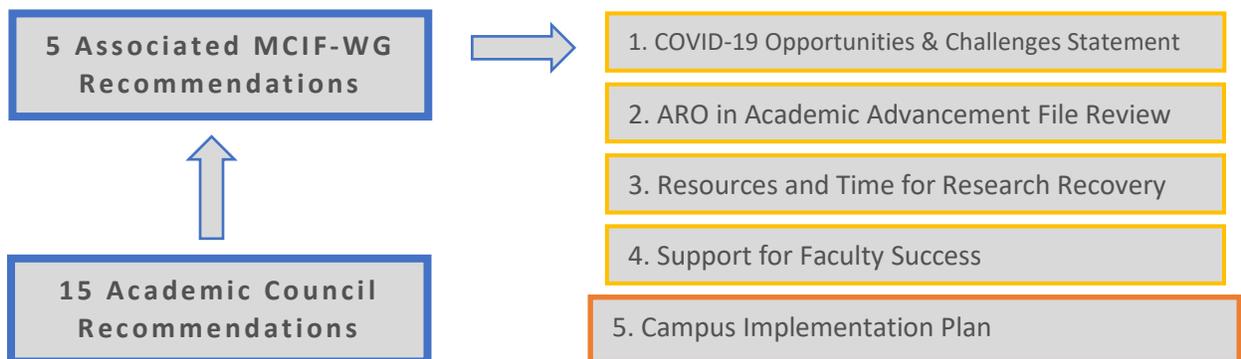
It is in recognition of both immediate and delayed effects of COVID-19 on faculty that the MCIF-WG's preliminary report, issued in Fall 2021, recommended specific measures to be in place for at least five years, specified in this report to be through the end of Fiscal Year 2025-26. The preliminary report prioritized three of the original fifteen short-term Academic Council (AC) recommendations with the aim of providing actionable guidance to the campuses for the immediate term to address areas that MCIF-WG viewed as having the most acute negative impact on faculty. MCIF-WG recommendations in the preliminary report focused on making academic file review more holistic in the COVID-19 era and beyond through incorporation of Achievement Relative to Opportunities, and by making funding available both for research recovery and to support approved teaching duty modification programs.

This final report is comprehensive and builds off of the foundation of the preliminary report, developed in the summer of 2021, and further discussions that took place into February 2022, guided by the scope of the MCIF-WG Charge. It aims to provide additional guidance on the implementation of recommendations; amend MCIF-WG recommendations to reflect all of the short-term Academic Council recommendations; and to encourage further coordination across campuses to put in place a baseline of principles and practices that are transparent and equitable while still making room for variances in campus approach.

The original Academic Council recommendations also included six that were more oriented toward the long-term, reflecting challenges the University has grappled with for decades and that were put into stark relief by the pandemic. These related to dependent care, affordable housing, and instilling holistic values in organizational culture and academic advancement review more generally. The MCIF-WG will offer its viewpoint on these areas, but has chosen to prioritize campus implementation of short-term recommendations in this report to help ensure that COVID-19 impacts on faculty are meaningfully alleviated. These strategic interventions should not only mitigate many of the challenges being faced by faculty, but also demonstrate the University of California's leadership as we move forward into a world that will feel the reverberations of this era and collective experience for decades.

II. MCIF-WG Recommendations

Each of the five MCIF-WG recommendations assembles a series of proposed actions to address the spirit of all of the short-term Academic Council recommendations with slight adjustments having been made from the original in some cases.¹ For clarity, the MCIF-WG final report distinguishes between Academic Council recommendations and the subsequent Working Group recommendations by labeling them accordingly. The diagram below depicts the relationship between the Academic Council recommendations and lists the five MCIF-WG recommendations. Detailed descriptions of the MCIF-WG recommendations immediately follow. Pages 19 through 27 provide a series of tables that summarize the MCIF-WG recommendations and all proposed actions for campus implementation.



Recommendation One: COVID-19 Opportunities and Challenges Statement

From an earlier review completed on campus actions in response to COVID-19, UCOP found that all campuses had provided faculty with an option to submit what has, in shorthand, been referred to as a ‘COVID-19 impact statement’. The MCIF-WG asks that all campuses rebrand these to ‘COVID-19 Opportunities and Challenges Statements’ in order to help highlight that faculty could also speak to the extraordinary contributions they made during this time. The MCIF-WG also included other best practices for implementation as part of this recommendation, which can be found in the table starting on page 19. These include ensuring faculty have a toolkit of resources available to support them in developing their Opportunities and Challenges Statement as well as ARO principles agreed upon by department and campus reviewers. This recommendation also proposes that departments draft a statement on behalf of their discipline to be used as a benchmark in evaluating individual faculty members’ productivity for that discipline.

Even with the option to submit a COVID-19 Opportunities and Challenges Statement, the MCIF-WG has found through reports that many faculty members have not submitted a statement, perhaps due to fears that it would prejudice reviewers against their academic file or due to lack of awareness of this as an option. To counter real or perceived risks of stigma, the MCIF-WG advises campuses to consistently and thoroughly communicate to faculty that submission of a COVID-19 Opportunities and Challenges

¹ The original Academic Council recommendations can be found in Appendix 1, "Academic Council Endorsement of 21 Recommendations."

Statement will be reviewed fairly. An Opportunities and Challenges Statement can be an essential ingredient for ARO principles to be equitably applied across all faculty.

This recommendation also gives faculty the option to include their COVID-19 Opportunities and Challenges Statement in requests that go out from department chairs to external evaluators. Understanding that some campuses have Opportunities and Challenges Statements integrated within other sections of their academic files, the department chair should provide context for these statements to external reviewers.

Both of MCIF-WG recommendations one and two originate in the short-term Academic Council recommendations identified as highest-priority by the MCIF-WG.

Recommendation Two: 'Achievement Relative to Opportunities' in Academic Advancement

The MCIF-WG recommends that each campus encourage timely file submission for all faculty with a commitment to a holistic academic advancement file review that incorporates Achievement Relative to Opportunities principles. This review would also include consideration of COVID-19 Opportunities and Challenges Statements submitted by the department and the individual.

The MCIF-WG asserts that most UC faculty have put forth a good faith effort into sustaining the University during the difficult period of the pandemic. Many of these efforts may not have translated directly to scholarly outputs, especially as the pandemic obstructed academic pursuits in many fields. Moreover, clinical faculty were likely overwhelmed with increased patient care responsibilities and challenges. That said, all faculty, regardless of field, had to dedicate more time adapting to the impact of the pandemic, whether in moving to remote instruction or in supporting organizational operations. This came at the expense of research and scholarly activities. Faculty should not be penalized for these extenuating circumstances. Where faculty members have given a good faith effort and contributed to the success of the campus community during a universally difficult time, not factoring in the unique challenges faculty had to work through can ultimately have a demoralizing effect on the organization and lead to costly attrition.

This streamlined approach should minimize the need for retroactive salary adjustments or advancements as merits and/or promotions would be awarded in the given evaluation year.² Setting and communicating clear standards of expectation becomes more important with this recommendation as fewer faculty members self-select out through the deferral or stop-the-clock process.³

Accordingly, the MCIF-WG advises campuses to quantify the acceptable deviation from normal levels of performance, not to dictate file report outcomes, but to serve as a guidepost in considering a faculty member's performance according to ARO principles. As described above, this recommendation assumes that most faculty have put forward a good faith effort.

² Where campuses have relied on stop-the-clock more heavily in the last evaluation period, they may still need to consider retroactive pay/advance for some cases in the immediate term until they have been able to shift to this streamlined approach.

³ Faculty should still have the option to 'stop-the-clock' if insistent it applies in their case, but the campus administration should not promote this option and proactively encourage timely file submission through communications in line with guidance in section III of this report.

The MCIF-WG did acknowledge that rare cases could exist in which, after factoring in extenuating circumstances and applying ARO principles, a faculty member did not meet basic expectations or did not put in a good faith effort. These are the types of extreme cases that the MCIF-WG believed administrators should focus on identifying given that advancement in these scenarios could have a demoralizing effect on others in the organization. The MCIF-WG recommends that campuses develop specific criteria to identify **rare** cases where a faculty member should **not** receive a merit or advancement. Campuses can also look at defining criteria in which reviewers may opt to award a merit increase, but refrain from granting an advancement.

This recommendation aligns with guidance that came out of the University Committee on Academic Personnel (UCAP) in the spring of 2021. They advised to “avoid deferral of file reviews when possible, as this can create missed opportunities for advancement and delay career progression.”

Along with individual file review, the working group advises campuses to institutionalize the use of ARO principles through annual training to deans, chairs, and CAP on its application. This training may also entail providing guidance to these leaders on how they ought to explain ARO principles to faculty. Similarly, it asks campuses to raise awareness of the differential impacts COVID-19 has had based on gender, child and elder-care responsibilities, and race/ethnicity in new or existing implicit bias training provided to CAP and department chairs. Other actions include allowing chairs to determine how much weight should be given to different evaluation areas and providing faculty the opportunity to consult with non-supervisory faculty mentors prior to the submission of their files.

Application of ‘Achievement Relative to Opportunities’ (ARO) Principles

Given the diverse approaches UC campuses are taking in addressing COVID-19 impacts on faculty and the variance in file review processes across the system, the MCIF-WG originally refrained from prescribing exact steps each campus should employ to apply ARO principles in file review and deferred to each campus to customize its own approach. In response to the feedback from campuses, the MCIF-WG has provided a suggested approach for applying ARO in file review below and also recommends that campuses make use of opportunities for cross-campus sharing and collaboration, included in this report, to enable best practices to emerge. Campuses should also keep in mind that the University-wide Committee on Faculty Welfare has now begun its own initiative on the topic of ARO; future communications will be forthcoming.

Actions in MCIF-WG recommendation two aims to help campuses set clear, consistent, and fair academic standards without becoming overly doctrinaire in practice. While file reviews must, to some extent, consider how individuals perform relative to each other, ARO principles encourage placing more emphasis than would traditionally be done on professional growth and progression within that individual’s unique set of circumstances (i.e., their achievements relative to their available opportunities). Monash University, one of Australia’s top research universities, has implemented ARO principles in all of its personnel policies and processes. It elaborates on this point, stating that, “Achievement relative to opportunity is a positive acknowledgement of what a staff⁴ member can and has achieved given the opportunities available to them and results in a more calibrated assessment of

⁴ Monash University uses the word ‘staff’ here, but a review of their website makes it clear that they are referring to the equivalent of faculty.

their performance. It is not about providing ‘special consideration’ or expecting lesser standards of performance.”⁵

At the request of leadership at campuses, the MCIF-WG offers the suggested approach below to help campuses think through how to apply ARO at their locations in a way that simultaneously maintains academic rigor while recognizing the unique contexts faculty members are operating in.

Applying ‘Achievement Relative to Opportunities’ Principles in File Review

1. ARO principles apply to all eligible academic personnel.
2. ARO principles must be applied fairly, so similar factors should lead to similar decision outcomes. Reviewers should be able to justify decisions that appear out of the norm. Decision outcomes would generally fall under three categories:
 - a. Merit and advancement
 - b. Merit without advancement
 - c. Neither merit nor advancement
3. Prior to an upcoming review period, campuses should assess a set of successful pre-pandemic files representative of multiple types of disciplines to identify their key features. Campuses should use the outcome of this exercise to develop an approximate “pre-pandemic” standard and an approximate “pandemic” standard. This ties to actions in recommendation two related to “quantifying acceptable deviation from normal levels of performance.”
4. Along with how much a faculty member has done relative to the “pandemic” standard, ARO principles also give weight to the quality of one’s work and its impact. This does not have to be limited to research, scholarship, and creative activities, but should also consider contributions in teaching and to the campus community. Faculty can help reviewers by highlighting exceptional quality, describing steps taken to arrive at that level of quality, and describing the work’s broader impact.
5. Individual COVID-19 Opportunities and Challenges Statements are an essential ingredient in this type of review, no matter how this language is submitted (whether embedded or submitted as a separate document). Accounting for the use of these statements will be easier if this information is easily discernable in the file.
6. Context matters in coming to decisions on files reviewed in accordance with ARO principles. This context is determined by inputs. Five inputs that should be considered in assessing a faculty member’s file are:

⁵ Monash University. “Achievement Relative to Opportunity.” Date cited: March 27, 2022, <https://www.monash.edu/academicpromotion/achievement-relative-to-opportunity>. Materials at this site could be helpful to campuses in crafting their own approach.

- a. *Department's introductory COVID-19 "Opportunities and Challenges Statement"*
 - i. To what degree are challenges experienced by a faculty member shared across the department's faculty or the discipline within UC?
 - b. *Achievements and contributions in UC evaluation areas relative to an approximate "pandemic" standard*
 - i. Do achievements/contributions quantitatively meet the "pandemic" standard?
 - 1. How has the department chair asked reviewers to weigh respective evaluation areas?
 - 2. Some contributions may be derived from the individual's COVID-19 Opportunities and Challenges Statement.
 - ii. What is the quality and/or impact of achievements submitted?
 - 1. Is the quality and/or impact of achievements sufficient to make up for quantitative gaps?
 - a. If no, what challenges does the faculty member describe in the COVID-19 Opportunities and Challenges Statement that could offer an explanation?
 - c. *Professional challenges / extenuating circumstances (derived from the Opportunities and Challenges Statement)*
 - i. What is the impact of the professional challenges faced by the faculty member as a result of the COVID-19 pandemic?
 - d. *Personal challenges / circumstances*
 - i. Does the faculty member indicate that they experienced personal challenges due to COVID-19?
 - 1. Faculty should not include personal information in their COVID-19 Opportunities and Challenges Statement and should not need to share such information, but focus instead on how personal challenges impacted their work. Incidental information reviewers are aware of should not be shared, but can be used as an unrecorded factor in making final decisions.
 - e. *External evaluation*
 - i. What is the evaluator's assessment of COVID-19's impact on the discipline and faculty member's productivity?
 - ii. Did the evaluator speak to the faculty member's COVID-19 Opportunities and Challenges Statement, if it was included in the file?
 - iii. Does the evaluator describe performance that represents a *good faith effort* in spite of challenges?
7. A systematic approach to the collection of these inputs will streamline this process for the individual faculty member and reviewers. It will also enable a more technically rigorous file review process. Some means of doing this are provided in MCIF-WG recommendation one.
8. Department files should be reviewed as a group and introduced with a required Department COVID-19 Opportunities and Challenges Statement. While ARO principles put more emphasis on

individual context, a department-wide COVID-19 Opportunities and Challenges Statement can help to serve as a benchmark in understanding to what extent impacts were widespread and where they may have been more individualized.

Recommendation Three: Resources and Time for Research Recovery

MCIF-WG recommendations one and two largely focus on ensuring that faculty member performance is assessed in light of negative impacts experienced due to COVID-19. MCIF-WG recommendation three focuses on the material requirements necessary for individual and institutional recovery from some of the most acute negative impacts to academic productivity. Without appropriate investment, institutional recovery could lag and it will take longer for UC to witness positive signs that the system has attained a pre-pandemic equilibrium. As described in the executive summary, COVID-19 impeded research by preventing faculty from entering labs, archives, field sites, and performance spaces, as well as potentially resulting in loss of research funding. These impediments led to sunk costs, lost time, and research outcomes not able to be realized. In addition, faculty may have had greater time constraints due to the need to develop new modes of instruction, taking on additional service needs, and/or increased personal constraints, such as health issues or increased dependent care responsibilities.

Meaningful campus investment is critical for faculty to be able to resume research, produce scholarly work, and ensure the UC system continues to lead in academic excellence. As with reliable merit increases described in MCIF-WG recommendation two, this recommendation also has direct implications on UC's ability to retain faculty who are dedicated to advancing research in their respective fields.

The "Resources and Time for Research Recovery" recommendation originates from two of the three Academic Council recommendations the WG ranked as highest-priority and recommended for immediate action. It asks for campuses to institute funding mechanisms specific to research recovery, including costs related to graduate and post-doctoral fellow support, as well as to provide centralized funding to support teaching/service duty modifications. Although these seem like distinct purposes, both of these are interrelated in that they are providing faculty with the means, whether in resources or time, to rehabilitate research or other scholarly endeavors.

Some campuses have implemented funding mechanisms geared toward these objectives. However, often these campuses indicated that these mechanisms were temporary and were not confident that they would be able to be continued into the future. The MCIF-WG is concerned about the sustainability of these funding mechanisms through the five-year recovery period and strongly advises campuses to prioritize these mission-critical resources.

To underscore the importance of these funding programs, the MCIF-WG has asked campuses to incorporate their plan to sustain these programs in the five-year implementation plan detailed in MCIF-WG recommendation five. Further, UCOP plans to collect the following budgetary data annually and would like to see the total annual allocation either remain steady or increase over the five-year period:

1. Total annual allocation of campus research funding
2. Number of faculty funding recipients disaggregated by research recovery or teaching/service duty modification
3. Average funding amount

The MCIF-WG acknowledges the variances in resource availability across the campuses and, therefore, has put forward three options for campuses to select from based on their budgetary circumstances.

For recommended guidance on setting up each funding mechanism, please see the table starting on page 22.

Campus Type		Brief Description
Option A	Highly resource-constrained	Campus establishes a centrally managed funding mechanism whereby grants are issued to faculty <i>based on those with the greatest need</i> . Awards would be a mostly flat, modest amount. Expenses would include support for approved teaching/service duty modifications and limited compensation for losses in research productivity, which could include the hiring (or extending) of graduate students. All requested data for submission to UCOP tracked centrally.
Option B	Moderately resource-constrained	Campus establishes a centrally managed funding mechanism whereby grants are issued to faculty <i>based on a combination of need and the strength of one's application</i> . Expenses would include support for approved teaching/service duty modifications or research recovery, such as hiring (or extending) of graduate students or other operational costs. Campuses would determine a range of pre-determined amounts, so that stronger applications could be awarded more funding. All requested data for submission to UCOP tracked centrally.
Option C	Mildly resource-constrained	Campus establishes one larger centrally managed research recovery funding program and a separate pool of funding to be distributed to departments to support approved teaching/service duty modifications. Similar to Option B , research recovery grants would be provided through an application process, <i>assessed based on need and application strength</i> . Likewise, total funding provided would be derived from a range of pre-determined amounts. Different from Option B , <i>departments would be responsible for managing and tracking teaching/service duty modification funding</i> . All requested data for submission to UCOP would be tracked centrally, so departments would need to report to campus administration on number of teaching/service duty modification grant recipients or beneficiaries.

Recommendation Four: Support for Faculty Success

One of the themes that arose was faculty bandwidth and the expansion of time-consuming administrative requirements. These administrative requirements were already increasing prior to the pandemic but have accelerated over the past two years. Campuses quickly pivoted to offering remote instruction in the COVID-19-era, which necessitated a lot of time and adaptation from faculty. Even now as on-site instruction resumes, faculty have also been asked to put in place hybrid modes of instruction to provide for students who need to be out of the classroom for health reasons. Such hybrid modes of instruction can be more complex than purely in-person or remote modes of instruction. Further, as more students and staff have the option to study or work remotely, MCIF-WG members are concerned that faculty will be under increased pressure to dedicate more time to administrative and administrative-like activities than to activities that will advance research or scholarship in their respective fields. At the same time, the traditional weight given to academic artifacts in file review (i.e., research, publications, creative projects, etc.) often draws more attention than the teaching and service performance areas.

To counteract this erosion of faculty time in the near-term, the MCIF-WG recommends that the UC Provost and Executive Vice President of Academic Affairs approve the Pandemic Sabbatical Credit Program proposal mentioned in Academic Council recommendation two; campuses should be prepared to implement if it is approved. This proposal would award faculty additional sabbatical credits for their extraordinary efforts in teaching and/or service over the course of the COVID-19-era and enable more dedicated time toward research/creative activities. Former Academic Senate Chair Mary Gauvain and current Chair Robert Horwitz (then Vice Chair) put forward the draft proposal. It would provide one additional sabbatical credit for faculty who taught 1 or 2 full-term, credit-bearing courses remotely during the pandemic or 2 additional sabbatical credits for faculty who taught 3 or more full-term, credit-bearing courses during the pandemic. It will be particularly important for department chairs to be informed if this program should move forward, so that they can be prepared for an uptick in sabbatical requests.

The MCIF-WG also observed that higher education is in flux in this immediate period following the most recent peak of the pandemic. As alluded to above, the nature of teaching and learning could shift as more hybrid approaches evolve and could solidify. It will be important for system and campus leadership to follow these trends in order for UC to adapt as warranted. This also means conducting the research and understanding the tools that are best suited for new modes of teaching and learning and ensuring that faculty have access. New technology will likely be important both from a time-saving perspective as well as for UC to continue as a leader in innovation.

In addition to the erosion of time, faculty careers have been altered in other easily overlooked but significant ways. First, it is important to recognize that many accomplished faculty members have deferred leadership opportunities due to negative impacts from the pandemic. These trends have negative implications for UC equity goals given that impacts were not evenly felt across all faculty members. For example, as options for dependent care diminished, those with increased child and elder care responsibilities during the pandemic were particularly hindered from taking on new responsibilities. Lost opportunities included leadership of professional organizations and within departments and the university. Likewise, those from communities that experienced higher than average levels of severe COVID-19 cases may also have been differentially affected. In response, the MCIF-WG recommends including messaging directed to campus administrators, deans, and department chairs related to leadership deferral as part of the communications component in the 'campus implementation plan' recommendation. The objectives of such messaging would be to raise awareness of the issue (including equity considerations) and give administrators approaches for working with prospective leaders either on making a current opportunity feasible or helping ensure that the individual is considered for future opportunities.

A second easily overlooked impact was the dramatic reduction and even elimination of networking opportunities, both at external academic events and within the campuses. Early-career faculty are particularly affected as they have not had the time to fully develop these connections that often lead to new resources and collaborations, as well as contribute input on academic performance, including identification of potential external reviewers for academic advancement. The MCIF-WG recommends that campuses encourage and incentivize participation in networking events both virtually and in person. On occasion, they should also create these opportunities on campus, including hosting academic

conferences. Although the current trend is doing more and more events virtually, in-person events can be invaluable in fostering more organic, durable connections.

All of these measures are put forward to help faculty recover from setbacks they have experienced through the pandemic and that could impact their long-term career advancement. However, they also serve the interests of the University. The proposed Pandemic Sabbatical Credit Program would enable faculty to devote more uninterrupted time to the research and creative endeavors previously impacted by shelter-in-place orders and/or the need to shift quickly to new, more time-consuming modes of remote instruction. It would ensure the continued strength of UC's research mission. Organizational awareness on the possibility of faculty deferring on leadership opportunities due to COVID-19 impacts will serve the interests of both individual faculty members as well as the University's goals of having leadership in place that is fully representative of all of California's citizens. Finally, flourishing academic networks not only allow faculty to thrive, but keep UC on the cutting edge of new developments across academia and as a voice that other institutions look to on a myriad of issues across the state, country, and world.

Below is the fifth and final MCIF-WG recommendation which focuses on implementing the other four through the end of FY25-26. This also relates to select Academic Council recommendations that advise on more operational matters. Pages 19 through 27 provide a series of tables summarizing the MCIF-WG recommendations and all proposed actions for campus implementation.

Recommendation Five: Campus Implementation Plan

The fifth MCIF-WG recommendation, referred to as the 'cornerstone' recommendation due to its foundational relationship with the other four, asks EVCs at each campus to appoint a dedicated individual to develop an implementation plan encompassing all of the MCIF-WG recommendations. This individual should be able to reasonably allocate sufficient time initially for all of the planning, consultations, and other activities necessary to develop the implementation plan, prepare it for launch, and lead its implementation. Part of this individual's role will be to consult with the EVC and other stakeholders in the office to ensure that the project plan has the buy-in of campus leadership, will be adequately resourced, and prioritized across departments. The implementation plan should reflect a five-year timeline through the end of Fiscal Year 2025 – 2026, including the start of FY2021-22. Campuses should ensure there is ownership for the implementation plan throughout the five-year period. Critical steps related to the annual budget process and securing future year funding for the types of programs recommended by the MCIF-WG, such as research recovery and approved teaching duty modification programs, should be incorporated upfront in the implementation plan.

During the development of the implementation plan, the MCIF-WG asks that each EVC schedule a time with the campus committee on faculty welfare to present the plan, to what extent it will be resourced, and to explain any campus constraints or competing priorities the EVC's office has taken into account in the development of the plan. The committee on faculty welfare should be invited to provide feedback, including the rebalancing of areas it feels are a priority, and the EVC's office should consider this feedback. On its part, the campus committees on faculty welfare should strive to be reasonable in modifications requested, respecting the other constraints and priorities the administration is working to factor into the equation. This partnership between the EVC and the campus committee on faculty welfare aims to fulfill the spirit of the first Academic Council recommendation which called for a new

committee to be created with representation from both the Academic Senate and the campus administration. The MCIF-WG did not believe a new committee would be necessary as long as both the administration and the faculty welfare committee were engaged in active dialogue with each other on realizing and resourcing the recommendations.

As stated previously, this implementation plan is to encompass all of the elements of the other recommendations. The MCIF-WG views the plan as necessary for the effective, thorough implementation of MCIF-WG recommendations and for sustaining their implementation over a five-year timeline. In future years, the peak of the pandemic may feel like a bygone era, but even when it is no longer a hot topic, faculty will still be making up for career losses incurred during that time. This project plan will be a tangible way to transfer the energy of this moment to the future and ensure that COVID-19 impacts on faculty continue to be addressed.

The MCIF-WG recognizes that this final report comes amid numerous other initiatives already undertaken by the campuses both prior to the issuance of and in response to the MCIF-WG preliminary report. Developing this project plan should allow each campus to evaluate the outcomes of these initiatives. Based on these evaluations, a campus may determine to show how pre-existing initiatives will be sustained through the end of FY25-26 and how they meet the spirit of the MCIF-WG recommendations or a campus may decide to shift course to an approach that more precisely aligns with the MCIF-WG recommendations. Listed below are key components the MCIF-WG envisions the plan incorporating as well as key stakeholders that the dedicated individual would need to participate in the implementation of the plan.

Implementation Plan Components

1. Program development and launch
2. Drafting of guidance and messaging
3. Communication plan
 - a. Equity and culture
 - b. Multimodal engagement
4. Training plan
 - a. CAP, chairs, faculty, deans, others
5. Resource allocation process and continuation through 5 years

Implementation Stakeholders

(not comprehensive)

1. Office of Executive Vice-Chancellor
2. Committee on Faculty Welfare
3. Campus faculty and academic administration
4. Finance, Operations and Administration
5. Strategic Communications
6. Diversity and Inclusion
7. Information and Educational Technology
8. Other campus committees
 - a. Diversity, Research, Dependent Care, etc.

The MCIF-WG encourages general consistency across the campuses with regard to applying “Achievement Relative to Opportunities” principles in file review. Following the release of the preliminary report, a few campuses requested support in formulating guidance that could form the basis of communication, more formal guidance, and training materials. The MCIF-WG has provided a suggested approach for considering ARO in file review in this final report under MCIF-WG

recommendation two. Section III of this report also summarizes the types of messaging and guidance each campus will want to incorporate into communication and training plans as well as different modes of communication. To support cross-campus coordination on guidance, UCOP will set up a Box folder to serve as a library of materials campuses volunteer to include. Others can adopt or borrow from these materials as desired, enabling campuses to aggregate around common messaging and approaches. It should be noted that the University Committee on Faculty Welfare (UCFW) is also undertaking an exercise on how these types of principles could apply to the APM, so UCOP will add any outputs from this exercise as available and that could inform campus COVID-19 mitigation measures.

Finally, the MCIF-WG asks each campus to post its implementation plan for the campus community as early as July 1, 2022 and no later than October 1, 2022 and to notify the UC Provost’s office when this is completed. This should not imply that measures cannot be put into place prior to this date.

Posting the implementation plan will:

1. Set clear expectations to faculty on how the campus plans to address negative COVID-19 impacts experienced over the five-year period.
2. Enable the University to better understand variances that exist between campuses, including whether these originate in resource constraints or other competing priorities.

Below are a series of tables that summarize the MCIF-WG recommendations and proposed actions for campus implementation that continue through to page 27. Descriptions of recommendations that were included in the preliminary report will focus on additions that have been made in the final report.

MCIF-WG Recommendation Action Summary Tables

MCIF-WG Recommendation One
COVID-19 Opportunities and Challenges Statements
<ul style="list-style-type: none"> ➤ <i>Addresses Academic Council Recommendation Numbers Four and Five</i> ➤ <i>Applicable to all campuses</i>
<p><u>MCIF-WG recommends the following actions:</u></p> <ol style="list-style-type: none"> 1. Rebrand these statements as a “COVID-19 Opportunities and Challenges Statement” 2. Issue recurring communication to faculty in guidance related to academic file review that their inclusion of a COVID-19 Opportunities and Challenges Statement in files through the five-year period will be looked upon fairly by reviewers due to their interest in understanding collective faculty experience during the pandemic, destigmatizing these statements (where there may be stigma), and enabling the campus community to provide a supportive environment for those most negatively impacted. 3. Ensure that guidance to faculty includes the following elements, reviewing other campus approaches as needed:

MCIF-WG Recommendation One

COVID-19 Opportunities and Challenges Statements

- *Addresses Academic Council Recommendation Numbers Four and Five*
- **Applicable to all campuses**

- a. Directions on where to place statement language and how to make it more visible to reviewers, so there is a coherent approach at each campus.
 - b. Instructions to provide positive contributions made during the pandemic in addition to ways faculty may have been negatively impacted.
 - c. List of examples of what can be included in the statement or questions to help faculty consider what to include.
 - d. A checklist including stock language for common professional circumstances enabling individuals to quickly select situations that pertained to them without divulging personal information.
4. Draft standard campus language for departments to refer to on how to interpret and apply Achievement Relative to Opportunities principles in file review and confirm broad agreement across departments on this language.
 5. Require departments to draft a statement on behalf of their discipline which can be used as a benchmark in evaluating individual faculty members from the discipline through the five-year timeline. In addition to describing discipline specific impacts of the COVID-19 pandemic on research, teaching, and service, this statement ought to reiterate departmental expectations for achieving a merit, tenure, or full professorship in light of Achievement Relative to Opportunities principles and the research, teaching, and service pillars of the University's mission.
 6. Provide guidance to submitters of external evaluation letters through chairs to comment on how COVID-19 impacted the candidate's productivity as well as the field more broadly (including positive contributions). Ask candidate if they would be comfortable also including their impact statement with the request for the external evaluation letter (should be entirely voluntary).

Considerations

- Campuses differed in the level of guidance provided to faculty on Opportunities and Challenges Statements. As these statements will be in use for up to five years, this is an area where faculty would benefit from a user-friendly toolbox of guidance and resources.
- Campuses were mixed in their usage of Opportunities and Challenges Statements written by department chairs on behalf of the discipline. Campuses have not broadly, if at all, formally requested that submitters of external evaluation letters provide comment on COVID-19 impacts and a candidate's contributions in response.

MCIF-WG Recommendation Two

'Achievement Relative to Opportunities' in Academic Advancement File Review

- *Addresses Academic Council Recommendation Numbers Four, Seven, Eight*
- ***Applicable to all campuses***

MCIF-WG recommends the following actions:

1. Encourage file submission for all faculty no matter how significantly impacted by COVID-19 with a commitment to incorporating Achievement Relative to Opportunities principles in academic advancement file review and in line with communications guidance in section III of this report.
2. Quantify acceptable deviation from normal levels of performance, not to dictate final review decisions, but to serve as a guidepost in reviewing the faculty member's performance according to "Achievement Relative to Opportunities" principles.⁶
3. Develop specific criteria to identify when merit may be awarded but not a formal step advancement, if appropriate, for specific cases.
4. Develop specific criteria for CAP and review committees to identify rare cases in which a faculty member should not receive a merit or advancement, outline how these cases should be sensitively handled, and communicate this guidance to review committees, the cognizant Deans, or CAP.
5. Provide training to department chairs and CAP on applying "ARO" guidance in review annually, including the incorporation of a COVID-19 Opportunities and Challenges Statement.
6. Integrate a section on the differential impacts of COVID-19 in any implicit bias training provided to CAP and department chairs.
7. Develop standardized messaging to inform faculty of this selected approach and enable those who may have already deferred to submit a file belatedly.
8. Provide chairs with the opportunity to rank evaluation areas by how much weight they should be given in file review.
9. Institute a faculty-to-faculty mentorship program that ensures faculty have the opportunity to consult with experienced faculty outside of a formal supervisory relationship on file preparation and submission.

Considerations

- Strategic communication is central to ensuring that all faculty are aware that campus leadership is supportive of having all files go through review.
- Setting clear standards of expectation, including for review committees, becomes more important as fewer faculty members self-select out by requesting deferral.

(Continued from page 21)

- Some faculty may have put in exorbitant amount of effort into the teaching and service pillars of the University’s mission, but withhold their file if messaging on timely file submission is limited in reach or content is not adequately clear.

MCIF-WG Recommendation Three Resources and Time for Research Recovery

- *Addresses Academic Council Recommendation Numbers Eleven, Three, and Ten*
- **Each campus should select Option A, B, or C based on the scenario closest to the campus’s current situation.**
- *Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.*

Recommendation Three: Option A	Recommendation Three: Option B	Recommendation Three: Option C
<i>Scenario: Campus resources are highly constrained</i>	<i>Scenario: Campus resources are moderately constrained</i>	<i>Scenario: Campus resources are mildly constrained</i>
<p><u>MCIF-WG recommends the following actions:</u></p> <ol style="list-style-type: none"> 1. Establish a centrally managed funding mechanism whereby grants are issued to faculty <i>based on those with the greatest need</i>. Awards would be a mostly flat, modest amount. Expenses would include support for approved teaching duty modifications, and limited compensation for losses in research productivity, which could include the hiring (or extending) of graduate students. 	<p><u>MCIF-WG recommends the following actions:</u></p> <ol style="list-style-type: none"> 1. Establish a centrally managed funding mechanism whereby grants are issued to faculty <i>based on a combination of need and application strength</i>. Expenses would be used to support approved teaching/service duty modifications or expenses related to research recovery, such as hiring (or extending) of graduate students or other operational costs. 	<p><u>MCIF-WG recommends the following actions:</u></p> <ol style="list-style-type: none"> 1. Establish a centrally managed research recovery funding program for which all faculty are eligible and that can provide grants based on a combination of need and application strength for a range of set dollar amounts, <i>including amounts suitable for larger research enterprises</i> that were impacted by the pandemic (similar to Option B, but with some higher-level funding available).

⁶ For example, UCAP guidance to departments suggested reducing expectations to 75%. A few campuses are granting percentages of a step to make up the difference of lost productivity due to COVID or taking into account future performance in light of past performance.

MCIF-WG Recommendation Three

Resources and Time for Research Recovery

- Addresses Academic Council Recommendation Numbers Eleven, Three, and Ten
- **Each campus should select Option A, B, or C** based on the scenario closest to the campus's current situation.
- Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.

Recommendation Three: Option A	Recommendation Three: Option B	Recommendation Three: Option C
<p><i>(Continued from page 22)</i></p> <ol style="list-style-type: none"> 2. Set an internal target of how many such grants the campus expects to be able to provide each fiscal year in order to gauge fairness in distribution across individuals and disciplines. 3. Develop a sustainability plan for fund to continue as is for over five years or expand to Options B or C (now incorporated into campus implementation plan). 	<p><i>(Continued from page 22)</i></p> <ol style="list-style-type: none"> 2. Develop a range of set amounts from lowest to highest the campus is willing and able to provide as grants to faculty over the course of each fiscal year and under what circumstances. Stronger applications could be awarded more funding. 3. Set internal targets of how many grants of each amount the campus would be able to distribute. The internal target for the lowest possible amount should remain constant, keeping grants accessible to a fair number of faculty members, unless insufficient faculty apply by deadline set by the campus. 4. Develop a sustainability plan for fund to continue as is for over five years or expand (now incorporated into campus implementation plan). 	<p><i>(Continued from page 22)</i></p> <ol style="list-style-type: none"> 2. Set internal targets of how many research recovery grants the campus is able to issue each fiscal year for which amounts and determine a grant maximum amount based on that number. Internal target for the lowest possible amount should remain constant to keep grants accessible to a fair number of faculty members, unless insufficient faculty apply by deadline set by the campus. 3. Establish a separate pool of funding for distribution to departments for approved teaching duty modifications, a distribution based on the ratio of average courses taught in a semester/quarter per department faculty member (different from Option B in that departments manage). 4. Provide guidance to deans to ensure that teaching duty modification funding will be fairly and proportionately distributed among faculty members, taking into account that teaching loads vary by discipline and faculty members. Other factors outside of the control of the faculty member can be a decision factor.

MCIF-WG Recommendation Three

Resources and Time for Research Recovery

- Addresses Academic Council Recommendation Numbers Eleven, Three, and Ten
- **Each campus should select Option A, B, or C** based on the scenario closest to the campus's current situation.
- Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.

Recommendation Three: Option A	Recommendation Three: Option B	Recommendation Three: Option C
<p><i>(Continued from page 23)</i></p>	<p><i>(Continued from page 23)</i></p>	<p><i>(Continued from page 23)</i></p> <p>5. Develop a sustainability plan for fund to continue as is for over five years or expand (now incorporated into campus implementation plan).</p>
<p><u>Considerations</u></p> <ul style="list-style-type: none"> • Applicants would need to establish the extent to which the pandemic disrupted their work and/or research relative to other applicants, so requests should be reviewed in groups. Course load, extent of research losses, career implications, and other similar factors should be taken into account. • Balance would need to be struck between number of grants and the dollar-amount of the grants to make them accessible to a fair number of faculty members. • Hiring or extending of graduate students or TAs can be done through state lottery funds or one-time relief funds. One-time relief funds are available through 2022. • Applicants seeking this funding to compensate for research losses that do not entail teaching duty modifications or hiring additional research 	<p><u>Considerations</u></p> <ul style="list-style-type: none"> • Hiring or extending of graduate students or TAs can be done through state lottery funds or one-time relief funds. One-time relief funds are available through 2022. • Applications should be reviewed in groups to allow for cross-comparison and informed decision-making. Course load, extent of research losses, and other similar factors should be taken into account. • If a deadline for the lowest grant amount is set earlier in the fiscal year and not all funding set aside is used, the campus could choose to issue fewer, larger grants later in the fiscal year. • Applicants seeking this funding to compensate for research losses that do not entail teaching duty modifications or hiring additional research support should explain, not only the purpose of the 	<p><u>Considerations</u></p> <ul style="list-style-type: none"> • Where resources exist, WG members noted the high expenses it takes to fund certain types of research to build back up the University's research capacity. • WG members noted such programs are particularly important for faculty on soft money. • WG members pointed out that the need for bridge funding for research may increase substantially two to three years from now due to lost productivity during peak COVID-19 era. • Applications should be reviewed in groups to allow for cross-comparison and informed decision-making. Course load, extent of research losses, and other similar factors should be taken into account. • Campuses should be mindful that teaching loads are variable

MCIF-WG Recommendation Three

Resources and Time for Research Recovery

- *Addresses Academic Council Recommendation Numbers Eleven, Three, and Ten*
- **Each campus should select Option A, B, or C** based on the scenario closest to the campus's current situation.
- *Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.*

Recommendation Three: Option A	Recommendation Three: Option B	Recommendation Three: Option C
<p><i>(Continued from page 24)</i></p> <p>support should explain how they could use the modest funding to meaningfully recover from losses.</p> <ul style="list-style-type: none"> • See Section IV for UCOP data collection requirements. 	<p><i>(Continued from page 24)</i></p> <p>research, but how limited grant funding amount will set them up for success in recovery of a larger research enterprise.</p> <ul style="list-style-type: none"> • Larger research resource needs may emerge in two to three years when faculty look to renew grant funding. • As teaching loads are variable across disciplines, an equitable approach could mean directing more teaching modification funding to disciplines with greater teaching loads and more research recovery funding going toward applicable disciplines. • See Section IV for UCOP data collection requirements. 	<p><i>(Continued from page 24)</i></p> <p>across disciplines, so an equitable approach could entail more teaching modification funding being directed to disciplines with the larger teaching loads and more research recovery funding being directed toward those disciplines.</p> <ul style="list-style-type: none"> • See Section IV for UCOP data collection requirements. This option could require some reporting from departments managing teaching/service duty modification funding to campus administration on faculty grant recipients or beneficiaries.

MCIF-WG Recommendation Four Support for Faculty Success

- *Addresses Academic Council Recommendation Numbers Two, Nine, and Twelve*
- **Applicable to all campuses**

MCIF-WG recommends the following actions:

1. Prepare to implement a proposed Pandemic Sabbatical Credit Program **should** UC Provost and Executive Vice President of Academic Affairs agree with the MCIF-WG recommendation to approve this time-saving program.
2. Provide recurring messaging to deans and department chairs to raise awareness of cases where faculty defer on leadership opportunities due to disproportionate impacts of COVID-19 and guidance on approaches

MCIF-WG Recommendation Four Support for Faculty Success

- *Addresses Academic Council Recommendation Numbers Two, Nine, and Twelve*
- **Applicable to all campuses**

(Continued from page 25)

administrators can take to make an opportunity more feasible for these high-potential faculty members. Faculty who ultimately turn down opportunities in the COVID-19-era should continue to be considered for future opportunities.

3. Encourage networking through regular communications and provide in-person and virtual opportunities to do so, especially with newly appointed faculty in mind.

Considerations

- The proposed Pandemic Sabbatical Credit Program (currently in draft form) is dependent on approval of the UC Provost and Executive Vice President and is a recommendation to him by the MCIF-WG.
- The MCIF-WG believes the proposed Pandemic Sabbatical Credit Program should be able to be implemented on such a timeline that additional costs to campuses should be kept minimal. Campuses could consider measures similar to those they would take as part of their teaching duty modification programs if needed. See the attached proposal for what will be put forward. Campus administrations should communicate closely with department chairs prior to implementation, so that they can be prepared for an uptick in sabbatical requests.
- Faculty may defer or may have deferred on leadership opportunities due to disproportionate negative impacts of COVID-19. There are equity considerations.
- Newly appointed faculty have had few opportunities to develop their academic networks over the past couple of years. Funding could be beneficial for travel, hosting academic conferences or incentivizing mentorship within the campus community. The importance of in-person opportunities should not be discounted in an era where more events move to the virtual space.
- Although not listed as a specific action item, the MCIF-WG observed that system and campus leaders should monitor trends in higher education to ensure that UC faculty are aware of and have access to new time-saving technology necessary for teaching and learning in the post-pandemic era.

MCIF-WG Recommendation Five

Campus Implementation Plan

- *Serves as a cornerstone enabling the thorough, effective implementation of all MCIF-WG recommendations.*
- *Specifically addresses Academic Council Recommendation Numbers One, Six, Thirteen, Fourteen, and Fifteen.*
- ***Applicable to all campuses***

MCIF-WG recommends the following actions:

1. Identify a dedicated individual within the EVC's office to allocate sufficient time for the development, launch, and implementation of a campus plan encompassing all MCIF-WG proposed actions through the end of FY25-26 (EVC).
2. Develop an implementation plan informed by MCIF-WG recommendations and other equivalent campus actions to mitigate COVID-19 impacts on faculty (dedicated individual).
3. Present draft implementation plan to Campus Faculty Welfare Committee for input and finalize plan based on campus circumstances (EVC).
4. Develop foundational messaging and guidance that will inform longer-term communication and training plans with input from counterparts at other campuses (dedicated individual).
5. Post campus implementation plans for the campus community and notify the UC Provost's office at provost@ucop.edu as early as July 1, 2022 and no later than October 1, 2022 (submission is not a precondition for implementing measures) (EVC).
6. Implement the campus implementation plan with appropriate stakeholder involvement (dedicated individual).
7. Provide modest reporting to the UC Provost and Executive Vice President, the Academic Senate Chair, the University Committee on Faculty Welfare, the University Committee on Affirmative Action, Diversity, and Equity, and respective campus committees on implementation progress in preparation for the annual meeting described under section IV (EVC).

Considerations

- Recommendation relies on a partnership between EVC's office and Campus Faculty Welfare Committee to agree on a solution that meaningfully addresses COVID-19 impacts on faculty within campus operational constraints and competing priorities.
- Implementation plan encompasses multiple activities over a multi-year timeline, including program development, drafting of guidance and messaging, communications, training, and resource allocation. Campus should be mindful of establishing clear ownership of the plan over the duration of the project plan.
- UCOP will set up a Box folder for campuses to volunteer materials for other campuses to adopt or borrow from. Campuses are encouraged to submit materials. Annual report should include a brief qualitative section that describes how plan implementation is going as well as key metrics identified in section IV.

III. Communication and Training

A theme that runs through all of the MCIF-WG recommendations is the need for recurring, standardized messaging and guidance through various media and that can be sustained over five years. Campuses have made information and resources available to faculty through email and postings on websites specific to COVID-19. This information is valuable, but it is also substantive and could overwhelm faculty who are not in the details of these topics every day. Messaging that is not anchored in standardized language invites variation over time that could run the risk of future confusion or contradiction.

The MCIF-WG suggests that campuses work on assessing past communications from a user (faculty) experience perspective. This could mean both distilling this information to more easily digestible takeaways for future communications and trainings and organizing materials so that faculty can begin with top-level takeaways and, then, easily access more substantive resources if they so choose. A user-friendly, centralized toolbox with select resources necessary for file submission could be valuable.

Content could be vetted by select stakeholders, such as those listed in relation to the campus implementation plan on page 18, particularly campus strategic communications units. Campuses will also have the opportunity to adopt or borrow from materials other campuses volunteer through the Box folder “library” UCOP sets-up (detailed in section IV). Listed below are sample categories for messaging and training that each campus may want to address, derived from the recommendations above. The list below is intended to provide for fundamentals and a manageable list to work from. For example, topics under “standardized messaging” should not mean to imply that many of these topics would not be beneficial as training content. Different modes of communication a campus could employ are also provided.

Standardized Messaging Needed

Topic	
1	Development and use of a COVID-19 Opportunities and Challenges Statements for file review, referencing available resources
2	Equity, differential impacts of COVID-19 (included in most everything)
3	File submission
4	Application of ARO principles in file review
5	Drafting an Opportunities and Challenges Statement on behalf of discipline
6	Use of faculty Opportunities and Challenges Statements in requests to external evaluators
7	File submission/review appeals process
8	Campus grant opportunities related to COVID-19 mitigation measures

Training Content Needed

Topic	
1	Application of ARO principles in file review (including example scenarios), drafting an Opportunities and Challenges Statement on behalf of discipline, and equity considerations
2	Equity relative to COVID-19, specific to implicit bias training

Diverse Modes of Communication Encouraged (*not comprehensive*)

Communication Options for Consideration	
1	Administration to Faculty Email
2	Website posting
3	Newsletter
4	Academic Senate email to faculty
5	New and pre-existing trainings
6	All-Faculty Town Hall
7	Direct briefing conducted by department chair
8	Virtual office hours held by Academic Personnel

IV. Role of the UC Office of the President

The MCIF-WG is cognizant of the ways in which campuses differ with respect to culture, local priorities, resource levels, and in programs or measures that have already been enacted and may be ongoing. With these differences, the WG understands that implementation of the recommendations may be relatively customized to meet the particular circumstances of each campus. The MCIF-WG’s primary priority is for the implementation of recommendations to be effective and thorough, so that COVID-19 impacts on faculty are meaningfully and equitably alleviated and faculty are fully advised on how to take advantage of measures put in place.

Even while making space for campus customization, another important WG priority is to promote common approaches and principles across the system, where possible, such that the experience of a faculty member on one campus is not wildly different from the experience of a faculty member at another. UCOP’s primary responsibility will be to encourage systemwide coordination such that a baseline of principles and practices that are transparent and equitable are implemented.

In light of this secondary priority, the MCIF-WG proposes modest measures to enable the University to better understand variances between campuses as well as overall progress. Out of respect for campus time constraints, the MCIF-WG worked to identify means to obtain valuable insight on the progress of MCIF-WG recommendations at each campus and across the system without undue administrative burden.

Campus Implementation Plan Notifications

Each campus is asked to post its project plan for the campus community as early as July 1, 2022 and no later than October 1, 2022 and to notify the UC Provost’s office when they do so. UCOP will review implementation plans with an eye toward identifying gaps and areas of alignment between campuses. UCOP could determine to enter into dialogue with a campus if it has questions on its plan, particularly in scenarios where a campus’s approach deviates significantly from the others without a clear explanation.

Shared Library of Campus Materials

UCOP will set up a folder in Box where each campus can volunteer materials for others to adopt and borrow from, enabling campuses to aggregate around common messaging and approaches. It should be noted that the University Committee on Faculty Welfare (UCFW) is also undertaking an exercise on how

these types of principles could apply to the Academic Personnel Manual (APM), so UCOP will include any outputs from UCFW in this folder as well.

Annual Meeting

UCOP will host a virtual annual meeting including the Academic Council, the campus leads, and the Council of Vice-Chancellors members, to provide updates on the progress of campus actions to mitigate COVID-19 impacts on faculty and to discuss related questions. Prior to these annual meetings, campuses should submit specified metrics to UCOP targeted to track progress on high-priority MCIF-WG recommendations. This detailed information will not necessarily be shared in the larger group, but can help inform the direction of the conversation. UCOP will also continue to track requests for third-year extensions of the tenure clock and work with campuses to collect merit and promotion data as done in the past. Specific metrics UCOP plans to collect are:

1. Total annual allocation of grant funding (new metric)
2. Number of faculty grant recipients disaggregated by research recovery or teaching/service duty modification (new metric)
3. Average grant amount (new metric)
4. Merit and promotion data (pre-existing metrics)
5. Requests to UC Provost for third-year extensions of the tenure clock (pre-existing metric)

Sabbatical Credit Program Proposal

Finally, the MCIF-WG has recommended that the UC Provost and Executive Vice President approve a proposed Pandemic Sabbatical Credit Program (currently in draft form). UCOP will investigate the possibility of this with the UC Provost and appropriate system stakeholders. Campuses have been asked to be prepared to implement this program should it be approved by the UC Provost and Executive Vice President in MCIF-WG recommendation four.

V. Viewpoint on Academic Council Long-Term Recommendations

Along with the original fifteen short-term AC recommendations, the Academic Council also proposed another six recommendations “for future goals and actions.” These six long-term Academic Council recommendations have their origins in more systemic challenges the University has faced prior to COVID-19, but which the pandemic has further exacerbated. Some of these challenges, such as dependent care, have been discussed in various fora for decades. The MCIF-WG evaluated these as part of its scope in phase two of its charge. As the MCIF-WG is especially interested in gaining traction across the system on its five recommendations based in the fifteen short-term Academic Council recommendations, the WG has determined to refrain from proposing specific actions on the long-term Academic Council recommendations at this time and to instead offer its viewpoint and advocacy. Other University bodies are also taking action in some of these areas, so the MCIF-WG would like its input to be reflected in future actions the University may take. Additionally, the groups may want to look at work being done at campuses on the five MCIF-WG recommendations as there are some thematic ties between the issue areas the MCIF-WG seeks to address and the long-term Academic Council recommendations.

Six Long-Term Academic Council Recommendations by Theme (original number; does not indicate priority level)

#	Title	Description	Theme
2	Systemwide dependent care task force ⁷	Form a task force to investigate the unmet needs for dependent care, beginning with childcare services across all the UC campuses; establish metrics and standards for equitable childcare access	Dependent Care
3	Financial support for dependent care during travel	Provide financial support for dependent care for faculty travel to scholarly conferences and collaborative activities	
4	Family friendly policies and committees	Use the lessons of the COVID-19-era to favor family-friendly policies; campuses should establish a Committee on Family Friendly Policies	
5	Redefinition of “excellence” in values and evaluations	Update how we define “excellence” specifically as it relates to values and merit evaluation system	Holistic Values and ARO Principles
6	“Whole person” approach to evaluations	Evaluate our fellow faculty members as “whole persons” and accept that reduced periods of productivity are normal over the course of a faculty member’s career due to unplanned life experiences	
1	Financial support for home purchases	Financial support for home purchases; close salary gap and strengthen employee benefits, especially its retirement and health plans	Affordable Housing

Dependent Care

Dependent care has been a longstanding challenge for the University, though the COVID-19-era has accentuated it. Many faculty members were compelled to balance work and family life even more so than before as options for dependent care evaporated. For example, eight campuses put in place a local COVID-19-related Dependent Care Modified Duties program, approved as a policy exception by the UC Provost, beginning in FY2021-22.⁸ Since the beginning of these programs, 163 faculty members requested to participate. 63% of participants were women and 19% came from under-represented minority groups.

In the past, speaking of dependent care has typically been read automatically as childcare. As many faculty members needed to equally care for their elderly parents or sick family members during the pandemic, this period has demonstrated that the University needs to have a broader view on what having family friendly policies means. In addition, policies need to take into account that family structures, living situations, and responsibilities may look different across the diverse UC community.

⁷ The original AC language specifically referred to a ‘child care task force,’ though the MCIF-WG believed the task force should consider all forms of dependent care.

⁸ A couple of campuses managed these types of scenarios within existing policy.

The MCIF-WG strongly supports the establishment of a task force dedicated to looking at how to improve dependent care across the system, beginning with longstanding needs related to childcare. Given that reforms in this area take time and the size of the scope, the MCIF-WG recommends that the system be very cognizant of identifying and working toward clearly delineated goals. Two specific dependent care priorities raised by the MCIF-WG are the need for, first, emergency backup childcare and, second, strategically located childcare services across all the UC campuses that are made available for use on a regular basis.

Emergency Backup Childcare

Currently, when children fall ill unexpectedly or similar scenarios and this coincides with a faculty member's teaching schedule, there are few guaranteed alternatives except to attempt to find a last-minute substitute or to cancel class. It would be very helpful to faculty members with children to be able to have a resource that could step in in these scenarios to temporarily assume child care responsibilities. Students reportedly penalize faculty for class disruptions like these in evaluations, so this is a problem that could directly impact the faculty member's academic file unfairly.

Regular Childcare Services Across the System

Members expressed appreciation for localized campus initiatives working to address this challenge, but believed that it could be improved through strategically located, reliable childcare services across all UC campuses. A systemwide contract for a more comprehensive childcare program, available on a regular basis, would be of tremendous value.⁹ Current childcare service offerings are not consistent across campuses and UC is not fully taking advantage of the potential for economies of scale that could make services more affordable for faculty. Currently, some locations also limit the eligibility of who can use the services. The MCIF-WG believes that regular childcare is an essential service that the University should attempt to offer to broader segments of the UC population. As a prospective dependent care task force makes headway on solving critical challenges in childcare, it can then also begin to look at an expanded set of areas related to dependent care and family friendly policies more broadly.

Affordable Housing

The MCIF-WG's discussion on affordable housing came after the Regents' approval of the UC Housing Assistance Program's new Zero Interest Program (ZIP) Loan in January 2022. This was viewed as a positive milestone. In their discussion, members flagged three other related issues for attention. First, given that the implementation of this program is dependent on the allocation of local resources, the WG was concerned about whether funding for this program would be widely distributed and the criteria campuses would use in determining eligibility. Some felt that those on a lower salary tier ought to be prioritized for the program. Second, at some campuses, housing availability is a more pressing issue than housing affordability. The MCIF-WG suggests that another milestone the University could work toward is establishing more faculty village housing at identified campuses, similar to the UC Irvine model. Third, the Academic Council recommendation on affordable housing speaks more broadly to issues of salary (and salary equity), benefits, and increasing cost-of-living. While these are substantive areas by themselves, the University should be mindful of ensuring that affordable housing programs keep pace with inflation. For example, the ZIP loan program currently caps loans at \$150,000. In future years,

⁹ UC Merced has its own independent childcare program that many in the campus community like, so it could be worth looking at this model in comparison to what is offered through Bright Horizons.

members recommend that the University regularly update this amount to ensure it maintains its original value.

Holistic Values and Achievement Relative to Opportunities Principles

Similar to its perspective on having a broader view of what family friendly policies means relative to dependent care, MCIF-WG members also strongly advocate that the UC expand its view on the individual faculty member's role in and relationship to their campus community. This relates to the long-term Academic Council recommendations that ask UC to "update how we define 'excellence'" and "evaluating our fellow faculty members as 'whole persons.'" Perhaps more so than any other event in recent cultural memory, COVID-19 has disrupted the firm boundaries Americans have had in place of a separate professional and a personal life. This is both in terms of where and how they work and the ways in which events and circumstances in one's personal life cannot always be tidily sequestered.

The pandemic has reminded socially conscious organizations like UC of the humanity of their workforce as many fell ill, faced the loss of a loved-one, or needed to assume more responsibility for dependent care as alternative options normally available diminished. The distinguishing feature of the pandemic, however, is not in its disruptiveness, but in the fact that its disruptiveness affected everyone together to greater or lesser degrees.

Post-COVID-19, UC faculty will continue to experience disruptions in their lives (as they did prior to COVID-19), some of which could impact their professional lives. These disruptions could stem from natural disasters or personal loss more close to home. Even though these may not stem from a shared experience, for the individual faculty member who experiences them, these disruptions may be equally devastating to anything that could have happened due to the pandemic.

COVID-19 is a good impetus for UC to evaluate the relationship between the individual faculty member and the University and the type of community it wants to foster. The sixth long-term Academic Council recommendation challenges the University to "promote a culture...where empathy and excellence coexist." UC would not be alone in looking at how to foster this type of cultural change as the pandemic has spurred a lot of organizational introspection as many people reevaluate their relationships to their careers, their values, and their priorities.¹⁰ It will be increasingly important for organizations, such as UC, to adapt to the sociological effects of the pandemic and the new reality it has produced. Those that make this shift faster will be in an advantageous position to lead.

Moreover, the MCIF-WG believes UC faculty would welcome a cultural shift that recognizes faculty members as "whole persons", resulting in greater levels of satisfaction, long-term productivity, loyalty to UC, and mutual success.

¹⁰ Gartner's article, "Reinventing the Employee Value Proposition: The Human Deal", May 21, 2021, explains their "Human Deal Framework" and research findings. It discusses the shift from "work-life separation, to work-life balance, to work-life integration." <https://www.gartner.com/document/4001828>

VI. Conclusion

Over the past two years, the University of California along with many organizations around the world has had to grapple with both how to respond to the pandemic as well as what it would mean for future operations, values, and culture. At the peak of the pandemic, it was difficult to focus on the latter, but now is the time for forward-thinking organizations to seriously consider this question as well as to make strategic interventions to mitigate negative impacts that will continue to have ramifications. Many are referring to the pandemic as one of the defining moments of the century, one which will have reverberations on how people live and work, and in their values toward both. As organizations like UC address the negative impacts of COVID-19, it is important to do so in a way that will best position them to lead in the years ahead.

UC faculty have faced a number of different impacts stemming from the COVID-19 pandemic. Like many in our communities, some fell ill due to the virus or their families did; some had to mourn the loss of those close to them. Many struggled to balance work with increased dependent care responsibilities, whether for children, elderly relatives, or loved-ones with special needs. Other negative impacts to faculty relate to stalled research and scholarship, lowered morale, and increased anxiety due to work-life balance issues and health concerns, among others. The effects of these impacts will continue on in direct and indirect ways.

Faculty play a central role in the University of California's mission. As UC transitions into the new normal brought about by the pandemic and considers strategies that will advance the institution, it should not overlook how addressing COVID-19 impacts on faculty will amplify the success of these strategies. Moreover, the impacts of COVID-19 did not fall evenly across the University. There were differential impacts based on gender and race/ethnicity, academic level, as well as discipline. This has implications not only on faculty who are important members of the UC community, but also on UC's goals to have an institution that is representative of all of the citizens of the state of California.

In pragmatic terms, the implementation of the five MCIF-WG recommendations will provide needed relief to faculty who have faced numerous challenges over the past couple of years and whose work is intrinsically tied to the success of the three-fold mission of the University in teaching, research, and service. However, the implementation of these recommendations is also an important opportunity for the University. It is an opportunity to consider the future of the University in a new normal, the type of culture we want to develop, and what it will mean for UC to lead in the decades ahead.

List of Appendices

1. Academic Council Endorsement of 21 Recommendations
2. President Michael V. Drake's Response to the Academic Council
3. The MCIF-WG Charge
4. Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report
5. UCAP Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic
6. Draft Pandemic Sabbatical Credit Program Proposal
7. Campus Stakeholders



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Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
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January 26, 2021

**MICHAEL DRAKE, PRESIDENT
UNIVERSITY OF CALIFORNIA**

Re: Mitigating COVID-19 Impacts on Faculty

Dear President Drake,

The Academic Council has endorsed the attached letter from the University Committee on Faculty Welfare (UCFW) and the University Committee on Affirmative Action, Diversity, and Equity (UCAADE), with recommendations for mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities. The recommendations outline both immediate actions the University can take to support faculty, and also longer-term systemic changes to better support equity, inclusion, recruitment, and retention.

Council strongly endorses the expressions of concern presented in the letter, and its focus on junior colleagues, those with caregiver responsibilities, and those from underrepresented groups who may be most likely to be negatively affected by the pandemic. Council also emphasizes the need for the University to track the pandemic's effects on faculty research productivity, which may persist for several years.

In addition, the Council recognizes that these mitigation strategies carry costs that will be difficult for some campuses to manage without additional resources, especially given how difficult it is to accommodate teaching and service reductions equitably in a department. There is also concern that granting COVID-related leaves to faculty could burden others who would have to pick up the teaching workload. Thus, we are sensitive to the possibility of an unfunded mandate to campuses at a time when dramatic budget cuts are being considered. We expect the University may be asked to provide funding to departments to help prevent these unintended consequences. In any event, it is clear that any systemwide actions requiring additional investment will need further discussion. We look forward to working with you on these next steps.

Please do not hesitate to contact me if you have additional questions.

Sincerely,



Mary Gauvain, Chair
Academic Council

Cc: Provost Brown
Vice Provost Carlson
UCFW Chair Halpain
UCAADE Chair Arsuaga
Academic Council
Chief of Staff Kao
Senate Directors

Encl.



UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
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UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION, DIVERSITY,
AND EQUITY (UCAADE)
Javier Arsuaga, Chair
jarsuaga@ucdavis.edu

December 21, 2020

**MARY GAUVAIN, CHAIR
ACADEMIC COUNCIL**

RE: Mitigating COVID-19 Impacts on Faculty

Dear Mary,

The University Committee on Faculty Welfare (UCFW) and the University Committee on Affirmative Action, Diversity, and Equity (UCAADE) have discussed in-depth the impacts of the COVID-19 pandemic on faculty, particularly the impacts to academic advancement and to work-life balance and the provision of dependent care. We recognize and appreciate the interim measures taken so far, but they are inadequate to address identified needs. Below, we discuss both short-term, immediate consequences and remedies, as well as longer-term, more systemic concerns underscored by the pandemic and strategies to address them.

The global pandemic is affecting nearly every faculty member in some manner. However, there are large disparities in the magnitude of negative impacts to teaching, service, and research productivity across divisions, departments, and among individual faculty members. In addition to the impact of mandatory campus closures, there are major impacts to faculty who have substantial at-home dependent care responsibilities, particularly those with infants and preschool age children, and those in regions where school openings are restricted, necessitating at-home support of K-12 children attending school online. Access to day care and in-home paid assistance is limited, or unaffordable.

Responses by UC must consider both the acute and the long-lasting impacts on faculty career advancement and success. There are immediate, acute effects on faculty productivity, not only because of dependent care issues but also due to the increased time demands of remote teaching, and the increased needs of students who require mentoring during this stressful time. In addition, creative and research activities are impacted variably due to COVID-related campus closures, lack of access to human research subjects, delays in supply and equipment availability, and a lack of direct access to collegial interactions that drive research and creative endeavors. Importantly, impacts to productivity may have ripple effects that last for several years, potentially compounded by as yet unknown factors, including potential reductions in research funding stemming from economic impacts of the pandemic. Lost research and scholarship opportunities may thus become exacerbated and result in irretrievable reductions in research success.

UCFW/UCAADE note that, while impacts vary greatly across individuals, all these impacts combined are *disproportionately affecting historically marginalized faculty as a whole, particularly women and members of historically underrepresented groups. Women of color are especially impacted. A recent report by McKinsey has documented these race and gender disparities since the pandemic, illustrating the alarming potential for significant workplace attrition at all career tiers, even (and especially) at upper levels of career attainment* <https://www.mckinsey.com/featured-insights/diversity-and-inclusion/women-in-the-workplace#>. (NOTE: While this survey focused on the corporate setting, the findings seem likely to apply in large measure to faculty in academia as well.)

We have divided our comments and recommendations, below, into two parts to emphasize the need for (a) urgent and immediate action (in the time frame ranging from this month through the next two to five years); and (b) to initiate discussion on how the University of California may address critical, systemic challenges in order to create a University environment that values a diverse faculty and fosters equity and inclusion throughout its mission.

PART I: RECOMMENDATIONS FOR IMMEDIATE ACTIONS

We are relieved that the UC Office of the President and the Chancellors of all ten UC Campuses recognize the profound, negative impacts that the global pandemic is having on the career success and advancement of most faculty. We are grateful for the measures that have been implemented by UC President Drake and the UC Provost to temporarily expand leave options during the pandemic. However, such measures still far short of what will be needed to mitigate the fallout from the COVID-era. We therefore propose the following actions be taken by every campus, strongly supported wherever needed by UCOP, to minimize the deleterious effects of the COVID-era on individual faculty members and the potential attrition that may otherwise result.

1. Establish a campus-level COVID-era Faculty Career Support Committee (CFCSC) – or an alternatively named equivalent -- to oversee implementation of equity measures to mitigate COVID-era impacts to faculty in a clear & transparent manner. This committee should include both Senate & Administrative representatives to endow it with policy-making and fiscal support authority. We note that direct collaboration between entities such as Academic Personnel and Senate committee representatives provide the best opportunity to effectively address the serious impacts on faculty success arising from the pandemic.
2. Implement accommodations to teaching and service duties when requested by individual faculty members; the above Committee should recommend, monitor, and, as needed, mediate such accommodations. We note that the 17 September, 2020 memo from UC Provost Michael Brown granting campuses flexibility to adopt COVID-related Dependent Care Modified Duties programs, modeled after Active Service Modified Duties programs, is an excellent first step in implementing such accommodations. However, additional support and accommodations may be needed for individual faculty, and the ability of departments to offer such support may vary widely. There are significant concerns about equity in the implementation of teaching and service accommodations, as detailed below. In addition to creating new programs and policies to support faculty during the COVID-era, UCFW/UCAADE strongly supports a mechanism, such as the proposal to *award additional sabbatical credit*, to acknowledge the significant time and effort the

faculty have provided in maintaining educational and research excellence during this unprecedented time.

3. Establish campus-level funding to support teaching accommodations whenever departmental resources fall short of providing needed COVID-related teaching relief.
4. Adjust expectations for promotions & merit advances to conform to *Achievement Relative to Opportunities (ARO) principles*. ARO principles enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate's normal ability to achieve expected outcomes. This can be initiated by inviting faculty to include in their file of review a "COVID impact statement." We note, however, that such impacts may not be limited to the COVID-era *per se*: Many faculty members were impacted, for example, by the devastating fires and power outages throughout California in recent years. Campus Committees on Academic Personnel (CAP) should create and disseminate guidelines for implementing these ARO adjustments. *System-wide CAP should first establish standards and guidelines to promote uniformity and equity across campuses*. UCFW/UCAADE would be pleased to collaborate with UCAP to develop such guidelines. (Please see as example the Questionnaire <https://www.pnas.org/content/suppl/2020/06/17/2010636117.DCSupplemental> from the accompanying article in the *Proceedings of the National Academy of Sciences* by Malisch et al 2020 <https://www.pnas.org/content/pnas/117/27/15378.full.pdf>). *UCFW/UCAADE notes that this does not imply that standards of excellence should be lowered*. Rather, the UC should respond to the reality of lost opportunities due to the COVID era, recognizing that they are myriad, diverse, and potentially long-lasting for many faculty.
5. If "COVID impact statements" are to be encouraged and used during merit and promotion review, then faculty should not feel pressured to divulge personal details or circumstances in their files. It is strongly preferred that "COVID impact statements" provide merely a detailed accounting of lost opportunities in the professional domain (e.g., weeks of lost productivity due to campus closures, grants not submitted, manuscript submissions delayed; students not graduated; performances cancelled, etc.), rather than a description of personal impacts. In other words, *faculty should not be required to describe personal details and circumstances, such as family or personal illnesses or demands of dependent care duties, etc., in their files*). Excluding such personal details could help mitigate concerns over implicit bias, but may not eliminate them completely.
6. Encourage campus administration, tenure and promotion committees, and other Senate committees to be proactive in promoting equity in the wake of COVID-era impacts. Campuses should provide and require anti-bias training for all members of promotion committees, from the department level on up, that specifically addresses the highly variable need for ARO considerations among individual faculty. Responses to mitigate negative COVID-era career impacts should not be "one-size-fits all." Just as the research, service, and teaching dossiers will be unique to each faculty member, *so too will be each individual's impact from the pandemic*. It has been noted that some faculty's productivity may even increase as a result of the changes imposed by the pandemic.

7. Provide expected merit/promotion-related salary increases, even when promotions & advances are delayed due to COVID-era impacts.
8. Use “stop-the-clock” and deferrals as mechanisms to delay file review only when ARO standards are inadequate to accommodate the COVID-era impacts; ensure equity in tenure and advancement for meritorious faculty at all levels.
9. Avoid erosion of leadership opportunities, especially for highly-impacted groups of faculty. Provide assurances that faculty members who ask to be relieved of leadership roles be availed of opportunities to return to their leadership posts as soon as practical and desired by the faculty member.
10. Provide financial support as much as possible to support faculty with caregiving responsibilities to offset hiring of external caregivers when a faculty member’s COVID-era related caregiving directly conflicts with teaching and research-conference attendance, or similar professional activities. We note that re-purposing funds originally designated to support faculty travel might be used, in part, to provide such caregiving support, such as has been done at UC San Diego <https://aps.ucsd.edu/faculty-resources/family/depcaretravelgrants.html>.
11. Extend campus “bridge funding” mechanisms so that they may be used not only to support faculty whose have lost all funding, but also to recover losses in funding for graduate and postdoc support. Faculty have been required to continue salary and benefit support of such trainees even when access to labs and studios have been curtailed due to county health measures for COVID-19 restrictions. Similarly, remove (or extend) expiration dates on start-up or other perishable funds to allow for their extended use.
12. Recognize that the COVID-era has had significant impacts on the networks and networking opportunities that are a cornerstone of scholarly exchange of information and achievement. System-wide UC and campuses should establish mechanisms to help restore such networks and maximize opportunities for faculty, especially junior faculty, to re-engage as quickly and effectively as possible. UCFW/UCAADE is particularly concerned how this loss may impact the solicitation of support letters from colleagues that are used in tenure and promotion evaluation, particularly for junior faculty.
13. Establish a culture of awareness of the disparate impacts of the COVID-era on career success across the academic and university spectrum, including impacts on faculty, students, postdocs/trainees, and staff. This *cultural shift should emanate from top leadership*, beginning at the Office of the President and the Chair of the Academic Senate.
14. Communicate effectively, transparently, and quickly. Because of the rapid changes brought on by the pandemic, and the urgent nature of many required responses, it is easy for lines of communication to be disrupted. It is imperative that faculty be made aware of changes to policy, availability of accommodations, options, and resources, and be provided instruction on how to apply for accommodations and submit “COVID impact statements in a timely manner, lest

windows of opportunity close. The COVID-era Faculty Career Support Committee (CFCSC) could be a *campus-level communication node to ensure effective dissemination of information.*

15. Chairs, Deans, University Administration, and appropriate Senate committees should frequently quantify and evaluate the success of these support measures & make adjustments as needed. Here, again, the campus level COVID-era Faculty Career Support Committee (CFCSC) could be a resource where convergent information and metrics are evaluated and recommendations issued regarding COVID-era impact mitigation. UCFW/UCAADE strongly urges that system-wide Academic Personnel communicate with campus-level CFCSCs, gather data on the policies and programs and outcome measures, including metrics pertaining to gender, race, ethnicity, and LGBTQ identity.

PART II: LONG-TERM IMPACTS AND STRENGTHENING UC VALUES

Despite its many challenges, the COVID-19-era provides an opportunity to strengthen the values of the UC in order to build and maintain an excellent, diverse, and successful faculty, and to make the UC “the employer of choice” for world class academics across disciplines.

For the University of California to remain competitive with top institutions in attracting and retaining top faculty, the University must continue to close the salary gap, and it must retain and strengthen its employee benefits, especially its retirement and health plans. In addition, UCFW/UCAADE recommends the following steps be taken, beginning now, to position the UC to be the new-era leader in academic excellence at a top public institution of research and higher education.

RECOMMENDATIONS FOR FUTURE GOALS AND ACTIONS

1. Financial support for home purchases. For the University of California to remain competitive with top institutions in attracting and retaining top faculty, the University must continue to close the salary gap, and it must retain and strengthen its employee benefits, especially its retirement and health plans. UCFW/UCAADE propose that, in addition, the UC must strengthen support for home-ownership. Lack of access to affordable housing has been a growing problem in many areas of California, including within the regions hosting nearly all of the UC campuses. An increasing share of U.S. households with children are headed by single parents, especially single mothers, who can struggle to achieve home ownership. We expect this struggle to be amplified by the financial hardships due to the pandemic and the current economic crisis. Moreover, as the UC strives to recruit and retain more faculty of color, it must recognize that many such potential colleagues come from communities that have traditionally struggled, often as a direct result of systemic racism, to accumulate the personal and generational wealth that puts home ownership within financial reach. We recommend that the Academic Senate and UCOP form a task force to explore options for offering enhanced support, including down-payment assistance, to foster home ownership for faculty who lack adequate means.
2. Childcare. The pandemic has exacerbated significant and long-standing deficiencies in childcare availability on most campuses. We recommend that the Academic Senate and UCOP form a task force to investigate the unmet needs for affordable, strategically located childcare services across

all the UC campuses, and establish metrics and standards for equitable childcare access. The task force should generate recommendations not only for “brick-and-mortar” solutions, but other creative ways to ease the childcare strain on its faculty, staff, and student populations.

3. Financial support for dependent care for faculty travel to scientific conferences and collaborative activities. As noted above, some, but not all, campuses have established funding mechanisms to assist faculty with dependent care responsibilities when traveling to scholarly meetings. UCFW/UCAADE strongly recommend that UCOP establishes a system-wide mechanism for such support, and ensure equity and inclusion in its policy implementation. Moreover, such funding mechanisms should have built-in flexibility so that they could be *quickly revised/repurposed for at-home dependent care during emergencies*, such as the COVID pandemic or the regional wildfires, i.e., whenever there are government-mandated school closures.
4. Use the lessons of the COVID-era to favor family friendly policies. In addition to greatly strengthening on-site childcare support with multiple options, campuses can continue to evaluate means of evolving a family-friendly community. These include, for example, encouraging the options for as-needed online/remote teaching (e.g., for days when home care for sick dependents is required of a faculty member), having “zoom conference” option for campus departmental and committee meetings, etc. UCFW/UCAADE urges that every campus establish a Committee on Family Friendly Policies (or equivalent) that will allow collaboration among administration, faculty, staff, and students to make policy recommendations and monitor their success through appropriate metrics, as well as identify unmet needs. This committee should be separate from and live beyond the COVID-era specific committee proposed in Part I, above.
5. Updating how we define “excellence.” The dramatic impacts we are facing as a UC Faculty can and should be viewed as an opportunity to reassess our values and our system of merit evaluations. In many cases, the benchmarks for evaluating faculty contributions to the scholarship and success of UC are holdovers from a different cultural era, when many fewer women and URG faculty held positions, when there were fewer two-career couples throughout society, when there were fewer single-parent households, when parenting and other dependent care duties were distributed less equitably, and when funding for the research enterprise was structured very differently. We do not advocate that standards that allow the UC to remain a world-premiere institution be lowered. However, we propose that the current inflection point created by the Covid pandemic spark a broader conversation around what constitutes “excellence” at the UC regarding faculty performance.
6. Evaluating our fellow faculty members as “whole persons.” Going forward from here, can we create a culture at the UC that allows all faculty to feel welcome, appreciated, and thrive? Some members propose that we revise our collective view of disrupted productivity. Can we consider each individual faculty member as a whole human being who brings a diverse set of experiences, skills, perspectives, and potential for future success? Should we reject the idea that there is something inherently “wrong” with having periods of reduced productivity? Such unanticipated reductions are usually temporary, and can stem from unplanned “life experiences” that befall most people at some point in their lives. The pandemic is creating negative experiences

impacting productivity for nearly everyone at the UC, thereby revealing gaps in our support safety net and amplifying systemic inequities. However, during any “normal” time there are individuals who experience career disruptions due to personal or family-related medical circumstances, divorce, death and bereavement, wildfire evacuations, home loss etc. Let us consider how we, as the Senate, may promote a culture among our peers where empathy and excellence coexist.

Sincerely,

Shelley Halpain, UCFW Chair

Javier Arsuaga, UCAADE Chair

Copy: UCFW
UCAADE
Hilary Baxter, Executive Director, Academic Senate
Robert Horwitz, Academic Council Vice Chair



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February 26, 2021

ACADEMIC COUNCIL CHAIR MARY GAUVAIN

Dear Academic Council Chair Gauvain:

I was pleased to receive your email of January 26, 2021 with timely recommendations for “mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities.” Your recommendations are consistent with my goal of making UC the employer of choice for world class academics across disciplines.

The set of recommendations endorsed by the Academic Council, as recommended by the University Committee on Faculty Welfare (UCFW) and the University Committee on Affirmative Action, Diversity, and Equity (UCAADE) acknowledges that the pandemic has produced disparities, by race and gender, in healthcare, and employment. We need to address these disparities.

I am asking Provost and Executive Vice President Brown and his leadership team to work with you on addressing the recommendations you have forwarded. Currently, we need to strategize efforts because we do not have the capacity at present to address all of the issues. I appreciate, therefore, your separation of recommendations into Part 1 (Recommendations for Immediate Actions) and Part 2 (Recommendations for Long-term Impacts and Strengthening UC Values). I am asking Provost Brown to focus on the specific impact of COVID-19 on faculty, especially on early-career faculty. I expect the Provost to form a workgroup comprised of Academic Senate representatives and campus leaders to address the Academic Council recommendations, including drafting an inventory of the actions already taken to address these issues. I expect the group to report regularly to Provost Brown and me on needed additional actions.

I appreciate learning that the upcoming RFP for the Advancing Faculty Diversity (AFD) 2021-22 awards will prioritize projects that address issues of equity, disparity, and early-career faculty progress. Moreover, UC will put in place a new “Pay for Family Care and Bonding” program as of July 1, 2021, which will begin to address some of the issues of family friendly policies. In addition, discussions of a possible shared-equity program for home-ownership have begun; and we will learn more from Provost Brown and CFO Brostrom.

Finally, I want to underscore your recommendation #15, which urges systemwide collection of data and metrics that will help us to define the issues we are facing and track the progress we make in addressing them. We need accountability in these efforts and developing these tools should be among our shared priorities.

Sincerely,

A handwritten signature in black ink that reads "Michael V. Drake MD". The signature is written in a cursive style with a large, stylized "D" at the end.

Michael V. Drake, MD
President

cc: Provost Brown
Vice Provost Carlson
Vice President P. Brown
Vice President Gullatt
Vice President Maldonado
Vice Chair Horwitz
UCFW Chair Halpain
UCAADE Chair Arsuaga
Chief of Staff Kao

Charge for the Senate Administration Mitigating COVID-19 Impacts on Faculty Working Group

May 2021

On January 26, 2021, the Academic Council wrote President Drake with recommendations on mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities. President Drake responded on February 26, 2021 asking Provost and Executive Vice President Brown to form a working group of Academic Senate and administrative representatives to address the recommendations with a focus on faculty, especially early-career faculty. He noted that the pandemic has produced disparities, by race and gender, and that UC needs to address these disparities. The Senate Administration Mitigating COVID-19 Impacts on Faculty Working Group (COVID Faculty Impacts WG) was appointed on April 29, 2021 and is being co-chaired by Provost and Executive Vice Chancellor Mary Croughan and Academic Council Vice Chair Robert Horwitz.

Provost Brown is charging the COVID Faculty Impacts WG with the following:

- Reviewing the fifteen “immediate” and six “long-term” recommendations from the Academic Council and advising on and prioritizing the specific actions that will mitigate the negative impact of COVID-19 on faculty, especially early-career faculty. The WG should focus on actions that could be taken in the next two to five years, a timeline recommended by the Council.
- With the assistance of UCOP staff, preparing an inventory of actions already taken by campuses to mitigate the impact of COVID-19 on faculty and advising UCOP about the most transparent and effective way to share the inventory. Where there are gaps between campuses, the WG will also advise UCOP whether actions are better addressed at a system-level or by the individual campuses.
- Advising UCOP on data and metrics that will help UC define the issues UC is facing as a result of COVID-19 and track the progress UC makes in addressing them. This may include both short-term and long-term actions.

In addition, and because the work will fall into two timeframes—1) May and June, 2021 and 2) September through December, 2021—the COVID Faculty Impacts WG is asked to report back in two stages:

- *By June 30, 2021*, prepare a preliminary report including the following: 1) an assessment of the work already done to address the Academic Council recommendations and where significant gaps remain; 2) recommendations on immediate actions that might be initiated before the fall term of 2021 either by individual campuses or at the system-level; 3) recommendations on data that should be collected and/or analyzed; and 4) identification of existing committees and groups who can assist in taking responsibility for the implementation of immediate actions.
- *By December 20, 2021*, prepare a final report including the following: 1) recommended actions for mitigating the impacts of COVID-19 on faculty, especially early career faculty, in the areas of advancement, morale, work-life balance, and dependent care responsibilities; each recommended action should include an assessment of the benefits, challenges, and costs of implementation; 2) prioritization of the WG recommended actions, understanding that the University remains resource-constrained; 3) the need for new or modified policies or committees to advance this conversation in the future; and 4) identification of any systematic barriers to faculty success.

Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report

First of Two Phases, Summer 2021

Executive Summary

On January 26, 2021, the Academic Council wrote President Drake with recommendations on mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities. In response, President Michael V. Drake requested that Provost Michael T. Brown form the Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG), formalized on April 29, 2021 with the appointment of 17 members (see roster in appendix four). The MCIF-WG was charged with the review and prioritization of fifteen “immediate” and six “long-term” recommendations from the Academic Council (AC), the assessment of actions already taken by campuses to mitigate COVID-19 impacts on faculty, and advising UCOP on data and metrics to help UC define the issues UC is facing as a result of COVID-19 and track the progress UC makes in addressing them.

The focus of the MCIF-WG in early meetings was on the assessment of actions already taken by campuses and the prioritization of AC recommendations. The goal in prioritizing the recommendations was to identify actions the University system and campuses could take swiftly in Fall 2021 to respond to areas the MCIF-WG members viewed as being of greatest concern to faculty across the system. MCIF-WG members ranked the AC recommendations according to priority level (high, medium, or low), deliberately narrowing its focus on proposing actions to address the three Academic Council recommendations members ranked as highest priority. It took this approach with the objective of enabling the University system and campus leadership to act swiftly on a few of the most pressing and timely areas of concern: academic review and appraisal, funding for research recovery, and campus-level funding to support approved teaching duty modifications. This initial report focuses on these areas so that campuses have options immediately available to them for the 2021-2022 academic year. A second and final report will be issued by spring 2022.

Highest Priority Academic Council Recommendations

MCIF-WG members identified three AC recommendations that were clear outliers in the number of members that ranked each as high priority: recommendations four, eleven, and three. AC recommendation number four, relating to academic review and appraisal, asks campuses to “adjust expectations for promotions and merit advances to conform to Achievement Relative to Opportunities (ARO) principles.” ARO principles, as described in the recommendation, “enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate’s normal ability to achieve expected outcomes.” This recommendation also advises on COVID statements in file review, which are widely in use across all campuses but with variance in how faculty are instructed to employ them. AC recommendation numbers eleven and three request the creation of funding programs to recover from research losses and to provide campus-level support for approved teaching duty modifications whenever department resources fall short.

Subsequently, the MCIF-WG did a deep dive on these three AC recommendations and was able to identify actions that could be taken swiftly to address COVID-19 impacts for which faculty have expressed particular concern across the system. In identifying actions, members were cognizant of how campuses differed with respect to culture, local priorities, resource levels, and in programs or measures that had already been enacted.

MCIF-WG Recommendations Developed in Response to AC Recommendations

With these differences in mind, the MCIF-WG organized identified actions into three separate recommendations for campuses to implement in response to the three highest-priority AC recommendations and included options to enable campus flexibility based on their circumstances. Providing options is designed to balance the need for campus flexibility and producing substantive and equitable outcomes that would address COVID-19 impacts on faculty across all campuses. MCIF-WG recommendations are summarized below, but can be found in more detail on pages 14 - 20. See also diagram on page three for a visual on how MCIF-WG recommendations relate to the three highest priority AC recommendations. For clarity, the report distinguishes between Academic Council recommendations and the subsequent Working Group recommendations by the acronyms “AC” and “MCIF-WG.”

MCIF-WG Recommendations One and Two aim to address AC recommendation number four regarding academic review (see pages 14 - 17). MCIF-WG Recommendation One requests that all campuses rebrand COVID impact statements as a “COVID Opportunities and Challenges Statement” and ensure that the use of COVID statements in file review adhere to best practices identified by the MCIF-WG. If not already doing so, it requires campuses to draft language on how departments are to interpret and apply ARO principles and to incorporate department-level statements into the file review process to be used as a means to benchmark performance across disciplines. It also requests that campuses provide guidance to faculty reviewers who submit letters to a candidate’s file. Reviewers should consider the candidate’s performance in light of COVID impacts as well as the candidate’s noteworthy contributions during the review period.

MCIF-WG Recommendation Two recognizes that some campuses have relied more on the file review deferral process while others have actively encouraged faculty to submit files with an understanding that they would be holistically reviewed using ARO principles. It provides campuses with two options based on the scenario that best matches current campus practices. For campuses relying heavily on the file deferral process, the WG recommends that they commit to retroactive pay and advancement for qualifying faculty. Because of the cascading effects of the pandemic on faculty careers, the WG agreed that these measures should be in effect for *five* years.

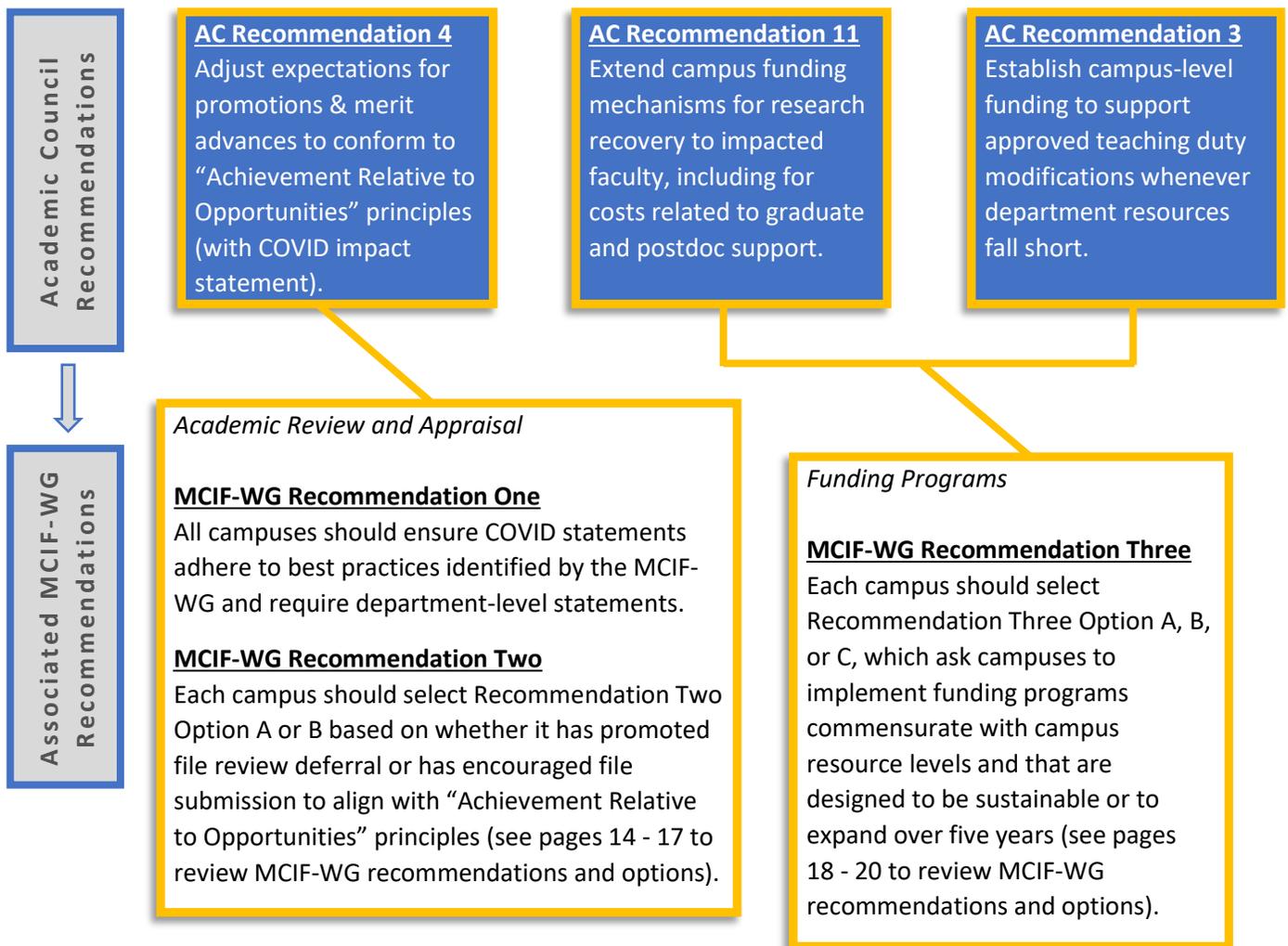
MCIF-WG Recommendation Three seeks to address AC recommendation numbers eleven and three. It asks campuses to implement funding programs for research recovery (including larger and smaller scale research activities) and to provide campus-level funding for approved teaching duty modifications that can be sustained or expanded over five years. This MCIF-WG recommendation offers options based on campus resource constraints (see pages 18 – 20). Eligibility for these programs would be open to all faculty. At the minimum, the most resource-constrained campuses should have a modest centrally managed *need-based* grant program in place. For moderately resource-constrained campuses, the WG asks that a centrally managed *application-based* funding program be established with a set range of award amounts that can be used for either approved teaching duty modifications or research recovery. Campuses that are least resource constrained should have one centrally managed independent funding program for research recovery with more sizable grants that faculty can apply for as well as a separate program for campus-level funding to support teaching duty modifications, with funds being distributed and managed at the school level.

Conclusion

The MCIF-WG is reconvening to further consider the other 18 Academic Council recommendations that are similarly substantive. Some of the other 18 AC recommendations have links to the three being addressed herein, so the WG may identify other actions that would further refine the implementation of the MCIF-WG recommendations proposed in this preliminary report.

The WG recognizes that the system and campuses both continue to face resource constraints, but views costs associated with the highest-ranked recommendations as having sufficient importance to warrant prioritizing the identification of funds that can be allocated to these purposes. It encourages leadership to seriously consider the three MCIF-WG recommendations put forward on pages 14 - 20 with associated options and how these can be implemented, or in the case of campuses that have already taken some of these actions, how programs can be sustained or expanded for up to five years.

Summary of MCIF-WG recommendations and their relationship to the top-ranked high priority Academic Council recommendations. See pages 14 - 20.



I. Introduction

In March 2020, under the direction of governing authorities and with the counsel of public health officials, the University of California suspended onsite operations of all affiliated locations in response to the novel coronavirus, with appropriate exceptions for locations and staff performing health-related or other essential functions. These shelter-in-place orders continued to varying degrees through the end of 2020 and most of 2021. They played an important role in controlling the spread of COVID-19, keeping hospitals and other health centers from becoming overextended, and protecting the health and safety of everyone, particularly vulnerable populations.

In the face of pandemic-related challenges, the University had to be exceptionally adaptive in advancing the three pillars of its mission in teaching, research, and public service, even as campus resources dwindled from normal levels. Faculty were on the forefront of the changes necessitated by COVID-19 and profoundly felt its impacts in their work and personal lives, with disparate impacts based on gender and race. Many faced increased dependent care responsibilities and some were directly affected by the virus or saw their loved ones suffer from it.

Even so, faculty made a dramatic pivot to conducting instruction remotely with minimal preparation for new instruction media. As labs and other research facilities were closed, many had to absorb resulting sunk costs, literally as well as in time and energy devoted to research outcomes that could not be fully brought to fruition. With the new challenges presented by COVID-19, there were no shortages for service opportunities and many faculty during this time devoted limited time and energy to implementing new practices in response to rapidly changing developments, demonstrating an admirable commitment on holding the University to its standards of excellence.

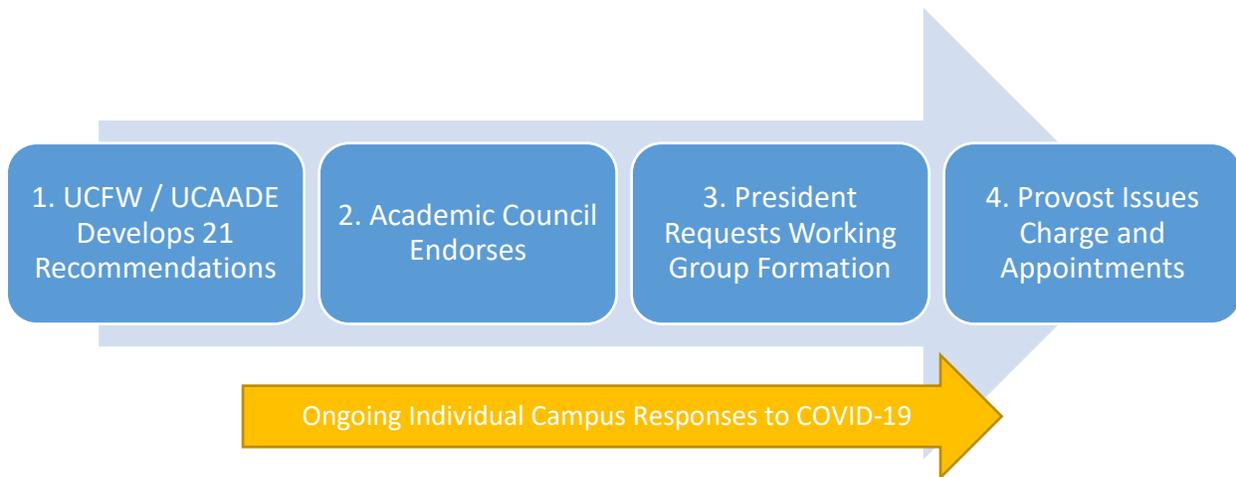
One of these service initiatives began in 2020, led by the University Committees on Faculty Welfare (UCFW) and on Affirmative Action, Diversity and Equity (UCAADE). These Committees, chaired by Shelley Halpain and Javier Arsuaga, respectively, recognized early that any impact COVID-19 would have on faculty whether with regard to career advancement, morale, work-life balance, or increased dependent care responsibilities could have a commensurate long-term impact on the University's capacity to produce desired outcomes in teaching, research, and service as well as in diversity and equity goals.

On January 26, 2021, Academic Council (AC) Chair Mary Gauvain, in a letter to President Michael V. Drake, endorsed a separate letter jointly drafted by UCFW and UCAADE that included fifteen shorter-term recommendations to mitigate against the direct impacts COVID-19 had on faculty and six longer-term recommendations that look at how the COVID-19-era could serve as a catalyst "to strengthen the values of the UC...and to make the UC 'the employer of choice' for world class academics." President Drake's response was to call for the organization of a working group comprised of Academic Senate representatives and campus leaders to address the AC recommendations.

The Mitigating COVID-19 Impacts on Faculty Working Group was instituted when Provost Michael T. Brown appointed Working Group members on April 29, 2021, with Provost and Executive Vice Chancellor Mary Croughan and Academic Council Vice Chair (now serving as Chair) Robert Horwitz as Co-Chairs. The following preliminary report details the activities of the Working Group in the Summer of 2021 and puts forward three MCIF-WG recommendations to address three AC recommendations, providing faculty across the system with the tools and conditions necessary to continue and elevate the University of California's trajectory of excellence.

II. Background

As prefaced in the introduction, the Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG) originated at President Michael V. Drake's request, which was informed by the Academic Council, the UCFW, and the UCAADE. UC Provost Michael T. Brown issued appointment letters to selected members in April, forming the Working Group, which was shortly followed by the Working Group's Charge in May 2021. The Co-Chairs of the MCIF-WG are Provost and Executive Vice Chancellor Mary Croughan and Academic Council Vice Chair Robert Horwitz.



The Charge

The Charge for the Senate Administration Mitigating COVID-19 Impacts on Faculty Working Group reflects the interests and concerns of all of the above stakeholders.¹ Provost Brown specifically charged the MCIF-WG with the following:

- “Reviewing the fifteen ‘immediate’ and six ‘long-term’ recommendations...and advising on and prioritizing the specific actions that will mitigate the negative impact of COVID-19 on faculty, especially early-career faculty.”
- “Preparing an inventory of actions already taken by campuses to mitigate the impact of COVID-19 on faculty...and [advising] UCOP whether actions are better addressed at a system-level or by the individual campuses.”
- “Advising UCOP on data and metrics that will help UC define the issues UC is facing as a result of COVID-19 and track the progress UC makes in addressing them.”

The Charge laid out a plan that would include two stages, the first to take place in the summer of 2021 and the second to take place in the following fall, and called for reports to be drafted for each stage with the final report being completed in December 2021. This is the preliminary report. It puts forward MCIF-WG recommendations with associated options that the WG proposes implementing immediately based on their review and prioritization of the AC recommendations, explains how the WG arrived at identified

¹ Foundational documents, including the Charge, are included as appendices for reference.

actions, and provides an assessment of what has already been done either at the system or campus levels to address prioritized AC recommendations. Other key documents have been included as appendices, including:

1. Academic Council Endorsement of 21 Recommendations
2. President Michael V. Drake’s Response to the Academic Council
3. The MCIF-WG Charge
4. MCIF Working Group Membership
5. UCAP Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic
6. Draft Pandemic Sabbatical Credit Program Proposal
7. Campus Stakeholders

The focus of this preliminary report will be to address three AC recommendations the WG ranked as of highest priority with the intent to revisit 18 other recommendations when the members meet again in the fall. It was determined that prioritization of the recommendations was necessary in order to meet one of the Charge’s objectives, which was to be able to begin implementation of some of the most needed actions swiftly. The three AC recommendations the WG ranked as top priority were:

Academic Council Recommendation	Description (abbreviated) ²
Four	Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities principles (with COVID impact statement)
Eleven	Extend campus funding mechanisms to impacted faculty for research recovery, including costs related to graduate and postdoc support.
Three	Establish campus-level funding whenever department resources fall short to support approved teaching duty modifications, fostering recovery of lost scholarly productivity

The WG recognizes the cultural and organizational differences between each of the campuses, including differences in how each has responded to COVID-19 impacts on faculty to date, and has strived to build room for campus customization in how each approaches implementing the MCIF-WG recommendations. At the same time, the WG took into account the value of systemwide guidance in clarifying shared goals, maintaining consistency in application of policy across campuses, and ensuring that faculty across the system see areas of concern meaningfully and equitably addressed.

Methodology

As mentioned previously, the 21 recommendations developed by UCFW and UCAADE were categorized according to the estimated timelines needed for implementation. In their original letter to the AC, they wrote, “We have divided our...recommendations...into two parts to emphasize the need for (a) urgent and immediate action (in the time frame ranging from this month through the next two to five years); and (b) to initiate discussion on how the University of California may address critical, systemic challenges in order to create a University environment that values a diverse faculty and fosters equity

² Recommendation descriptions have been modified from the original language for clarity and to comport with the how the MCIF-WG thought they should be implemented.

and inclusion throughout its mission.” Fifteen recommendations fell in the first category with six in the second.

Early on in the process, it was determined to focus the WG’s attention on the first 15 shorter-term AC recommendations in this first stage given that one of the key objectives was to be able to implement actions swiftly in Fall 2021. The MCIF-WG is comprised of 17 members with representation largely balanced across all campuses. Campus representatives include both faculty and administrators, with faculty making up a slight majority in the WG.

The WG held three meetings over the course of June and July 2021 (June 4, June 25, and July 13). Prior to the first meeting, each WG member received a “recommendation matrix” template with the first fourteen shorter-term AC recommendations listed.³ UCOP acknowledged themes and interrelationships between the AC recommendations and grouped them accordingly. These themes related to academic performance review and appraisal, culture, equity, and funding.⁴ Instructions to WG members asked them to rank the priority level of the 14 recommendations as high, medium, or low, with limits on how many could be ranked at each priority level. Four recommendations were allowed to be ranked as high priority; five could be ranked as medium; and the remaining five recommendations would be ranked as low.

For each of the four recommendations WG members ranked as high priority, they were also asked to provide suggested actions that could be taken over the summer, in the fall, and through five years’ time, as well as to explain the corresponding impact on their campus and challenges encountered in addressing the issue. WG members also indicated whether they considered each to be better addressed with a system or individual campus approach for each of the fourteen recommendations.

Another of the first steps UCOP took prior to the first meeting was to put out a request for information on the measures campuses had already taken to address COVID-19 impacts on faculty. All ten campuses responded with information that was insightful and useful in understanding the broader landscape, where there were similarities in approach and where there were differences, whether big or small.

The recommendation matrices submitted by the WG members combined with the campus action inventories the campuses submitted to UCOP Academic Affairs provided key information and perspectives that would serve to structure and inform the WG’s kickoff meeting on June 4. For example, through analysis of the data matrices, UCOP Academic Affairs was able to determine which of the fourteen AC recommendations were highest-ranked in priority by most WG members. UCOP Academic Affairs was then able to assess these rankings in light of inventory actions reported by campuses to understand the extent to which these actions were able to address the recommendation or whether gaps existed that could warrant further action.

³ Recommendation fifteen was not included as it was taken as a given that it would be implemented and pertains more to evaluating the University’s success in addressing COVID-19 impacts. It advises that “Chairs, Deans, University Administration, and appropriate Senate committees should frequently quantify and evaluate the success of these support measures & make adjustments as needed.” It continues that system-wide Academic Personnel ought to...“gather data on the policies and programs and outcome measures, including metrics pertaining to gender, race, ethnicity, and LGBTQ identity.”

⁴ “Funding” recommendations included those that specifically advised where direct funding ought to be made available. Recommendations that could have implicit resource considerations were not included in this category.

The WG discussed these findings in the first meeting on June 4, 2021. As reported above, the discussion centered on AC recommendations that received the most “high-priority” rankings from WG members, with numbers four, eleven and three being clear outliers from how other recommendations were ranked.⁵ Based on this discussion, it was decided to dedicate the subsequent two WG meetings of this first stage to honing in on the highest priority recommendations, so that actions could be taken swiftly on these areas that members viewed as having a considerable effect on faculty at their campuses.

The June 25th meeting focused on AC recommendation number four, which relates to academic review and appraisal. The July 13th meeting focused on AC recommendation numbers eleven and three, which call for programs that provide funding for research recovery and funding for campus-level approved teaching duty modifications, respectively.

Review of Highest Priority AC Recommendations

#	AC Recommendation Title	Working Group Consensus	Inventory ⁶
4	ARO-conforming promotion and merit expectations	11 of 17 members	ALL CAMPUSES
11	Campus funding mechanisms for research recovery	10 of 17 members	SOME CAMPUSES
3	Campus-level funding for approved teaching duty modifications	8 of 17 members	SOME CAMPUSES

AC recommendation number four, discussed on June 25, was ranked as high-priority by the largest number of WG members (eleven out of seventeen ranked it as high). It calls for adjusting expectations for promotions and merit advances to conform to “Achievement Relative to Opportunities” (ARO) principles. As described in the full text of the recommendation, ARO principles “enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate’s normal ability to achieve expected outcomes.”

In the WG’s subsequent meeting on July 13, AC recommendation numbers eleven and three were discussed. Recommendation eleven closely followed recommendation four in the number of WG members who viewed this as high priority with ten out of seventeen classifying it as such. Although recommendation three on campus-level funding for approved teaching duty modifications did not see a majority of WG members mark it as high-priority, it had the third largest consensus on prioritization and,

⁵ To a certain extent, top-ranked recommendations have a symbiotic relationship to others, such that if one of these is addressed in a meaningful way, other actions could, by consequence, be taken on others. For example, addressing recommendation three which calls for campus-level funding to be made available for teaching duty modifications could then open the way for strengthening COVID-related Dependent Care Modified Duties programs and awarding additional sabbatical credits which are both associated with recommendation two.

⁶ This reflects how many campuses have taken action on each of the top-ranked recommendations (all, most, some, few), though more actions are needed to fully address the recommendations, including where all campuses have taken action. Since the WG’s first meeting on June 4, campuses communicated new information and/or programs on recommendations which warranted modifying the inventory assessment from what was originally presented to the WG.

as with four and eleven, could be seen as an outlier from other recommendations for which WG member prioritization was more broadly distributed.

When polled specifically on academic review and appraisal in the June 25 meeting, WG members were near unanimous in agreeing that these measures should continue for up to three to five years (versus one to two years). In the subsequent meeting on July 13 focused on funding for research recovery and campus-level funding for approved teaching duty modifications, the WG affirmed that the same timeline should be equally applicable for these and necessary funding should be budgeted into out-years. According to recommendation matrices submitted, a significant majority of WG members felt that there was a role for the system in addressing recommendation number four. A slight majority felt that there was a role for the system in recommendation numbers eleven and three, relating to funding programs. The recommendations the MCIF-WG identified reflect part of the role MCIF-WG members saw for the system, bringing campuses better into alignment with one another on foundational principles and practices.

System and Campus Actions on Highest Priority AC Recommendations

As indicated in the table above, all campuses have responded to the concerns in AC recommendation number four, though further actions are necessary to fully address the spirit of the recommendation as well as to provide for alignment and equity across the system. One step all campuses have taken has been to communicate to faculty on their intent to review academic personnel files holistically and in light of COVID-19 impacts. At the system-level, the University Committee on Academic Personnel (UCAP) also provided support for these actions in guidance that the Academic Council circulated with campus CAPs on April 1, 2021.⁷ The UCAP guidance provides targeted recommendations for CAPs, departments, and faculty on the academic review process. This guidance has provided campuses with a common reference point to help direct decision-making on the academic review process. However, it is also noted that “this is guidance and campus’ policy/guidance would take precedence in case of conflict.” This open-endedness is important for campus operational flexibility, but could also make it difficult to ascertain which elements of this guidance are ultimately adopted and to what extent policy and processes are equitable for faculty across all campuses.

In addition to communication to faculty on the holistic review of academic files, all campuses have provided individual faculty members with the option to include an individual statement in their file on how the pandemic has affected work during the performance period (commonly referred to in shorthand as a “COVID impact statement,” and which the WG suggests be referred to in the future as a “COVID Opportunities and Challenges Statement”). However, campuses differ in instructions to faculty on the drafting of the statement and to what extent they take into consideration privacy concerns as well as the positive contributions faculty made in the COVID-era. As the WG anticipates the use of a COVID Opportunities and Challenge Statement in file review for up to the next five years, it will be important for some elements of these statements to be common across all campuses. For example, the development of a checklist consisting of stock language representative of common professional faculty situations could enable individuals to quickly select situations that pertained to them without divulging personal information. WG members agreed that faculty statements should not include personal

⁷ “Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic”, April 1, 2021.

information at all with a focus on how they were impacted and not why. Additionally, requesting positive examples of how faculty went above and beyond to contribute to the University’s mission during this time has the potential to alter the tone of the performance narrative in a more optimistic direction. Beyond the two universal commonalities of holistic review and the opportunity to provide a statement, campuses differed in some important areas (see table below).

Review and Appraisal Topic	Differing Campus Practices	UCAP Guidance / Other Notes
Deferrals as Relating to Compensation and Advancement	<ol style="list-style-type: none"> 1. Deferral with commitment to retroactive pay 2. Deferral without commitment to retroactive pay 3. File submission with formal step percentage applied for lost productivity to permit advancement 4. File submission within a campus culture of holistic review to permit advancement 	<p><u>To departments:</u> “Avoid deferral of file reviews...[but] deferrals should be allowable.”</p> <p>Note: MCIF-WG members expressed concern for faculty who could defer based on wrongly underestimating their achievements.</p>
COVID Opportunities and Challenges Statement	<ol style="list-style-type: none"> 1. Encouraging or requiring a department-level statement in addition to individual statement 2. Explicit request for positive ways faculty made special contributions in addition to how they were negatively impacted 3. Varying levels of detail in instructions to faculty on statements, particularly in accounting for privacy 	<p><u>To departments:</u> “Provide a brief statement to your campus CAP describing how the pandemic impacted the disciplines in your department.”</p> <p>Note: Department statements could serve as a benchmark for a given discipline.</p>
Evaluation Areas	<ol style="list-style-type: none"> 1. Temporary modification or not of evaluation requirements, such as exclusion of teaching evaluations 2. Temporary modification or not of evaluation area weight, such as putting more weight on teaching/service efforts where research progress was limited 	<p><u>To departments:</u> “Acknowledge innovations in teaching, with enormous shift to creating and delivering online course curricula.”</p> <p>“Consider temporarily adjusting expectations...to 75%...of the usual level of productivity.”</p> <p>Note: MCIF-WG members suggested enabling faculty to request how much weight an area be given versus others.</p>

Most campuses have not been able to address AC recommendation numbers eleven and three, which call for campus-level funding programs to support research recovery and to enable campus departments more flexibility to allow for teaching duty modifications. This is largely due to resource constraints. Established programs necessarily differ in their scope, eligibility, and award amounts based on the level of resources participating campuses were able to dedicate to them.⁸ The WG considered these types of funding to be essential in mitigating the long-term impacts of COVID-19 on faculty and in the recovery of the University, recommending that funding be allocated over five fiscal years.

Five campuses submitted communications to UCOP detailing research recovery programs they had instituted. Two of these were announced recently, with one of these as recent as July 9, 2021. Another that had been in place expired with the end of Fiscal Year 2020-2021, reflecting the challenges of sustaining such funding in the midst of the number of other priorities campuses face.

Eligibility for all of the programs focused on Assistant Professor level faculty, with one having expanded eligibility for Professor-level awardees who needed to report a higher threshold of research losses. One campus initially designed a program with more narrow eligibility requirements for Assistant Professors, however these did not hold in practice. The WG recommends that in the future eligibility for these programs be open to all faculty as senior faculty manage many of the larger research enterprises, with staffing implications, and have reduced access to many federal grants that are targeted more toward junior faculty.

Three of the campuses had an application process with one of the primary criteria being the extent to which COVID-19-related restrictions resulted in lost research productivity and funding. These campuses tended to have higher-dollar awards that could be made if applicants could justify them based on research expenses. Two of the more recent programs that have been launched have a more automated process with flat commitments to all assistant professors of either a specified dollar amount or, in the case of one, the hiring (or extension) of a PhD or MFA student for one academic year, inclusive of tuition, fees, and salary. This latter option allows the campus to tap into specific pools of funding, such as state lottery funds or one-time relief funds, that may not have been able to be used for other purposes. It also addresses the needs of graduate students who also experienced disruptions to their research.

UCOP Academic Affairs highlighted four examples of campuses providing funding for teaching duty modifications to the WG, which, on the whole, relied on more limited resources than funding mechanisms made available for research recovery. One campus was able to offer eligible faculty who apply a quarter of teaching release with an accompanying funds matching program whereby the Office of Academic Personnel would match the department up to \$3,000 per course, up to two courses. Another campus established a program that would provide faculty who applied with a flat amount of funding based on “acute need for assistance” due to the impacts of the pandemic. This funding can be used for a wide range of purposes, including research and teaching support. Other campuses took advantage of state lottery and federal relief funds, available through 2022, to cover the costs of TA classroom support or expanded the use of pre-existing programs set-up to provide limited replacement teaching funds for faculty making use of modified duties provisions.

⁸ Campuses, in most cases, did not provide the total allocated to each program, though general deductions could be made based on how much funding could be awarded at an individual level.

III. MCIF-WG Recommendations in Response to AC Recommendations

As the WG discussed the various ways COVID-19 had impacted faculty across the system, members were very cognizant of how campuses differed with respect to culture, local priorities, resource levels, and in programs or measures that had already been enacted. The WG was also mindful of all the campus efforts that have been ongoing from spring 2020 until present day given different campus considerations.

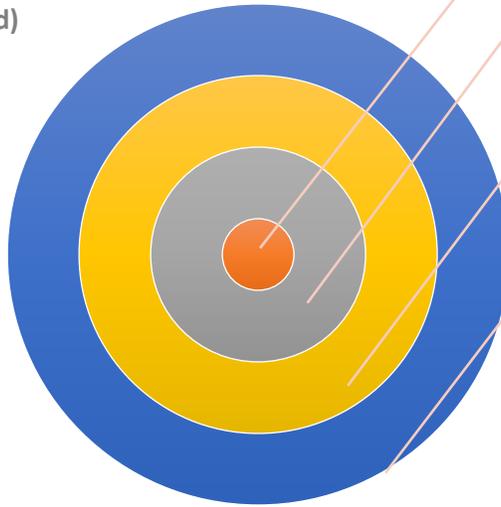
In this context, the WG reviewed the AC recommendations with an eye toward developing recommendations in response that would provide campuses with flexibility, increase equity across the system, and offer meaningful solutions in areas where faculty have expressed the most concern. In this first stage of the WG's work, MCIF-WG recommendations are centered on the highest priority AC recommendations reviewed above. The WG determined that the best way to both mitigate COVID-19 impacts on faculty across the system and provide the flexibility described above was to put forward a "menu" of options to be selected from based on an individual campus's unique situation. A noteworthy exception where some degree of standardization could be valuable to the system is in the guidance campuses provide to faculty on their inclusion of a "COVID Opportunities and Challenges Statement" in their academic files.

One of the outcomes from the initial June 4 meeting in which the highest priority recommendations were confirmed was an acknowledgement of the resource implications attendant to all of them as well as the indirect relationships they had to other recommendations. AC recommendation numbers eleven and three (funding for research recovery and campus-level funding for teaching duty modifications), of course, have clear need for the allocation of identified funding to be addressed. AC recommendation number four, while focused on how academic files are reviewed, also has indirect resource implications, such as when and whether merit increases are applied when a faculty member requests a file review deferral. Additionally, campus-level funding for teaching duty modifications could be used to buttress Dependent Care Modified Duties programs or make awarding additional sabbatical credit more feasible.

The diagram on page 13 represents cost implications of options put forward by the WG to address the highest ranked AC recommendations and how to consider each in light of each campus's varying resource constraints. For example, one of the actions the WG proposes is that all campuses which have relied heavily on a deferral process for faculty whose work has been impacted by COVID-19, no matter their level of resources, should commit to retroactive pay for these faculty members with rare exception. Deferrals have career and salary implications which, in turn, have equity implications.

The other rings in the diagram represent funding program options the WG recommends establishing based on each campus's assessment of whether it is most resource-constrained, moderately resource-constrained, or least resource constrained. In summary, the most resource-constrained campuses should prepare to establish a *need-based* grant program, if not already in place, that can provide modest support to faculty who have been hardest hit in the pandemic whether due to personal circumstances or professional circumstances. Campuses that are less constrained are asked to establish programs that have increasing levels of capacity to support faculty in teaching duty modifications and research recovery. Finally, the WG envisions that these funding programs ought to be designed to be sustained or expanded over five years, so campuses, including those that have already implemented similar programs, should keep this in mind as budgetary circumstances change over the next several years. More details on these funding program options can be found on pages 17 – 20.

Funding programs to be sustained or expanded based on campus resource constraints (most constrained, moderately constrained, least constrained)



1. Retroactive pay

(all campuses promoting deferrals should make this commitment no matter constraints)

2. Need-based grant program

(option for most resource-constrained campuses; single modest amount awarded from central fund)

3. Application-based program

(option for moderately resource-constrained campuses; a range of amounts awarded from central fund)

4. Expanded programs

(option for least resource-constrained campuses; range of amounts for research bridge funding awarded from central fund; campus-level funding for approved teaching modifications managed by schools)

Pandemic Sabbatical Credit Program

As external support to campuses, the University is also considering a new Pandemic Sabbatical Credit Program that would award faculty additional sabbatical credits for efforts in teaching and/or service over the course of the pandemic. This program, still under discussion, could provide eligible faculty members additional bandwidth to focus on their research goals, which were challenged during the pandemic. Once the program is more fully defined, the University could explore and identify available resources that could complement campus-level funding for approved teaching duty modifications.

MCIF Working Group Recommendations

The next seven pages include three MCIF Working Group recommendations to be implemented at each campus to address the highest priority AC recommendations. Options have been provided where it makes sense to enable campus flexibility based on individual circumstances.

MCIF-WG Recommendations One and Two are specifically oriented toward addressing the concerns raised in AC recommendation number four (on academic file review). MCIF-WG Recommendation Three hones in on funding programs which relate to AC recommendation numbers eleven and three (campus-level funding for research recovery and approved teaching duty modifications).

Both MCIF-WG Recommendations Two and Three offer campuses options to choose from in how they address the relevant AC recommendations. MCIF-WG Recommendation One that focuses on COVID Opportunities and Challenges Statements does not include multiple options and does not have direct cost implications, though campus implementation could have implications on salary expenditures and timing of salary expenditures. The purpose of Recommendation One is to help provide faculty with

similar, if not identical, instructions on how to approach these types of statements in their academic files. It also requests that all departments submit a statement on behalf of the discipline to accompany that of the individual faculty member. It is recommended that campuses review other campus approaches for input.

MCIF-WG Recommendation Two recognizes that campuses have differed in how much emphasis they have put on deferrals as an option versus file submission with the expectation of holistic review. MCIF-WG Recommendation Two Option A recognizes that the use of the deferral mechanism could lead to concerns regarding inequity as individual faculty members may underestimate their achievements vis-à-vis their colleagues who chose to submit files. MCIF-WG Recommendation Two Option B recognizes a need for formalization of standards when a campus encourages all to submit files, if not to dictate outcomes, to guide file review and decision-making. MCIF-WG Recommendation Three addresses funding programs, which, as already described, provides options based on campus budgetary situations, though asks campuses to investigate whether expanding modest programs in the future would be a possibility.

Campuses with existing funding programs similar to the options provided should review them in light of the below options to determine whether any modifications or conversions would be warranted that would not be disruptive to faculty. They should consider whether existing programs comport with the spirit of MCIF-WG Recommendation Three below, serve a fair number of faculty of all levels and from across disciplines, and make campus-level resources accessible for both research recovery and teaching duty modifications. They should also consider the relative sustainability of the programs to continue or expand through five fiscal years and any transition plans that may be necessary to enable programs to continue.

MCIF-WG Recommendation One

Academic Review and Appraisal: COVID Impact Statements

- *Addresses AC Recommendation Number Four: Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities principles (with COVID impact statement)*
- ***Applicable to all campuses that have not already taken all of these actions (no options)***

MCIF-WG recommends the following actions:

1. Rebrand these statements as a “COVID Opportunities and Challenges Statement”.
2. Ensure that guidance to faculty includes the following elements, reviewing other campus approaches as needed:
 - a. Instructions to provide positive contributions made during the pandemic in addition to ways faculty may have been negatively impacted.
 - b. List of examples of what can be included in the statement or questions to help faculty consider what to include.
 - c. A checklist including stock language for common professional circumstances enabling individuals to quickly select situations that pertained to them without divulging personal information. WG members agreed that faculty statements should not include personal information at all with a focus on how they were impacted and not why.

MCIF-WG Recommendation One

Academic Review and Appraisal: COVID Impact Statements

- *Addresses AC Recommendation Number Four: Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities principles (with COVID impact statement)*
- ***Applicable to all campuses that have not already taken all of these actions (no options)***

(continued from page 14)

3. Draft standard campus language for departments to refer to on how to interpret and apply Achievement Relative to Opportunities principles in file review and confirm broad agreement across departments on this language.
4. Require departments to draft a statement on behalf of their discipline which can be used as a benchmark in evaluating individual faculty members from the discipline. This statement ought to reiterate departmental expectations for achieving a merit, tenure, or full professorship in light of Achievement Relative to Opportunities principles and the research, teaching, and service pillars of the University's mission.
5. Provide guidance to submitters of external evaluation letters to comment on how COVID impacted the candidate's productivity as well as the field more broadly (including positive contributions).
6. Strategically communicate these updates to departments and faculty.

Considerations

- Campuses differed in the level of guidance provided to faculty on "COVID Impact Statements" (which the WG recommends be rebranded as "COVID Opportunities and Challenges Statements"). As these statements will be in use for up to five years, this is an area where faculty would benefit from some degree of standardization across the campuses.
- Campuses were mixed in their usage of COVID Opportunities and Challenges Statements written by department chairs on behalf of the discipline.
- Campuses have not broadly, if at all, formally requested that submitters of external evaluation letters provide comment on COVID impacts and a candidate's contributions in response.

MCIF-WG Recommendation Two

Academic Review and Appraisal: File Submission & Review

- *Addresses AC Recommendation Number Four: Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities principles (with COVID impact statement)*
- ***Each campus should select either Option A or Option B** based on which scenario most closely aligns with current campus practice.*
- *Both options stress the incorporation and communication to faculty and review committees of “Achievement Relative to Opportunities” (ARO) principles in file review.*

Recommendation Two: Option A

Scenario: Campus promotes deferral of file review and extension of clock for faculty whose performance period was significantly impacted by COVID-19.

MCIF-WG recommends the following actions:

1. Commit to retroactive pay and advancement for faculty in a performance review following a COVID-related deferral.
2. Issue communication to faculty that lays out expectations for performance review following a COVID-related deferral that take into account “Achievement Relative to Opportunities” principles, including how to incorporate deferral year accomplishments.
3. Develop specific criteria for CAP and review committees to identify rare cases in which a faculty member should not be retroactively paid or advanced and how to sensitively address these cases, with communication to review committees, cognizant Deans, or CAP.
4. Provide faculty with the opportunity to rank evaluation areas by how much weight they should be given in file review.
5. Institute a formalized faculty-to-faculty mentorship program that ensures all faculty who deferred have the opportunity to consult with experienced faculty outside of a formal supervisory relationship on this decision.

Recommendation Two: Option B

Scenario: Campus encourages file submission for all faculty no matter how significantly impacted by COVID-19 with a commitment to holistic review.

MCIF-WG recommends the following actions:

1. Quantify acceptable deviation from normal levels of performance, not to dictate file report outcomes, but to serve as a guidepost in reviewing the faculty member’s performance according to “Achievement Relative to Opportunities” principles.⁹
2. Develop specific criteria to identify when additional compensation may be awarded but not a formal step advancement, if appropriate for specific cases.
3. Develop specific criteria for CAP and review committees to identify rare cases in which a faculty member should not receive a merit or advancement, outline how these cases should be sensitively handled, and communicate this guidance to review committees, the cognizant Deans, or CAP.
4. Develop and implement communication plan to inform faculty and enable those who may have already deferred to submit a file belatedly.
5. Provide faculty with the opportunity to rank evaluation areas by how much weight they should be given in file review.

⁹ For example, UCAP guidance to departments suggested reducing expectations to 75%. A few campuses are granting percentages of a step to make up the difference of lost productivity due to COVID or taking into account future performance in light of past performance.

MCIF-WG Recommendation Two

Academic Review and Appraisal: File Submission & Review

- *Addresses AC Recommendation Number Four: Adjust expectations for promotions & merit advances to conform to Achievement Relative to Opportunities principles (with COVID impact statement)*
- ***Each campus should select either Option A or Option B based on which scenario most closely aligns with current campus practice.***
- *Both options stress the incorporation and communication to faculty and review committees of “Achievement Relative to Opportunities” (ARO) principles in file review.*

Recommendation Two: Option A

(Continued from page 16)

Considerations

- Faculty who determine to defer could overestimate expectations in light of COVID-era based on individual perception. They may face career and salary implications that are avoidable, which could decrease equity.
- Files withheld from review may not differ greatly from files submitted for review in quality which could create different outcomes for equally performing faculty.
- Faculty members who defer file review may not have made their decisions based on consultations with others outside of a formal supervisory relationship.
- Some faculty may have put in exorbitant amount of effort into the teaching and service pillars of the University’s mission, but withhold their file due to a bias in the review process toward research outcomes and publications.

Recommendation Two: Option B

(Continued from page 16)

Considerations

- Strategic communication is central to ensuring that all faculty are aware that campus leadership is supportive of having all files go through review.
- Setting clear standards of expectation, including for review committees, becomes more important as fewer faculty members self-select out by requesting deferral.
- Some faculty may have put in exorbitant amount of effort into the teaching and service pillars of the University’s mission, but withhold their file due to a bias in the review process toward research outcomes and publications.

MCIF-WG Recommendation Three

Funding Programs

- *Addresses AC Recommendation Number Eleven: Campus funding mechanisms for research recovery*
- *Addresses AC Recommendation Number Three: Campus-level funding for approved teaching duty modifications*
- **Each campus should select Option A, B, or C based on the scenario closest to the campus's current situation.**
- *Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.*

Recommendation Three: Option A

Scenario: Campus resources are most constrained

MCIF-WG recommends the following actions:

1. Establish a centrally managed need-based grant program through which all faculty are eligible to be awarded a modest amount to be directed toward a wide range of eligible expenses. Expenses would include support for approved teaching duty modifications, and limited compensation for losses in research productivity, which could include the hiring (or extending) of graduate students.
2. Set an internal target of how many such grants the campus expects to be able to provide each fiscal year in order to gauge fairness in distribution across individuals and disciplines.
3. Develop a sustainability plan for fund to continue as is for over five years or expand to Options B or C.

Recommendation Three: Option B

Scenario: Campus resources are moderately constrained

MCIF-WG recommends the following actions:

1. Establish a centrally managed application-based funding program for which all faculty are eligible that can be dually used to support approved teaching duty modifications or expenses related to research recovery, such as hiring (or extending) of graduate students or other operational costs.
2. Develop a range of set amounts from lowest to highest the campus is willing and able to provide as grants to faculty over the course of each fiscal year and under what circumstances.
3. Set internal targets of how many grants of each amount the campus would be able to distribute. The internal target for the lowest possible amount should remain constant, keeping grants accessible to a fair number of faculty members, unless insufficient faculty apply by deadline set by the campus.

Recommendation Three: Option C

Scenario: Campus resources are least constrained

MCIF-WG recommends the following actions:

1. Establish a centrally managed research recovery funding program for which all faculty are eligible and that can provide grants through an application process for a range of set dollar amounts, *including amounts suitable for larger research enterprises* that were impacted by the pandemic.
2. Set internal targets of how many research recovery grants the campus is able to issue each fiscal year for which amounts and determine a grant maximum amount based on that number. The internal target for the lowest possible amount should remain constant, keeping grants accessible to a fair number of faculty members, unless insufficient faculty apply by deadline set by the campus.
3. Establish a separate pool of funding for distribution to departments/disciplines for approved teaching duty modifications, a distribution

MCIF-WG Recommendation Three

Funding Programs

- *Addresses AC Recommendation Number Eleven: Campus funding mechanisms for research recovery*
- *Addresses AC Recommendation Number Three: Campus-level funding for approved teaching duty modifications*
- **Each campus should select Option A, B, or C based on the scenario closest to the campus's current situation.**
- *Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.*

Recommendation Three: Option A

(continued from page 18)

Recommendation Three: Option B

(continued from page 18)

4. Develop a sustainability plan for fund to continue as is for over five years or expand.

Recommendation Three: Option C

(continued from page 18)

based on the ratio of average courses taught in a semester/quarter per department faculty member.

4. Provide guidance to deans to ensure that teaching duty modification funding will be fairly and proportionately distributed among faculty members, taking into account that teaching loads vary by discipline and faculty members. Other factors outside of the control of the faculty member can also be taken into consideration in decision-making.
5. Develop a sustainability plan for fund to continue as is for over five years or expand.

Considerations

- Applicants would need to establish the extent to which the pandemic disrupted their work and/or research relative to other applicants, so requests should be reviewed in groups. Course load, extent of research losses, career implications, and other similar factors should be taken into account.

Considerations

- Hiring or extending of graduate students or TAs can be done through state lottery funds or one-time relief funds. One-time relief funds are available through 2022.
- Applications should be reviewed in groups to allow for cross-comparison and informed decision-making. Course load, extent of research losses, and

Considerations

- Where resources exist, WG members noted the high expenses it takes to fund certain types of research to build back up the University's research capacity.
- WG members noted such programs are particularly important for faculty on soft money.

MCIF-WG Recommendation Three

Funding Programs

- *Addresses AC Recommendation Number Eleven: Campus funding mechanisms for research recovery*
- *Addresses AC Recommendation Number Three: Campus-level funding for approved teaching duty modifications*
- **Each campus should select Option A, B, or C based on the scenario closest to the campus's current situation.**
- *Campuses with capacity beyond the option that best describes their scenario can incorporate elements of the other options if so doing does not diminish their ability to make resources accessible to a fair number of faculty.*

Recommendation Three: Option A

(continued from page 19)

- Balance would need to be struck between number of grants and dollar-amount of the grants while making them accessible to a fair number of faculty members.
- Hiring or extending of graduate students or TAs can be done through state lottery funds or one-time relief funds. One-time relief funds are available through 2022.
- Applicants seeking this funding to compensate for research losses that do not entail teaching duty modifications or hiring additional research support should explain how they could use the modest funding to meaningfully recover from losses.

Recommendation Three: Option B

(continued from page 19)

- other similar factors should be taken into account.
- If a deadline for the lowest grant amount is set earlier in the fiscal year and not all funding set aside is used, the campus could choose to issue fewer, larger grants later in the fiscal year.
- Applicants seeking this funding to compensate for research losses that do not entail teaching duty modifications or hiring additional research support should explain, not only the purpose of the research, but how limited grant funding amount will set them up for success in recovery of a larger research enterprise.
- Larger research resource needs may emerge in two to three years when faculty look to renew grant funding.
- As teaching loads are variable across disciplines, an equitable approach could mean directing more teaching modification funding to disciplines with greater teaching loads and more research recovery funding going toward applicable disciplines.

Recommendation Three: Option C

(continued from page 19)

- WG members pointed out that the need for bridge funding for research may increase substantially two to three years from now due to lost productivity during peak COVID era.
- Applications should be reviewed in groups to allow for cross-comparison and informed decision-making. Course load, extent of research losses, and other similar factors should be taken into account.
- Campuses should be mindful that teaching loads are variable across disciplines, so an equitable approach could entail more teaching modification funding being directed to disciplines with the larger teaching loads and more research recovery funding being directed toward those disciplines.

IV. Conclusion

Over the past year and a half, University of California faculty have faced a number of different impacts stemming from the COVID-19 pandemic and the necessary response. Faculty have met the challenges that have come their way with admirable fortitude and resilience, continuing to show up every day to advance the three pillars of the University's mission in teaching, research, and service as well as diversity and equity goals. At the same time, many faculty members faced increased dependent care responsibilities and some were directly affected by the virus or their families were.

The impacts of COVID-19 did not fall evenly across the University. There were disparate impacts based on gender and race, on career phase and hiring type, as well as discipline. Additionally, some campuses were better equipped to manage these impacts, which is reflected in the campus actions that were able to be taken earlier to address AC recommendation numbers four, eleven, and three discussed in this preliminary report. AC recommendation numbers eleven and three which call for funding programs for research and approved teaching duty modifications were particularly a tall order for some given budgetary circumstances during the peak of the pandemic.

Faculty play a central role to the University's mission. As the University transitions out of the most difficult period of the pandemic and considers strategies that will keep the University on its continued trajectory of excellence, it should not overlook how addressing COVID-19 impacts on faculty will amplify the success of these strategies.

This preliminary report reflects the Mitigating COVID-19 Impacts on Faculty Working Group's initial review and prioritization of 21 recommendations drafted by the UCFW and UCAADE and that were reviewed by the Academic Council, Provost Michael T. Brown, and President Michael V. Drake. While the MCIF-WG will reconvene in the fall of 2021 to further consider the other 18 Academic Council recommendations, the MCIF-WG deliberately narrowed their focus on developing and proposing recommendations to address the three AC recommendations they ranked as highest priority. They took this approach with the objective of enabling the University system and campus leadership to act swiftly in Fall 2021 on a few of the most pressing areas of concerns: academic review and appraisal, funding for research recovery, and campus-level funding for approved teaching duty modifications.

The MCIF-WG recognizes that the system and campuses both continue to face resource constraints, but views costs associated with the highest-ranked AC recommendations as of sufficient importance to warrant prioritizing the identification of funds that can be allocated to these purposes. They encourage leadership to seriously consider the three MCIF-WG recommendations put forward on pages 14 - 20 and how these can be implemented, or in the case of campuses that have already taken some of these actions, how programs can be sustained or expanded over five years.



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Chair of the Assembly of the Academic Senate
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April 1, 2021

ACADEMIC SENATE DIVISION CHAIRS

Re: Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic

Dear Colleagues:

At its March 31 meeting, the Academic Council endorsed the attached letter from the University Committee on Academic Personnel (UCAP) offering guidance to campus CAPs, departments, and faculty around the preparation and review of academic personnel files impacted by the COVID-19 pandemic.

The guidelines are best practices drawn from UCAP's unique systemwide perspective, and are also a useful follow-up and companion to Academic Council's January 2021 *Recommendations for Mitigating COVID-19 Impacts on Campuses*¹. As UCAP notes, the pandemic has dramatically altered faculty members' scholarly activity, productivity, and opportunity. The guidelines highlight issues campuses should consider during file review and are intended to promote equity across campuses. They are not intended to mandate actions to campuses or to CAPs.

In addition to UCAP, I want to acknowledge the University Committee on Faculty Welfare and the University Committee on Affirmative Action, Diversity and Equity, who contributed to the guidelines as they were developed.

I ask Division Chairs to circulate the document to your respective Committees on Academic Personnel for discussion with departments. Please do not hesitate to contact me if you have additional questions.

Sincerely,

A handwritten signature in cursive script that reads "Mary Gauvain".

Mary Gauvain, Chair
Academic Council

Cc: UCAP
Provost Brown
Vice Provost Carlson
Academic Council
Senate Directors
Senate Executive Director Baxter

Encl.

¹ https://senate.universityofcalifornia.edu/_files/reports/mg-md-mitigating-covid-impacts-on-faculty.pdf



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)
Susan Tapert, Chair
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March 23, 2021

MARY GAUVAIN, CHAIR
ACADEMIC COUNCIL

RE: GUIDANCE FOR REVIEW OF ACADEMIC PERSONNEL IMPACTED BY THE COVID-19 PANDEMIC

Dear Mary,

UCAP has developed the attached “Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic” with the goal of promoting uniformity and equity across campuses in reviewing faculty files impacted by the COVID-19 pandemic and similar major external events (e.g., wildfires) that dramatically impact academic activity. This Guidance is not intended to dictate to divisional Committees on Academic Personnel or supplant campus policies, but to instead highlight issues that should be considered during file reviews.

Our committee wants to thank the chairs of the Committee on Faculty Welfare, the Committee on Affirmative Action, Diversity and Equity, and the Committee on Academic Freedom for assisting UCAP with designing these guidelines. We ask that Academic Council endorse this document and disseminate it to divisional Committees on Academic Personnel for distribution to Departments.

Please don’t hesitate to contact me if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "Susan Tapert".

Susan Tapert, Chair
UCAP

Guidance for Review of Academic Personnel Impacted by the COVID-19 Pandemic

UCAP recommends the following guidance for campus CAPs, departments, and faculty, to promote uniformity and equity across campuses in reviewing faculty files impacted by the COVID-19 pandemic and similar major external events (e.g., wildfires) that dramatically impact academic activity. Departments and CAPs are likely to see impacted files up through the 2023-24 academic year and possibly beyond, due to unforeseeable professional and personal impediments and missed opportunities for career progress. The pandemic has impacted nearly everyone, and yet the burden is unequally distributed (Malisch et al., 2020, *PNAS*). The goal of this guidance is to continue to ensure excellence in our faculty and yet appropriately consider the impact of unforeseeable events on academic activity during the impacted file review period(s).

Guidance for CAPs:

- Review the Malisch et al. opinion piece in *PNAS* and its supplement “*Asking the Right Questions: A primer for merit, tenure and promotion evaluation committees*”; this may be useful reading for CAP members to consider how differentially impacted opportunities may occur.
- Recognize that caregiving (e.g., children at home doing remote schooling, home-bound parents, ill family members) has impacted many faculty members.
- Acknowledge innovations in teaching, with the enormous shift to creating and delivering online course curricula.
- Consider achievements relative to opportunity and how the faculty member has performed historically.
- Consider that the process of publication may be slower than usual, as publishers and editors are needing more time to find reviewers. Campuses might consider asking faculty members to list the date of the submitted article.
- Avoid deferral of file reviews when possible, as this can create missed opportunities for advancement and delay career progression. However, such deferrals should be allowable for all faculty members. (We note that some campuses have considered providing retroactive salary support for those who defer and then achieve the proposed file action in the following year.)
- Track the number of files for which COVID-related deferrals were requested and pandemic impacts were factored into the decision, in coordination with the Academic Personnel and Programs office.
- Consider posting a pre-recorded video that highlights some of these points. Some people appreciate a more dynamic method for conveying this information.
- Consider notifying the faculty that a second appraisal prior to promotion to tenure can be requested, if two years have elapsed since the original first appraisal.
- Consider extending the final date for submission of file materials by 1-2 months, if the recommendation is a reappointment with no advancement. This could allow the faculty member to include some additional materials to make the case for advancement, to help mitigate pandemic-related slowing of article and book reviews processes. If additional materials were to be included in the current file review period, the file should be re-submitted and re-reviewed.

Guidance for Departments:

- Provide options for faculty members to defer file reviews, but try to avoid deferrals unless alternative approaches are unavailable; this is because deferrals postpone career progress and can present salary disadvantages to one’s career trajectory.
- Consider temporarily adjusting expectations for the faculty if it can be shown that a major impact was experienced across a certain field. This adjustment for publications, teaching, and service could reduce expectations to 75% or so, for example, of the usual level of productivity.

- Provide a brief statement to your campus CAP describing how the pandemic impacted the disciplines in your department. This could include key types of research, performances, training opportunities or travel that affected multiple faculty members in your department and would be useful information for CAP as your files are reviewed.
- Review the faculty member's pandemic impact statement and discuss (as appropriate and maintaining confidentiality) during the departmental meeting. Topics for discussion and inclusion in the departmental letter could include how their opportunities and circumstances were affected by the pandemic, highlighting innovations, pivots, and flexibilities that demonstrate excellence in the circumstances. Consider that factors including culture, sex, gender, and career stage may reduce comfort with such disclosures.
- Educate and support the faculty in your department on these expectations and deferral options. It is suggested that departments have a conversation with the faculty to ensure they are aware of this file preparation guidance and that they understand the salary implications of a deferred review.
- Consider not requiring teaching evaluations for faculty members who provided adapted instruction (e.g., remote teaching). If evaluations are included and there are issues, voting bodies should consider the potential impact of remote teaching on the evaluation process. However, we recognize that some campuses may require inclusion of teaching evaluations.

Guidance for the Faculty:

- Indicate how the pandemic has impacted your scholarly activity, teaching, service, and contributions to diversity in the relevant sections of your **Candidate Statement**.
 - This COVID-impact information (either within the statement or as a separate document) is voluntary, and no disadvantages will be associated with sharing or not sharing this information.
 - Faculty members do not need to reveal anything personal in file materials. Providing key information about changes, limitations, and circumstances that affected your planned activities during this time is encouraged.
- Indicate in your file/dossier if you were scheduled to participate in an event that was cancelled due to COVID, or if you participated via videoconference rather than in person.
- Deferrals of file reviews may be requested; however, consider the work you have done and if this might still meet criteria for advancement before delaying your file review. The goal is to uphold standards of excellence but not disadvantage or delay career progress. If unsure about whether or not to defer your review, ask your chair or campus academic personnel office.
- If you are up for promotion to the Associate rank and coming close to the end of your 8-year period, an extra year may be requested twice. If a third year is needed, the request must be reviewed by UCOP.
- Consider providing information on "Submitted Manuscripts", including date of submission, in your personal statement. While submitted yet not accepted works will not count for the current merit/promotion cycle, this can demonstrate ongoing progress if other such evidence is not present in your file. Provide online links when relevant to reflect your activity.

Note: this is guidance and campus' policy/guidance would take precedence in case of conflict.

Reference:

Malisch JL, Harris BN, Sherrer SM, Lewis KA, Shepherd SL, McCarthy PC, Spott JL, Karam EP, Moustaid-Moussa N, Calarco JM, Ramalingam L, Talley AE, Cañas-Carrell JE, Ardon-Dryer K, Weiser DA, Bernal XE, Deitloff J. Opinion: In the wake of COVID-19, academia needs new solutions to ensure gender equity. *Proc Natl Acad Sci U S A*. 2020 Jul 7;117(27):15378-15381. doi: 10.1073/pnas.2010636117. Epub 2020 Jun 17. PMID: 32554503; PMCID: PMC7354923.

DRAFT**April 16, 2021****To: Susan Carlson, VP-APP****From: Mary Gauvain, Chair, Robert Horwitz, Vice Chair, Academic Senate****Re: PROPOSAL FOR PANDEMIC SABBATICAL CREDIT PROGRAM****Academic Senate Proposal for the Award of Extra Sabbatical Credits to Recognize
Extraordinary Faculty Service in Teaching During the Pandemic****DATE**

On March 11, 2020, the WHO Director General declared that COVID-19 was a pandemic. Soon after this announcement, stay-at-home orders went into effect across California. At this time, UC faculty were required to switch their in-person courses to remote instruction and to vacate campus research and performance spaces. The faculty did so promptly and effectively. For quarter campuses, the Winter term was ending, so final exams and projects were conducted remotely and spring courses were quickly adapted to remote instruction. For semester campuses, which were mid-term, courses were taught remotely for the remainder of the academic year.

When the stay-at-home orders were activated, it was unknown how long they would last. As we now know, the duration has been far longer than expected. In fall 2021, the campuses plan to re-open at either partial or full instructional capacity, though plans have yet to be finalized and will likely vary across the campuses. By the time fall arrives, the faculty will have taught and conducted research remotely for 5 quarters/3 semesters, and this count jumps to 7 quarters/5 semesters if summer session is included. (A minority, though increasing number, of faculty teach during the summer, often to provide courses to reduce student time to degree.)

UC Faculty have done an outstanding job in meeting their work responsibilities in the face of the unprecedented demands imposed by the Pandemic. Through their teaching, the faculty have enabled the University to meet its educational mission and, in so doing, have helped to keep the University afloat during this difficult period. However, this work has come at great cost. Teaching during this period, a time when faculty have also experienced many of the personal difficulties resulting from the Pandemic, has been extremely stressful and time consuming. Switching to and carrying out remote instruction, coupled with the inability to work on campus and use resources needed for the type of active and robust research activities for which UC faculty are internationally regarded, has been extremely taxing. It has had an especially dire, and for some a disastrous, effect on faculty research productivity and

professional development. These worries are compounded for junior faculty who are on the cusp of establishing their research careers.

In January 2021, concerns about this situation and its effect on faculty work experience and morale were described in a letter from the University committees on Faculty Welfare (UCFW) and Affirmative Action, Diversity, and Equity (UCAADE). This letter was unanimously endorsed by the Academic Council at its February meeting and then sent to the President, who replied to the Academic Council Chair in a letter on February 26, 2021. In this letter, President Drake expresses concern about the severity of this crisis on faculty well-being and productivity and says that he and Provost Brown will work to address these concerns. Also, early this month, the University Committee on Academic Personnel (UCAP) produced a set of guidelines that the campuses can use in reviewing academic personnel who have been impacted by the COVID-19 Pandemic. The guidelines have been forwarded to the campuses. Here we propose the *Pandemic Sabbatical Credit Program*, which could be another part of the University's effort to support faculty as they recover professional careers that have been disrupted by the COVID-19 Pandemic.

Pandemic Sabbatical Credit Program

Faculty rose to the occasion in teaching; what has suffered is faculty research. We are proposing the establishment of a time-limited ***Pandemic Sabbatical Credit Program*** that acknowledges the extra work that faculty took on in their teaching during the Pandemic and its subsequent impact on faculty research. The program will recognize this contribution in a tangible way by awarding additional sabbatical credits to faculty who taught courses remotely during the Pandemic. These additional sabbatical credits will augment those ordinarily accrued for a given term, which will enable faculty to take a sabbatical sooner than the normal accrual process allows and, thereby, give faculty some needed time to get their research back on track.

Eligibility. The program would be available to Academic Senate faculty of any rank who taught during the Pandemic. A faculty member will receive one or two additional sabbatical credits (max = 2) above the number ordinarily accrued for the terms of instruction during the Pandemic period. Because faculty have different teaching loads, it is a graduated award, as follows:

- 1 additional sabbatical credit for faculty who taught 1 or 2 full-term, credit-bearing courses remotely during the Pandemic
- 2 additional sabbatical credits for faculty who taught 3 or more full-term, credit-bearing courses during the Pandemic

Only full-term instruction (not partial or shared teaching assignments) and credit-bearing courses taught remotely between March 2020 and May/June 2021 are eligible for the program. Also, due to ordinary variations in teaching assignments, course level or size will not be factored into the calculation. Courses scheduled before the Pandemic for online delivery will not count in the calculation.

Impact. The award of additional sabbatical credits may entail costs for departments in the availability of course offerings. We ask that the University provides resources for departments that an external review process determines have been negatively affected in this way. Notwithstanding this potential impact, the program merits consideration given the extraordinary circumstances of the last year, the hardships it imposed on faculty, the exceptional efforts of faculty to fulfill their teaching responsibilities throughout this difficult period, and the need once campus activity resumes for faculty to catch up on research disrupted by the Pandemic. In our view, the *Pandemic Sabbatical Credit Program* would recognize the contribution of faculty during the Pandemic and help them advance at the University during this exceptionally challenging period.

Appendix 7: Campus Stakeholders

Campus	AC Recommendation	Stakeholders (to support implementation)
Berkeley	Four	Provost, Vice Provost for the Faculty, Deans, Department Chairs, Senate Division Committee Budget and Interdepartmental Relations (BIR)
Berkeley	Eleven	Provost, Vice Provost for the Faculty, Vice Chancellor for Research, Vice Chancellor for Finance, Deans, Department Chairs, Senate Division Committee on Research (COR)
Berkeley	Three	Chancellor, Provost, Vice Chancellor for Finance, Deans, Department Chairs, Senate Division Committee on Academic Planning and Research Allocation (CAPRA)
Davis	Four	Provost, Vice Provost for the Faculty, Deans, Department Chairs
Davis	Eleven	Provost, Vice Provost for the Faculty, Vice Chancellor for Research, Vice Chancellor for Finance, Deans, Department Chairs
Davis	Three	Chancellor, Provost, Vice Chancellor for Finance, Deans, Department Chairs,
Irvine	Four	EVC/Provost, Vice Provost for Academic Personnel, CAP, Deans, and Department Chairs
Irvine	Eleven	EVC/Provost, Vice Chancellor for Research, Chief Financial Officer and Vice Chancellor, and CORCL
Irvine	Three	EVC/Provost, Vice Provost for Academic Personnel, Deans, and Department Chairs
LA	Four	VCAP, CAP, Deans, Department Chairs
LA	Eleven	VCR, VCAP, EVC/P, Academic Senate Committee on Research
LA	Three	Deans, Chairs, VCAP, EVC/P, Academic Senate Graduate Council, Academic Senate Undergraduate Council
Merced	Four	CAP, VPAP, Dean(s), Department Chairs, FWAFF
Merced	Eleven	GC, Grad Division, CoR, VCORED, CAPRA, VC/CFO
Merced	Three	Deans, Department Chairs, EVC/Provost, VC/CFO
Riverside	Four	Provost, Vice Provost for the Faculty, Deans, Department Chairs
Riverside	Eleven	Provost, Vice Provost for the Faculty, Vice Chancellor for Research, Vice Chancellor for Finance, Deans, Department Chairs
Riverside	Three	Chancellor, Provost, Vice Chancellor for Finance, Deans, Department Chairs,
San Diego	Four	Campus & Admin Working Group, CAP as needed
San Diego	Eleven	Chancellors, EVCs, Deans, Chairs, Senate Budget Committees, Research Admin and systemwide targeted support. Requires advocacy by campus senate committees on research policy to determine priorities
San Diego	Three	Chancellors, EVCs, Deans, Chairs, Senate Budget Committees, and systemwide targeted support

San Francisco	Four	CAP Chair Hetts, Faculty Welfare, EQOP Chair, Brian Alldredge or Emerald Light from Administration. EVC/Provost, Vice Provost for Academic Personnel, CAP, Deans, and Department Chairs, Department Vice Chairs for Academic Personnel
San Francisco	Eleven	Academic Senate Committee on Research Chair, Faculty Welfare (Jill Hollenbach), Administration (Theresa O'Brien, Errol Lobo Senate Vice Chair. EVC/Provost, Vice Chancellor for Research (currently unfilled; AVC Hal Collard at UCSF serves as POC), Chief Financial Officer (acting Mike Clune), Academic Senate - Committee on Research, Academic Planning and Budget Committee, Faculty Welfare
San Francisco	Three	EVC/Provost, Deans, Catherine Lucey (Dean Education), Graduate Dean (Liz Silva).
Santa Barbara	Four	Provost, Vice Provost for the Faculty, Deans, Department Chairs
Santa Barbara	Eleven	Provost, Vice Provost for the Faculty, Vice Chancellor for Research, Vice Chancellor for Finance, Deans, Department Chairs
Santa Barbara	Three	Chancellor, Provost, Vice Chancellor for Finance, Deans, Department Chairs,
Santa Cruz	Four	Campus Provost & Executive Vice Chancellor Lori Kletzer; Vice Provost for Academic Affairs Herbie Lee; Senate Committee on Academic Personnel (CAP); Committee on Faculty Welfare (CFW); Committee on Affirmative Action & Diversity (CAAD); Academic Deans; Department Chairs
Santa Cruz	Eleven	Campus Provost & Executive Vice Chancellor Lori Kletzer; Interim Vice Chancellor for Research John Macmillan; Associate Vice Chancellor for Budget Analysis and Planning Kimberly Register; Vice Provost & Dean of Graduate Studies Peter Biehl; Senate Committee on Research (COR); Senate Committee on Planning and Budget (CPB); Graduate Council (GC); Academic Deans; Department Chairs
Santa Cruz	Three	Campus Provost & Executive Vice Chancellor Lori Kletzer; Associate Vice Chancellor for Budget Analysis and Planning Kimberly Register; Vice Provost & Dean of Undergraduate Education Richard Hughey; Committee on Planning and Budget (CPB); Committee on Education Policy (CEP); Academic Deans; Department Chairs