

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

UNIVERSITY OF CALIFORNIA
Spring 2022

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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.

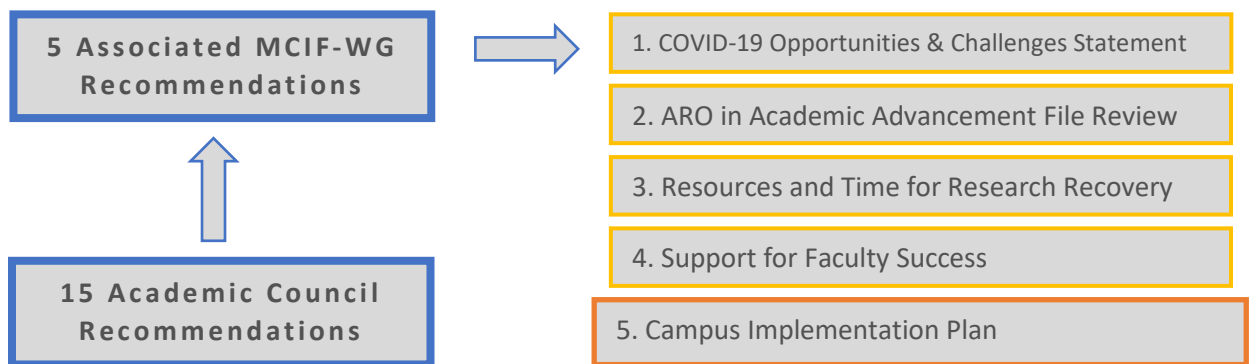
It is in recognition of both immediate and delayed effects of COVID-19 on faculty that the MCIF-WG's preliminary report, issued in Fall 2021, recommended specific measures to be in place for at least five years, specified in this report to be through the end of Fiscal Year 2025-26. The preliminary report 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