

Agenda: April 18, 2022

1:00-2:00 PM

Videoconference: <https://ucla.zoom.us/j/95379592937>

Meeting materials are available: <https://dms.senate.ucla.edu/~councils.and.committees/?CFC.upcoming>

Action	Time	Item
Information/ Discussion	1:00-1:15 <i>J. Cattelino</i>	1. Recognizing Community-Engaged Scholarship in Academic Personnel Review
Information/ Discussion	1:15-1:35 <i>J. Cattelino</i>	2. Future of Instruction <ul style="list-style-type: none"> a. FEC Updates b. What Principles should guide the campus planning for the future of instruction
Information/ Discussion	1:35-1:50 <i>J. Cattelino</i>	3. “Mitigating COVID-19 Impacts on Faculty” Working Group Preliminary Report
Consent Calendar*	1:50-1:51 <i>J. Cattelino</i>	4. Minutes of Meeting: <ul style="list-style-type: none"> a. February 28, 2022
Information	1:51-2:00 <i>All</i>	5. New Business <ul style="list-style-type: none"> a. Chair’s Updates b. Open Forum: Updates from Schools/Divisions

2021-22 CFC Meeting Schedule:

FALL QUARTER: October 18, November 29
WINTER QUARTER: January 24, February 28
SPRING QUARTER: April 18

* Council members are free to request that any Consent Calendar item be removed for discussion, either before or during the meeting.

** Action items require a vote to endorse the document as-written, to endorse contingent upon revisions, or to oppose

*** Council members and students who are in these departments must recuse themselves from the discussion and should not review the related materials.

Please note: This agenda for the April 18, 2022 meeting of the Council of Faculty Chairs is subject to change.

Meeting Materials

Recognizing Community-Engaged Scholarship in Academic Personnel Review	1-1
---GC Final Response	1-1
---UgC Final Response - 2022-04-05 UgC re Recognizing Community-Engaged Scholarship in Academic Personnel Review	1-2
---FWC Final Response	1-4
---Exec Tenure and Promotion Policy for Engaged Scholarship Report 10_1_21	1-5
Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report	2-1
---Exec Divisional Response - EB to VCAP CAP re Mitigating C-19 Impacts on Faculty Report 2022 Apr 4 -1	2
---CAP Final Response - CAP to EB_Mitigating COVID-19 Impacts on Faculty_02-24-22	2-2
---FWC Final Response	2-4
---Exec Final Response Previous - EB to VCAP CAP re Mitigating C-19 Impacts on Faculty Report final	2-6
---Exec IPAP Response re Mitigating COVID-19 Impacts on Faculty 2022 Mar 1	2-7
---FWC Chancellors and EVCPs MCIF-WG Letter 10-25-21	2-11
---FWC Attachment-MCIF-WG Preliminary Report 10-25-21	2-13

This meeting has no minutes associated with it.

3125 Murphy Hall
410 Charles E. Young Drive East
Los Angeles, California 90095

April 12, 2022

To: Jessica Cattelino, Chair, UCLA Academic Senate

From: Leah Lievrouw, Chair, Graduate Council

Re: Recognizing Community-Engaged Scholarship in Academic Personnel Review

At its meeting on April 8, 2022, the Graduate Council reviewed and discussed the Recognizing Community-Engaged Scholarship in Academic Personnel Review report and offers the following observations for the Executive Board's consideration:

Members agreed that the campus would benefit from greater guidance and clarity on definition, scope and reciprocity. Members had difficulty distinguishing community-engaged scholarship from the contributions to diversity requirement, and some members argued that there was not a strong justification for a model distinct from that of the diversity requirement.

Some members echoed the Undergraduate Council's comment that there is a need to more clearly articulate the boundaries of where engaged scholarship ends and service-oriented engagement in the community begins. Members asked whether public facing scholarship, for example, is a form of engaged scholarship. Members added that some scholarship does not appear to be reciprocal.

Members generally agreed that contributions can be both diversity promoting and community-engaged but the campus should not subsume one completely under the other.

We appreciate the opportunity to express our views on this matter. If you have any questions, please contact us via Graduate Council Analyst, Estrella Arciba, at earciba@senate.ucla.edu.

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Los Angeles, California 90095

April 5, 2022

To: Jessica Cattelino, Chair, Academic Senate

From: Kathleen Bawn, Chair, Undergraduate Council

Re: Recognizing Community-Engaged Scholarship in Academic Personnel Review

At its meeting on April 1, 2022, the Undergraduate Council reviewed the report from the Center for Community Engagement (CCE) on Recognizing Community-Engaged Scholarship in Academic Personnel Review.

Overall, members agreed that there is a need for institutional systems to formally acknowledge and reward community-engaged scholarship. Many felt that CCE's report sends an important and overdue message to UCLA faculty that such contributions are valued in teaching and research – distinct from *service*, importantly – underscoring the substantial time and methodological effort involved in community-engaged scholarly work. Noting that several peer institutions have moved in this direction, members pointed out that recognizing community-engaged work will keep UCLA at the forefront in developing a forward-looking vision of academic contributions and impact.

Members also commented that greater recognition for community-engaged work could help provide a wider range of opportunities for undergraduates to be involved in meaningful co-produced research that is relevant to the diverse communities from which they hail. Celebrating such activities may also support the recruitment top students from underserved and underrepresented populations, in fulfillment of the University's public mission.

The Council welcomes the opportunity to review future iterations of the report and offers the following suggestions and questions for further consideration:

- Members noted the need to more clearly articulate the boundaries of where engaged scholarship ends and service-oriented engagement in the community begins.
- Clarification was sought regarding mutually beneficial relationship between University and community, and the proposed benefits to the institution: Is it that community engagement promotes fewer disciplinary silos or greater collaboration? Moving away from focusing on peer review articles to other forms of academic contribution?
- How would the proposed evaluative criteria apply to adjunct instructors who may already have significant involvement in various professional communities?
- The definition of community engagement in the report suggests that “community” is primarily local. The notion of “community” could be broadened to include national and global

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contributions (e.g. research conducted for international organizations such as the United Nations; written testimonies for Congress; amicus briefs for major court cases, etc.)

- Members noted that some forms of engagement (providing testimony, writing white papers) involve monetary compensation. Policies should offer guidance on disclosure of support.
- Members appreciated that the “Continuum of Scholarship” and “Decentralized Criteria” models allow for the establishment of flexible standards across UCLA’s diverse research areas. However, some noted the need to ensure that evaluative criteria will be respected and agreed upon at the University level. A broader culture change within Academic Personnel Office and Committee on Academic Personnel must take effect in order for the recommendations to be truly meaningful.

If you have any questions, please contact us via the Undergraduate Council’s analyst, Julia Nelsen, at jnelsen@senate.ucla.edu.

cc: Julia Nelsen, Committee Analyst, Undergraduate Council
Peter Petersen, Vice Chair, Undergraduate Council

March 23, 2022

To: Jessica Cattelino, Chair
Academic Senate

From: Carson T. Schutze, Chair
Faculty Welfare Committee

Re: Recognizing Community-Engaged Scholarship in Academic Personnel Review

At its meeting on March 15, 2022, the Faculty Welfare Committee (FWC) discussed the Recognizing Community-Engaged Scholarship in Academic Personnel Review report. Members agreed that community-engaged scholarship is important to the university's future success for many reasons, as the report lays out, and must therefore receive due recognition in the academic personnel review process, including a precise definition.

Concerning the recommendations outlined on pp. 22-23 of the report, we suspect that departmental working groups, in addition to divisional/school committees and the Academic Senate, plus a committee convened by the Vice Chancellor for Academic Personnel, are probably unnecessarily duplicative, except perhaps in cases where the nature of a department's community engagement is atypical in its division/school and thus may not be well-served by proposed school/divisional guidelines. We look forward to seeing a concrete proposal come out of this process.

If you have questions for us, please do not hesitate to contact me at cschutze@humnet.ucla.edu or via the FWC's analyst, Renee Rouzan-Kay, at rrouzankay@senate.ucla.edu.

cc: Shane White, Immediate Past Chair, Academic Senate
April de Stefano, Executive Director, Academic Senate
Elizabeth Feller, Assistant Director, Academic Senate
Renee Rouzan-Kay, Senior Policy Analyst, Faculty Welfare Committee
Members of the Faculty Welfare Committee



College | Undergraduate Education

**Center for Community
Engagement**

Recognizing Community-Engaged Scholarship in Academic Personnel Review

*Advancing UCLA Global and Local Engagement Strategic Priorities
October 1, 2021*

Shalom Staub, Ph.D., Director

Bemmy Maharramli, Ph.D., Associate Director for Strategic Initiatives

UCLA Center for Community Engagement

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Executive Summary

Why this Report?

We seek to make tangible progress in furthering UCLA’s Strategic Priorities for Global and Local Engagement. *The purpose of this report is to share why recognizing community-engaged scholarship matters for UCLA and how UCLA can move forward.*

Based on national benchmarking and extensive consultation with UCLA College faculty, this report outlines the steps needed to address the evaluation of engaged scholarship. We define engaged scholarship, share models and practices from peer R1 universities for evaluating that scholarship, foreground faculty voices, and provide recommendations for integrating standards for engaged scholarship in academic personnel review.

Specific Problem and Opportunity

Community-engaged scholarship is an important way to fulfill the public mission of the university and facilitate social innovation. Yet, as more faculty have embraced community engagement in their research and teaching, university cultures and structures for evaluation have not changed, particularly in R1 universities, creating impediments and disincentives for community-engaged scholarly work.

At UCLA, faculty report that the academic review process discourages community-engaged scholarship by not recognizing the distinctive characteristics of such work. UCLA’s recognition of excellence in community-engaged scholarship will allow the campus to develop more transformative partnerships and leverage additional resources as funders are increasingly asking universities for evidence of commitment to engaged scholarship (Ozer, 2021; London, 2021). Recognizing and establishing review criteria for community-engaged scholarship *in the research and teaching categories of review* will unleash the faculty’s potential for innovation and creativity in their research to address urgent challenges.

Peer Practices, Models, and Faculty Voices

UC Berkeley is the first campus in the UC system to recognize community-engaged scholarship in academic personnel review in the spring of 2021. Other UC campuses are also making strides towards recognizing engaged scholarship. The University of Minnesota, University of North Carolina, and Syracuse University have been leaders in university-level policy recognition of engaged scholarship. Other universities, discussed in the report, have made strides at the school and divisional levels.

Three models have emerged among peer institutions: “Continuum of Scholarship,” “Opt-in Supplemental Review,” and “Decentralized Criteria within an Institutional Framework.” They all recognize community-engaged scholarship in academic personnel review and provide criteria for

appropriate evaluation of engaged scholarly work. All normalize and recognize the legitimacy of engaged scholarship as *scholarly work*. They vary in how faculty members navigate the review process, whether as a continuum within which they situate themselves, an opt-in supplementary review option, or through the application of articulated criteria established at the department/divisional level embedded within the standard review process.

Recommendations

The Center for Community Engagement recommends that UCLA adopt a combination of the “Continuum of Scholarship” model and the “Decentralized Criteria within an Institutional Framework.” The former unequivocally recognizes that diverse types of scholarship count, and the latter would allow UCLA’s diverse schools and divisions to articulate criteria relevant to their fields within the commitment to engaged scholarship enacted by the Academic Senate. There are next steps we recommend for consideration (suggested responsible units noted in parentheses):

University-level policy and practices:

1. **Broadly disseminate this report to UCLA faculty** (Academic Senate, Vice Chancellor for Academic Personnel, Committee on Academic Personnel, Deans, Center for Community Engagement)
2. **Appoint a Committee on Community-Engaged Scholarship to guide the establishment of Academic Senate policy and guidelines for reviewing community-engaged scholarship** (Vice Chancellor for Academic Personnel, Academic Senate). This committee would be charged with:
 - a. Review and adopt the UC Berkeley statement recognizing engaged scholarship and guidelines for review, or craft a variation thereof or a newly developed statement particularly suited to UCLA) (Academic Senate)
 - b. Institute an annual workshop for new Committee on Academic Personnel members to familiarize them with the principles and practices of engaged scholarship, as well as criteria for review of excellence and impact (Committee on Academic Personnel, with support from Center for Community Engagement)

Division/School-level policy and practices:

1. **Convene information sessions across each school and division** to both answer questions and to gather further input to guide the establishment of Academic Senate policy and guidelines for reviewing community-engaged scholarship (Deans, committee to be appointed by Academic Senate/Vice Chancellor for Academic Personnel, with support from the Center for Community Engagement)

2. **Appoint a Committee of Engaged Scholars within each school/division** to formulate appropriate criteria for evaluating excellence and impact of community-engaged scholarship in research and teaching (Deans)
3. **Encourage all UCLA community-engaged scholars to utilize [UCLA Collaboratory](#)** to record and track their record of public-facing and community-engaged work as part of developing their dossiers of community-engaged scholarship (Deans, with orientation, training and support to faculty provided by the Center for Community Engagement)

Department-level policy and practices:

1. **Convene working groups to formulate review criteria appropriate to specific departmental-level review of community-engaged scholarship** (Department chairs, supported by the Deans and Center for Community Engagement)
2. **Assign mentors** to pre-tenure community-engaged scholars (Department chairs)

Recognizing Community-Engaged Scholarship in Academic Personnel Review

The Context of this Report--Advancing UCLA's Strategic Priorities for Global and Local Engagement

In the UCLA Strategic Priorities for Global and Local Engagement, the Center for Community Engagement was tasked with advancing the action item to recognize community-engaged scholarship in the academic personnel review process. The purpose of this report is to share why recognizing community-engaged scholarship matters for UCLA and how UCLA can move forward. In AY 2020-2021, we gathered best practices and models from peer institutions, surveyed a range of disciplinary associations, and reached out to leaders in the field of community engagement in higher education. We also interviewed over 50 UCLA faculty across a range of departments within the four divisions of the College to learn how they have integrated community-engagement within their research and/or teaching, and how they have navigated the academic review process in relation to their community-engaged scholarly activities.¹ Our faculty interviewees contributed ideas for next steps. A more detailed description of our methodology over the past year can be found in Appendix 1.

Fulfilling the Public Mission of UCLA at this Critical Moment

The COVID-19 pandemic, social inequality, racial injustice, challenges to democracy, and ecological crises are critical issues that demand the involvement and leadership from higher education. In response to the “ivory tower critique” that higher education is out of touch with contemporary challenges, universities have increasingly begun to assert their relevance and commitment through community engagement (Dempsey, 2010). Community-engaged scholarship is an important way to fulfill the public mission of the university as well as facilitate social innovation (Beaulieu, Breton & Brouselle, 2018; Olsson et al., 2017; Vogelgesang et al. 2006). However, the literature shows that for R1 universities, the culture, rewards system and other institutional structures and procedures negatively impact the careers of community-engaged researchers (Ozer, 2021; Ellison & Eatman, 2008; Harkavy & Hartley, 2012; Sandmann et al., 2008; Welch & Saltmarsh, 2013). There have been shifts in recent years in the way that faculty actively seek community-engaged scholarly activity and conceptualize their community-engaged work *as scholarship* through their research and teaching, and not as a function of

¹ We recognize that there are faculty in every school that also integrate community-engagement in their research and/or teaching. Indeed, community-engagement is built into the very fabric of multiple programs in the professional schools. We started with interviewing faculty in the College since they carry the greatest responsibility for the undergraduate curriculum.

service. Often there are interactions across these buckets concurrently and over time. For example, in many fields that utilize field-based research methods, scholars are only successful in their research due to previously undervalued “engagement” that may look like “service”--volunteering and even governance roles. Similarly, students are actively seeking community-engaged learning opportunities, and both public and private funders are asking for broader societal impacts (Blanchard & Furco, 2021).

Community-engaged scholarship intersects with equity, diversity, and inclusion in a critically important way. Women and faculty of color are more likely to enter academia with an interest in connecting their scholarship with societal issues as well as pursuing community-engaged scholarship or teaching (Miller et al. 2018). Tenure and promotion policies that recognize the legitimacy of community-engaged scholarship and provide appropriate strategies to evaluate the scholarly output and impact of this work can contribute to greater retention and advancement of women and people of color in the faculty ranks (Antonio, 2002; Miller et al. 2018).

The question of how to treat community-engaged research and teaching *as scholarly activities and not as service* in tenure and promotion has been the focus of discussion at UCLA for years. When UCLA was reviewed in 2015 for “reclassification” by the Carnegie Foundation’s Elective Classification for Community Engagement, the external reviewers noted that the university would need to show progress, as peers have done, on valuing community engagement in tenure and promotion policies to continue to be recognized in the 2025 cycle of this sought-after elective classification.² Both the 2017 UCLA Civic Engagement Task Force Report and 2020 UCLA’s Global and Local Engagement Strategic Priorities included recommendations to specifically modify tenure and promotion policies to address issues related to community-engaged scholarship.

UCLA lags behind its peers nationally, as we will discuss further in the report below. Leading R1 universities have implemented a range of strategies for formally recognizing community-engaged scholarship in their review processes for tenure and promotion. This past academic year, UC Berkeley became the first UC campus to recognize community-engaged scholarship in its academic personnel review process.

Defining Engaged Scholarship

The Carnegie Foundation defines community engagement as “the collaboration between higher education institutions and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and

²There are currently 361 U.S. colleges and universities with the elective Community Engagement Classification, including UCLA, UC Davis and UC Merced (<https://www.brown.edu/swearer/carnegie>)

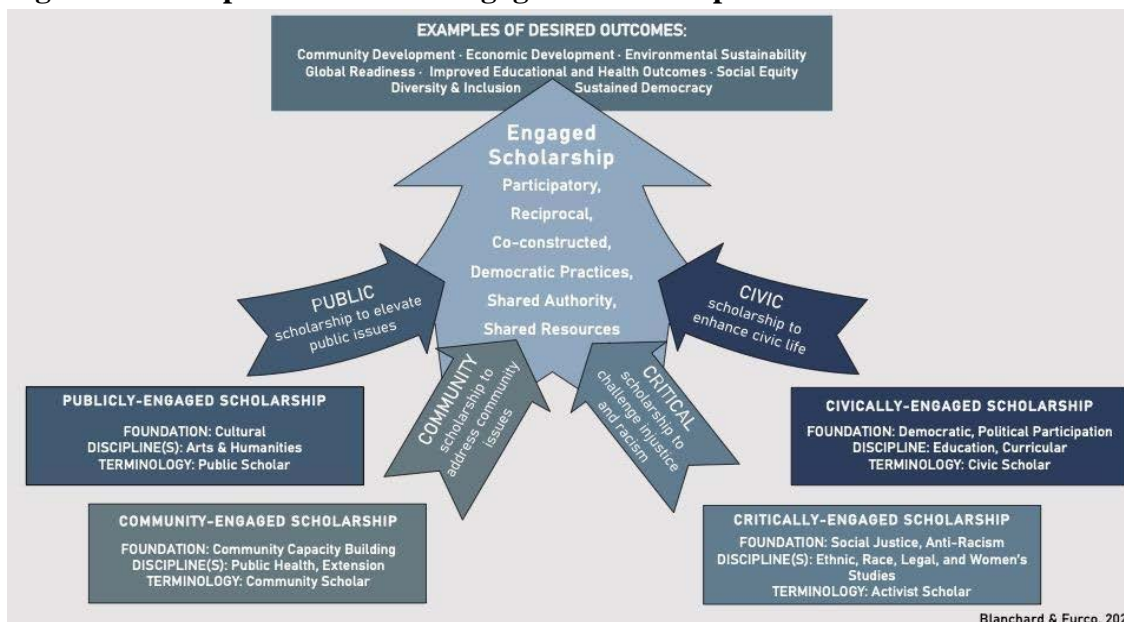
reciprocity” (Carnegie Classification Framework, 2020). We recognize that different fields have different terminology for this kind of work. There is also a continuum of activities, from outreach to public engagement, public scholarship, and community-engaged scholarship.

In our survey of the state of the field and in our conversations with faculty, we intentionally had a broad and open view to learn how faculty understood engagement, situated their work, and navigated their work in relation to academic personnel review. To convey this broad and open understanding, we use the term “engaged scholarship” throughout this report (following Blanchard & Furco, 2021). In our review of the literature and survey of models and best practices, we also focused on engaged scholarship, or as noted by the Carnegie Classification framework, “the teaching, learning, and scholarship that engages faculty, students, and community in mutually beneficial and respectful collaboration (Carnegie Classification Framework, 2020).

Engaged scholarship builds on a long history and varied set of theories and philosophies of higher education, such as social empowerment, critical theory and pedagogy, democratic engagement, and participatory action research, among others (Freire, 1970; Dewey, 1916; Lewin, 1946; Boyer, 1996 in Blanchard & Furco, 2021). Despite the varied terminology one encounters --civically-engaged scholarship, community-engaged scholarship, publicly-engaged scholarship, and critically-engaged scholarship--they share a range of principles and practices, including participatory practices, reciprocity, co-construction, democratic practices, shared authority, and shared resources (see Figure 1) (Beaulieu, Breton & Brouselle, 2018).³ Blanchard and Furco (2021) note, “for the purposes of conducting scholarly work, engagement, in its strongest and most authentic form, is built on reciprocal, mutually beneficial relationships between members within and outside of the academy. In this form of engagement, there is shared authority and a co-creation of goals and outcomes” (p. 22). Within the framework of engaged scholarship, faculty co-produce knowledge(s) with partners and are “actors” of change with other stakeholders (Beaulieu, Breton & Brouselle, 2018). This epistemological shift calls attention to competing ideas of how knowledge is constructed, what is viewed as legitimate knowledge in higher education, and the possibilities for new and transformative forms of knowledge (Sandmann et al., 2008).

³ We will explore the texture of community-engaged research and teaching later in the report in a section dedicated to faculty conversations.

Figure 1. Conceptualizations of Engaged Scholarship



While mission statements of higher education institutions have long been framed in terms of providing for the public good or preparing students as citizens in a democracy, the movement towards engaged scholarship seeks to realize the rhetoric of mission language in immediate and tangible ways in relation to particular stakeholders outside of academia. Yet even as more faculty have embraced engagement in their research and teaching, university cultures and structures for evaluation have not changed, particularly in R1 universities, creating impediments and disincentives for engaged scholarly work. Faculty members “express frustration that promotion and tenure systems have not caught up with institutional priorities or changes in the dynamic nature of scholarship or the aspirations of the emerging guard of academic citizens” (O’Meara et al., 2015, para. 1). As O’Meara et al. (2015) note, it is challenging to practice reciprocal, sustained engagement with partners when there are no incentives or clear policies for recognizing this work. The tenure and promotion policies of research universities have not caught up with calls for publicly engaged scholarship, and thus serve as a critical impediment for faculty to practice engagement (Ellison & Eatman, 2008; O’Meara, 2002; Post et al. 2016).

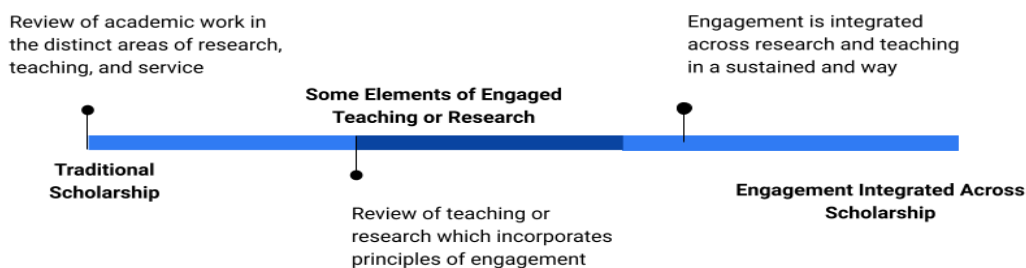
How Engaged Scholarship has been Incorporated in Academic Personnel Review: Models and Peer Practices

Three approaches have emerged among peer institutions. They all recognize engaged scholarship in academic personnel review and provide criteria for appropriate evaluation of engaged scholarly work. All approaches normalize and recognize the legitimacy of engaged scholarship as *scholarly work*. They vary in how an individual faculty member enters the review process, whether as an opt-in option that supplements or parallels traditional review, or as a set of criteria

that have been embedded within the standard review process. With the singular exception of Syracuse University, we found no peer R1 university that expects *all* faculty to demonstrate public or community engagement as part of the academic personnel review. The dominant framework is to value and recognize engaged scholarship for those faculty who choose to develop this work as part of their record of scholarly output and achievement.

The first model is the **Continuum of Scholarship Model** (Figure 2). This model was first described in *Imagining America's* groundbreaking report on tenure policy in the engaged institution (Ellison & Eatman, 2008). The principal value in this model is the way that it normalizes engaged scholarship within a broad range of scholarly interest and output along a continuum. In this model, a faculty member who is doing work that integrates engaged scholarship is recognized as equally legitimate to more traditional scholarship. Additionally, this model provides for the multiple ways that engagement might find its way into a faculty member's research or teaching or both. The review process then recognizes each of these forms of scholarship and provides for their consideration during academic personnel review. The Continuum of Scholarship model requires institutional adoption, and then provides individual faculty members the agency to locate themselves along the continuum.

Figure 2. Continuum of Scholarship Model



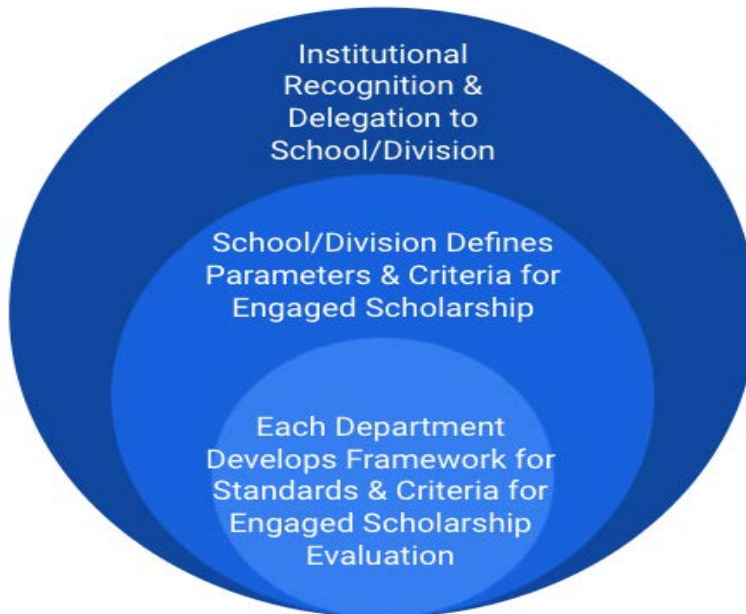
The second model (Figure 3) is an **Opt-in Supplemental Review**. In this model, the individual faculty member always undergoes a standard review, *and* has the option of adding a supplemental review of what they identify as their engaged research and/or teaching. This approach recognizes that engaged scholarship is integrated into the research and teaching output of the faculty member and needs attention by peer reviewers who are familiar with the standards and criteria for excellence; however, this approach places that review outside of the standard review.

Figure 3. Opt-in Supplemental Review Model



The third model (see Figure 4) is built on **Decentralized Criteria within an Institutional Framework**. This can happen when the institution itself adopts a broad policy that recognizes engaged scholarship and then delegates the task of defining the parameters and characteristics of engaged scholarship to each constituent school or division. Then, each department is tasked to articulate a framework of standards and criteria for evaluating engaged scholarship for its academic personnel review. In this model, engaged scholarship is clearly recognized institutionally, while allowing the specific fields to define the particular characteristics of engaged work. Engaged scholarship is treated as part of the research and teaching output as appropriate to a faculty member's field. An engaged scholar coming up for review in a particular department would know exactly what the criteria will be for the evaluation of their work within that department, at the dean's level, and at the academic senate level.

Figure 4. Decentralized Criteria within an Institutional Framework



Peer Practices

The models presented here have been adopted and adapted by a number of leading R1 universities including University of Minnesota, University of Wisconsin, University of North Carolina, Greensboro, and Indiana University-Purdue University, Indianapolis (IUPUI).

The University of Minnesota formally adopted a university-wide definition and framework for public engagement in 2005 (Blanchard & Furco, 2021). After the University of Minnesota received the Carnegie Foundation Community Engagement classification in 2006, its faculty senate revised and adopted tenure and promotion guidelines to include support for community-engaged scholarship and teaching, including an opt-in, supplemental review model through either a holistic, teaching or scholarship review. Institutionally, there is currently engagement at the department and college levels in clarifying definitions, standards, and expectations around engagement.

Similarly, the University of Wisconsin's Social Science Division also utilizes an opt-in supplemental review model. Faculty have the option to choose an integrated path across the domains of research, teaching, and service. IUPUI has recognized engaged scholarship and provides training to the members of its academic personnel committee to inform evaluators of what engaged scholarship is and how to evaluate the quality and impact of such work.⁴

The University of North Carolina, Greensboro, formally recognized engaged scholarship at the academic senate level, reflecting the *decentralized criteria within an institutional framework model*. As a part of this recognition, the university shared terms and definitions related to community engagement.⁵ They also provided resources related to measuring the impact of engaged scholarship and the spectrum of scholarly products.⁶ Then at the division and departmental levels, all units were asked to define the characteristics of engaged research, teaching, and service in the context of their unit's discipline or area(s) (note: forthcoming is an evaluative publication of their experience).

The University of North Carolina, Chapel Hill has a long history of considering engaged scholarship. Although it does not have a formal campus-wide policy, particular schools and departments have adopted review policies addressing community-engaged scholarship (Blanchard & Furco, 2021).

⁴ Personal conversation with John Saltmarsh (Bemmy Maharramli), February 2021

⁵ <https://communityengagement.uncg.edu/wp-content/uploads/2014/07/Terms-and-Definitions-for-Community-Engagement-in-UNCG-Promotion-and-Tenure-Guidelines.pdf>

⁶ <https://communityengagement.uncg.edu/wp-content/uploads/2014/07/Honoring-the-Mosaic-of-Talents-and-Stewarding-the-Standards-of-High-Quality-Community-Engaged-Scholarship.pdf>

In terms of private R1 universities, Syracuse University formally implemented the continuum of scholarship model to be inclusive of the epistemological range of engaged scholarship approaches and beyond (Ellison & Eatman, 2008). The University of Richmond is currently in the process of exploring how to recognize engaged scholarship, emphasizing links to equity, diversity, inclusion to valuing engaged scholarship efforts. Duke and Emory are at nascent stages of exploring faculty review policies as part of their overall commitment to supporting community-engaged work.

Perspectives from Disciplinary Associations

The guidance that disciplinary associations offer with regard to tenure and promotion and engaged scholarship can inform departmental practices as well as efforts to change policy at the institutional level (Ellison & Eatman, 2008). To better understand how disciplinary associations are approaching public engagement and the relationship to tenure and promotion policies, we undertook a review of select disciplinary associations' guidance within the Humanities and Social Sciences. Thus far, we found no disciplinary associations in the Life and Physical Sciences that offer guidance on engaged scholarship.

The American Historical Association's report on tenure, promotion and the publicly engaged academic historian (updated 2017) suggests that tenure and promotion guidelines should align with institutional values and mission. They advise that if a department hires an engaged scholar, they should honor good work by ensuring that departmental guidelines reward publicly engaged scholarship. They also note that departments should value engagement efforts at all stages of a scholar's career.

The Modern Languages Association (MLA), the largest association for the humanities, has a Valuing Public Humanities Committee that is currently developing guidelines for how to consider public scholarship. This guidance is expected to be finalized by 2022. In 2007, the MLA's report on evaluating scholarship for tenure and promotion does have limited references to engaged scholarship. Like AHA, MLA recommends aligning guidelines with institutional values and mission. The MLA report cites Boyer's *Scholarship Reconsidered* (1990), and how scholarship can address society's challenges. It acknowledges the already too many demands placed on faculty and suggests that service should overlap and involve the other elements.

Finally, the American Anthropological Association issued a report (2017) that offered guidelines for tenure and promotion review of public scholarship in anthropology. In this report, AAA acknowledged growing demand for public scholarship and the need to go beyond established norms of "impact." They defined public scholarship as, "that which is in dialogue with non-academic and academic audiences and informed by anthropological scholarship and knowledge"

(p. 1). This report encouraged more communication of knowledge in digital and public ways and recommended articulating what counts for excellence.

Although disciplinary associations in the humanities and social sciences are still at the early stages of recognizing engaged scholarship and establishing criteria for evaluating such scholarly work, these examples noted above suggest that disciplinary associations will play a key role in establishing definitions and standards for their fields.

Engaged Scholarship across the UC System

In comparison to the other UC campuses, UCLA has an advanced state of infrastructure to support engaged scholarship. As evidence, UCLA has received the elective Carnegie Community Engagement Classification twice--in the inaugural classification of 2007 and then again in 2015.⁷ Since the early 2000s, UCLA has had a Center for Community Engagement⁸ that serves as the campus hub for advancing community-engaged teaching, learning, and research. The campus also has a campus-wide community-engaged course designation,⁹ used to identify such courses in nearly forty departments across campus. More than twenty-five majors and minors build community-engaged courses into their curricular requirements and electives. UCLA has also been distinguished among its peers for creating a minor, initially in Civic Engagement (2006) and later revised to become the current Community Engagement and Social Change minor (2018). In 2020, UCLA identified global and local engagement as one of four campus strategic priorities. In spring quarter of 2021, the Center for Community Engagement launched an Affiliated Faculty Network, quickly attracting over 100 faculty members across all divisions of the College and other Schools.¹⁰ In 2021, The Center for Community Engagement launched UCLA Collaboratory, an innovative software platform that helps higher education institutions better understand, highlight, and evaluate community engagement.¹¹ Collaboratory has the potential to serve as an important tool for UCLA across levels of the institution--from deans, chairs, and individual faculty--to understand, make legible, and evaluate engaged scholarship. The Center for Community Engagement has started to provide trainings and workshops on how to use Collaboratory, whether as an individual scholar or at the departmental level.

⁷ The other UC's that have received the Carnegie Community Engagement Classification are UC Davis and UC Merced: <https://docs.google.com/spreadsheets/d/1bdX3pEIM68m-K4QpDVCtce2470kDzDAZtFYfzhbSEFk/edit#gid=412951418>

⁸ Following the recommendations of the Chancellor's Task Force on Service-Learning (1999), UCLA established the Center for Experiential and Service-Learning in 2001, renamed the Center for Community Learning in 2003, and renamed it the Center for Community Engagement in 2020.

⁹ The Undergraduate Council adopted the "service-learning" (SL) course framework in 2008, revised to become the "community-engaged" (XP) course framework in 2020.

¹⁰ The actual number of UCLA faculty who do engaged research and teaching is not yet known, though we estimate a number many times bigger as we continue to reach out to and work with more units across the university.

¹¹ Collaboratory website: <https://cecollaboratory.com/>; which hosts UCLA Collaboratory: <https://he.cecollaboratory.com/ucla>

In the spring of 2021, UC Berkeley, was the first campus in the UC system to recognize community-engaged scholarship in academic personnel review. UC Berkeley's Vice Provost for the Faculty posted the following guidelines:

Community-Engaged Research. Assessment of records that include community-engaged research (e.g., partnerships with non-academic entities that work in the public interests) can sometimes be challenging to assess in an academic context. Berkeley has issued guidelines for assessing community-engaged research to assist faculty members, chairs, and others involved in the review process (UC Berkeley guidelines are provided in Appendix II).

UC Berkeley's journey to recognizing engaged scholarship included the precedents of faculty evaluation criteria changes around contributions to equity and diversity as well as creative activity in the arts. These institutional changes were driven by mid-career faculty who had strong relationships with campus leaders, coupled with an institutional challenge grant and feedback from the foundation questioning whether the university was "committed to making changes to faculty evaluation" (Ozer, 2021).

In May 2020, the UC Davis Provost's Work Group produced a report with recommendations on public scholarship and engagement. UC Davis created a new leadership position for a Vice Provost for Public Scholarship and Engagement. This Vice Provost leads university-wide efforts to recognize public scholarship in research, teaching, and creative practice, also articulating strong links to EDI and epistemic justice. UC Davis is currently in the process of drafting language on public scholarship and engagement for merit review, promotion, and tenure.

UC Santa Cruz is launching a new campus center to give greater visibility to the community-engaged work of faculty, staff, and students and to support sustained community partnerships (London, 2021). Like UC Berkeley, UC Santa Cruz also recently received an institutional challenge grant around engaged scholarship, specifically youth leadership through engaged research. The grant has provided the impetus for the campus to develop ethics guidelines for community-based research and university-wide standards for engaged scholarship with feedback from partners like United Way (Soergel, 2021). UC Santa Barbara is in the early stages of trying to better understand the engaged scholarship landscape on its campus.

UCLA's Center for Community Engagement recently played a leadership role nationally to convene a working group among R1 university academic administrators on advancing tenure and promotion policies for engaged scholarship. Four UC campuses joined this group (UCB, UCD, UCSB, UCSC). Center for Community Engagement staff, along with the UC Davis Vice Provost, Michael Rios, have initiated a new community engagement network of academic

administrators and engaged faculty across all UC campuses. In May 2021, UC Davis' Office of Public Scholarship and Engagement, convened a first meeting of a UC Community Engagement Network. At this meeting representatives from each campus discussed successes, challenges, and explored opportunities to work with one another on the UC system level. Rios has subsequently surveyed campus stakeholders across the UC system to collect input to guide the next steps of this network, including strategies to work at each campus level to raise the profile for engaged scholarship at the system level.

UCLA College Faculty Conversations

The Center for Community Engagement conducted approximately 50 one-on-one conversations with faculty members across ranks and departments in the UCLA College during AY 2020-21. The picture that emerged from these conversations is that there are substantial numbers of UCLA faculty for whom engaged scholarship is a central part of their research and teaching, and yet they largely feel unsupported by their departments and the university for work that directly fulfills the public mission of the university.

UCLA Faculty Perspectives on Engaged Scholarship

UCLA Senate faculty expressed various perspectives on engaged scholarship. Some faculty defined engagement as sharing their work with the public through media, print, social media, or public lecture series and panels. Others saw engagement more as outreach or pipeline programs with K-12 schools or underserved K-12 or community college students, meeting the need to bring greater diversity to their fields.

Faculty practice community-engaged scholarship in multiple ways over the course of their career and sometimes in multiple, overlapping ways at the same time. For example, some initially focused more on public engagement and then later moved into more engaged, stakeholder-driven, long-term relationships with a partner. Other faculty reported intentionally practicing multiple forms of engagement at the same time, with one faculty member describing how three facets--community engagement, public partnership, and working within a framework of social justice--fit within a broad rubric of their action-oriented engaged scholarship.

For a significant number of faculty interviewed, engaged scholarship is characterized by the principles of accountability, reciprocity, activist engagement, decolonizing practices, redressing inequalities, and epistemic justice. Their work is intentionally *non-extractive*, in the sense that they want to avoid relationships where they “take” from their community partners and stakeholders without also contributing to capacity-building and community wellbeing. One faculty member explained:

Engagement means ultimately accountability that a scholar has to the communities they study. That accountability should be intimate, reciprocal, and compassionate. Grandparents would say, “Accountability that is intergenerational.” You are a public intellectual, not an ivory tower scholar.

Some faculty conveyed that their engaged work is closely associated with public scholarship and the “public circle of knowledge making,” including stakeholder-driven work to inform policy, planning, and “grounding science with real world planning.” Some faculty described their engaged scholarship as driven by wanting to engage students with real world issues and help them find career paths through public-facing curricula (undergraduate and graduate programs). Figure 5 conveys the keywords used by UCLA faculty to convey their understanding of engaged scholarship.

Figure 5. UCLA Faculty Meanings of Engaged Scholarship



Faculty also expressed links between engaged scholarship and equity, diversity, and inclusion (EDI). They lamented the lack of diversity at UCLA at many levels, both for faculty and students. Some faculty expressed that the Black Lives Matter movement and the racial unrest in the country created the recognition that change is desperately needed. We saw ample evidence in the literature and heard from interviewees that faculty who identify as engaged scholars skew

along gender and racial lines.¹² Some faculty expressed that more diverse forms of knowledge, including that of non-academic peers, need to be more equitably and inclusively recognized. Many faculty also made specific connections between recognizing engaged scholarship in the review process and the part of the UCLA academic review process that recognizes contributions to EDI ([UCLA CALL, Appendix 41](#)).

The faculty that we interviewed conveyed multiple concerns about their perceived lack of university support for engaged scholarship, in particular: 1) the **impact that lack of recognition for engaged scholarship and the absence of criteria for review have for their tenure and promotion review**, and 2) **support for engaged scholarship and pedagogy**. They identified critical issues for the review of engaged scholarship, including evaluating excellence and impact.

Lack of Recognition and Absence of Review Criteria for Engaged Scholarship Impact Faculty Across the Ranks

A recurring theme heard from faculty across all divisions of the College was that the current review process does not effectively recognize their engaged scholarship within the research and teaching categories. Some faculty explained that they have not attempted to incorporate their engaged scholarship in their review because they have assumed it would not count. Other faculty noted a soft “appreciation” for community engagement; “it’s icing on the cake, but it’s not the cake.” Some faculty who have received the Chancellor’s Award for Community-Engaged Scholars have noted the irony of receiving a \$10,000 award and support to develop new community-engaged research courses for undergraduates while this very work is not necessarily valued within their tenure and promotion review. Generally, faculty convey that the university’s message is that engaged scholarship is not valued as core work. One could get promoted with “zero engagement.” In the experience of some faculty, engaged work was even frowned upon or viewed with skepticism. A faculty member described that if they “had just focused on the science they would be doing better [... and] would have accelerated more up the ranks.” This individual noted the “significant personal costs to their professional standing, but they were ok with it [because] it was the right thing to do.” Multiple faculty shared that their engaged scholarship “comes at a cost” or they “pay a price.” In general, all faculty are concerned with how the Academic Senate’s Committee on Academic Personnel will interpret their work, sharing that, “if they don’t understand, it doesn’t count.” There is also a sense that this is changing, although slowly. Where this type of scholarship used to be dismissed, there is now more acceptance. However, this acceptance is muddled by a lack of clear standards on how to evaluate engaged scholarship.

¹² While in July 2021, there was recognition of faculty service in promoting equity and career advancement, particularly as it relates to the disproportionate service burden that women faculty and faculty of color bear, this still does not remedy challenges associated with recognizing engaged research and teaching.

Faculty members described how this discouragement and lack of recognition for engaged scholarship exists pre-tenure and extends past the point when tenure is achieved. Faculty expressed that they are “strongly discouraged” [to do engaged scholarship] pre-tenure, conveying the stress and pressure to not “do anything unusual.” If you are a junior scholar, “maybe do a little bit, but you should spend your time on doing traditional things pre-tenure.” Pre-tenure, engaged scholarship is seen as extra, with a faculty member expressing, “at the end of the day if the book is not written, they won’t get tenure.” Under the current system, it is an act of “self-preservation” to *not* do engaged scholarship, particularly if junior scholars are not sure how their interest to integrate engagement in their research and teaching will be viewed by the senior colleagues in their department. The message is to “do less service-scholarship and teaching to advance more quickly up the ladder.” Some faculty reported getting mentored to “lay off” or “admonished” if they are doing too much. This highly risk averse environment is in direct tension with the motivations that drew junior faculty to work in their fields in the first place. As a result, junior faculty most often believe they cannot do this type of scholarship until *after* they are tenured.

Faculty also expressed the negative impacts of the current conditions for those who are tenured. One senior faculty member shared how public facing work is “devalued by the university,” sharing how they recently decided to do more public-facing work during the COVID-19 pandemic, but that their next promotion would “take a hit.” Even at the senior ranks, “they live a double life.” Another faculty member expressed their perception that women and faculty of color that identify as engaged scholars often struggle to move up the ranks post-tenure. On the other hand, some faculty reported that they felt that their own departments welcomed and supported their engaged scholarship, but they were still concerned about how this work is perceived at the level of the Committee of Academic Personnel.

One of the critical issues expressed by engaged scholars among the UCLA faculty is that community engagement gets shunted to the “service” bucket in academic personnel review. This is problematic for three reasons. For engaged scholars, community engagement is *at the core* of the way they do their research and/or teaching. An academic culture and review process that describes engagement as “service” undervalues the significance of the work in relation to research and teaching. Engaged scholars view engagement as *integrated across* research, teaching, and service. It all ties together--the purpose and processes of their work.

This lack of recognition for how engagement is integrated into research and/or teaching gives many faculty the sense that they are working to meet the expectations for traditional scholarship from their department *and* working to advance their vision of engaged scholarship that motivates their work, with only the former counting in their tenure or promotion review. They described that this dichotomy can contribute to the experience of doing two things poorly, versus doing one integrated thing really well. One faculty member described “constantly having to do extra.”

Another described their engaged scholarship as an “extra credit assignment,” except that they are not getting even basic credit.

We suspect that the issues related to recognition of engaged scholarship reflect deeper epistemological divides within academia generally and within individual fields. Multiple faculty members noted that engaged scholarship reflects a different epistemology around how knowledge is produced, who can produce it, who can evaluate it, what knowledge is legitimate, the implicit hierarchies of knowledge(s), and the inherent complexities and politics that accompanies all these issues. These are issues that should be discussed and debated to make room for emerging paradigms of scholarship.

Issues in the Review of Engaged Scholarship

Faculty note that since engaged scholarship is based on developing and maintaining relationships with non-academic partners, the time it takes to practice engaged scholarship makes it more challenging than solitary academic work. A faculty member shared that for a recent journal article, they could have sole-authored the piece, but chose to co-write the work instead with a community partner, asserting, “it should count just as much as a single-authored article. Community scholarship takes more work and accountability.” It takes time to develop and manage relationships as well as to “fit” partnership work within UCLA’s quarterly academic schedule. The process of engaged scholarship takes longer, and that matters in the context of fixed timetables for reviews of junior and senior faculty.

A major challenge for the engaged scholar is that what matters most in academic personnel reviews is publishing in flagship journals and completing a book by a top press. Faculty expressed that they have experienced uneven, sometimes scant, editorial attention to engaged scholarship by flagship journals and top book presses. While the “flagship journal and top press” was a repeated theme in our conversations, it should be noted that there is an emerging ecology of journals and associations dedicated to engaged scholarship, which may not be as well known among traditional circles.¹³ In addition, engaged scholarship often results in non-traditional scholarly products, which can be perceived by reviewers as more difficult to assess. Some examples of non-traditional scholarship products include exhibits, digital tools (e.g., website and/or software application), policy development, legislation, program evaluation, and more.¹⁴ For this reason, some research related to recognizing engaged scholarship has centered around measuring the impact of a more diverse array of products and processes and “honoring the mosaic of scholarly products” (Janke, Medlin & Holland, 2014).

¹³Community Engagement Journals: <https://communityengagement.ucla.edu/faculty/resources/#publishing-opportunities->

¹⁴ For more explanation of non-traditional scholarly products: <https://communityengagement.uncg.edu/wp-content/uploads/2014/07/Honoring-the-Mosaic-of-Talents-and-Stewarding-the-Standards-of-High-Quality-Community-Engaged-Scholarship.pdf>

Despite these challenges, faculty had many innovative ideas about how UCLA could better recognize excellence in engaged scholarship. Faculty ideas ranged from workshops for the Committee on Academic Personnel on how to evaluate engaged scholarship to clear guidelines, or criteria, for evaluating engaged scholarship, including the incorporation of input from non-academic peers and the evaluation of non-traditional scholarly products.

During conversations, faculty discussed how what is meant by “peer” and “impact” should be redefined. Faculty were concerned that those who were deemed their peers were too narrow, limited to a confined group of academic specialists. Since engaged scholars take seriously the knowledge held by community scholars, these community scholars can in turn dialectically contribute to the evaluation of excellence and impact of the engaged scholarly work. Faculty conveyed that “impact” means different things for the public and community partners than the university, and that there is tension between the interpretations of these meanings. For a community partner, impact is measured by positive social change and progress at varying scales, and for traditional academic review, impact is measured by publication in a flagship journal and/or top press (and subsequent citations received). Faculty expressed how assessments should be based on how their work impacts government, public agencies, and communities, for example, and go beyond papers and books. The lack of recognition of public impact prevents innovation. As one faculty member conveyed, “knowledge was not meant to circulate among closed circuits. We need to think about impact. The possibility of change. It’s [academic scholarship] not changing the world much.”¹⁵

Support for Engaged Scholarship and Pedagogy

Faculty expressed that it is important to not only *recognize* engaged scholarship, but also to *support* it. Faculty identified a variety of strategies, some which are within the scope of services that could be provided by the Center for Community Engagement, and others that would need the attention of department chairs and deans. The support that faculty are looking for include:

- Facilitate engaged writing groups to support faculty and help them make their engaged scholarship more legible
- Provide training and support in letter writing and dossier formation, including guidance on peer letter from community partners or public stakeholders
- Explore linkages between their engaged research and/or teaching and EDI

¹⁵ The literature notes that both process and product need attention in the evaluation of community-engaged research: "To assess the quality of community-engaged scholarship, one must evaluate both the project process through which the product was developed and the product itself to determine whether it is of high quality. Therefore, faculty candidates should present (and evaluators must review, in addition to the product or artifact) a reflective critique of the community-engaged processes that led to the development of the products listed/presented in the dossier to fully assess the quality of community-engaged scholarship." (Janke, Medlin & Holland, 2014; Jordan et al. 2009).

- Provide guidance on teaching different types of community-engaged courses, such as a community-engaged course at scale
- Expand visibility for engaged scholarship, including publications and other media
- Fundraise to support costs associated with community-engaged courses and incentivize engaged research
- Compile anonymous case studies of “precedent” academic reviews as a guide to future cases
- Establish a standing advisory committee of engaged scholarship advisors for evaluations at the departmental level and for the Committee on Academic Personnel
- Incorporate attention to engaged scholarship in new faculty orientation
- Develop an engaged scholarship mentoring program and assigning junior faculty engaged scholarship mentors early on
- Provide tangible support to faculty teaching community-engaged courses, such as:
 - Make funds accessible to support XP course design and transportation costs for students associated with the community-engaged work,
 - Assign a GSR or TA to community-engaged courses to assist with the coordination and monitoring of student work with community partners,
 - Permit the assignment of TAs for community-engaged courses at a lower enrollment threshold than a regular course
 - Attach a lab and/or some sort of additional course credit for teaching a community-engaged course in recognition for the extra work it requires

Recommendations and Next Steps

As we conclude a year-long effort to research best practices and listen to UCLA’s engaged scholars, we are motivated by the voices we have heard from through this process. Faculty, leaders in the higher education and community engagement realm, and colleagues from other universities are striving to make academic research relevant to the public and in specific community contexts. Given the centrality of UCLA’s public mission, it is critical that UCLA modify its internal structures to unleash the faculty’s potential for innovation, creativity, and critical research to address urgent challenges. As things stand, the incentive and reward structures built into the current academic personnel review push faculty *away* from the kind of engaged scholarship which so many want to do. The pressure for faculty to conform and the lack of authentic recognition for engaged scholarship stifles the innovative and transformative public impact UCLA could and should have.

UCLA is poised to take a significant step to advance the systemic conditions that would support engaged scholarship by recognizing such work as scholarship *within the research and teaching categories* for academic personnel review and by establishing criteria and guidelines for such review. In doing so, UCLA would be fulfilling a key recommendation contained in the 2017 Civic Engagement Task Force Report, reinforced by its inclusion in the 2020 Strategic Priorities

for Global and Local Engagement. Additionally, UCLA would be meeting the external review expectations set forth in the reclassification notification letter from the 2015 Carnegie Classification for Community Engagement. UCLA will be expected to report on progress recognizing and evaluating community-engaged scholarship in the next cycle, beginning in 2023.

Based on the models, best practices and insights derived from a year-long survey of the field nationally and interviews with UCLA faculty, the Center for Community Engagement recommends that UCLA adopt a combination of the “Continuum of Scholarship” model along with the “Decentralized Criteria within an Institutional Framework.” The former unequivocally recognizes that diverse types of scholarship count, and the latter would allow UCLA’s diverse schools and divisions to articulate criteria relevant to their specific fields within the broad commitment to engaged scholarship enacted by the Academic Senate. We specifically do *not* recommend the “Opt-In Supplemental Review” model as it perpetuates the double-work experience that engaged scholars currently experience.

There are several next steps we recommend for consideration (suggested responsible units are noted in parentheses):

University-level policy and practices:

- 1. Broadly disseminate this report to UCLA faculty** (Academic Senate, Vice Chancellor for Academic Personnel, Committee on Academic Personnel, Deans, Center for Community Engagement)
- 2. Appoint a Committee on Community-Engaged Scholarship to guide the establishment of Academic Senate policy and guidelines for reviewing community-engaged scholarship** (Vice Chancellor for Academic Personnel, Academic Senate). This committee would be charged with:
 - c. Review and adopt the UC Berkeley statement recognizing engaged scholarship and guidelines for review, or craft a variation thereof or a newly developed statement particularly suited to UCLA) (Academic Senate)
 - d. Institute an annual workshop for new Committee on Academic Personnel members to familiarize them with the principles and practices of engaged scholarship, as well as criteria for review of excellence and impact (Committee on Academic Personnel, with support from Center for Community Engagement)

Division/School-level policy and practices:

- 1. Convene information sessions across each school and division** to both answer questions and to gather further input to guide the establishment of Academic Senate policy and guidelines for reviewing community-engaged scholarship (Deans, committee

to be appointed by Academic Senate/Vice Chancellor for Academic Personnel, with support from the Center for Community Engagement)

2. **Appoint a Committee of Engaged Scholars within each school/division** to formulate appropriate criteria for evaluating excellence and impact of community-engaged scholarship in research and teaching (Deans)
3. **Encourage all UCLA community-engaged scholars to utilize [UCLA Collaboratory](#)** to record and track their record of public-facing and community-engaged work as part of developing their dossiers of community-engaged scholarship (Deans, with orientation, training and support to faculty provided by the Center for Community Engagement)

Department-level policy and practices:

1. **Convene working groups to formulate review criteria appropriate to specific departmental-level review of community-engaged scholarship** (Department chairs, supported by the Deans and Center for Community Engagement)
2. **Assign mentors** to pre-tenure community-engaged scholars (Department chairs)

The Center for Community Engagement will continue to roll out resources and provide support to faculty related to tenure and promotion, including but not limited to:

- Build on CCE's newly formed [Affiliated Faculty Network](#) (AFN) to:
 - Foster an engaged writing group to support faculty, in part to help them make their engaged scholarship more legible
 - Train and support in letter writing and dossier formation, including guidance on peer letter from community partners or public stakeholders
- Through our longstanding [Community-Engaged Pedagogy Workshop Series](#), offer workshops focused on:
 - Engaged pedagogy, such as teaching a community-engaged course at scale
 - Nurturing letter writing and dossier formation, including guidance on peer letter from community partners or public stakeholders
 - How to cultivate connections between EDI and engaged teaching and/or research
- Support faculty (and units) across campus to identify and create synergies between EDI and their engaged research and/or teaching
- Utilize the Center's website as a platform to provide greater visibility for engaged scholarship, including publications and other media

In addition, the Center for Community Engagement will seek to identify new resources to undertake the following, in collaboration with appropriate campus leaders and units:

- Collaborate with deans and department chairs to:

- Encourage engaged scholarship among faculty in their schools/divisions and departments
- Bring attention to engaged scholarship in new faculty orientations
- Establish a network of engaged scholarship advisors to assist with evaluations at the departmental level
- Secure additional funding resources to support costs associated with community-engaged courses and incentivize engaged research
- Collaborate with the Office of the Vice Chancellor for Equity, Diversity, and Inclusion to build connections between EDI and engaged scholarship

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Appendix I. Methodology for this report

In accordance with the UCLA Global and Local Engagement Strategic Priorities (2020), the Center for Community Engagement initiated a process to explore the best options for establishing engaged research and teaching as a meaningful criterion in faculty academic personnel reviews. Below we describe the methods for the first year of this process (Academic Year 2020-2021), where we focused on a review of the literature, gathering evidence from peer institutions and disciplinary associations, and initiating conversations with UCLA faculty.

Data Collection

Collecting policy guidance, best practices, and models

Disciplinary association' guidance around tenure and promotion and community and public engagement can inform faculty within those disciplines, departmental chairs and departments, and larger efforts to change policy at the institutional level (Ellison & Eatman, 2008). To understand how disciplinary associations are approaching public engagement and the relationship to tenure and promotion policies, we undertook a review of related disciplinary associations' guidance. We investigated any guidance offered by disciplinary associations affiliated with the Humanities and Social Sciences. We also asked faculty during our conversations with them if they knew of any disciplinary associations that had guidance related to engagement. We conducted an online search to survey related reports or guidance from disciplinary associations, and then we utilized the key words of name of association + tenure and promotion + public/community-engaged scholarship. We then compiled the results of the search in a spreadsheet, noting the name plus link if such guidance existed for later analysis or marking if none such guidance was found. Some of the disciplinary association materials that were evaluated include the Modern Languages Association, American Historical Association, American Anthropological Association, American Sociological Association and more. Based on conversations with faculty in the Life Sciences and Physical Sciences, to their knowledge there were no disciplinary associations that have guidance pertaining to community/public engagement.

To gather best practices and models from peer institutions, we conducted outreach to peer institutions via a Campus Compact [TRUCEN](#) (The Research University Civic Engagement Network) list-serve request. Our request sought for peer universities to share any links, documents, or information on tenure and promotion policies regarding publicly engaged scholars and their adoption. Some of the universities that responded to this request include University of Wisconsin, University of Minnesota, and the University of Richmond. As described earlier in this report, some peers have developed formal processes and others are in process.

As a part of [Campus Compact's TRUCEN](#) (The Research University Community Engagement Network), UCLA proposed and convened a sustained conversation group to explore ways to approach tenure and promotion policy that recognizes community engagement in and across research, teaching, and service. The goals of this conversation group were to share best practices and approaches with peer institutions, create opportunities to learn from peer institutions, and develop accessible ways of sharing resources, knowledge and lessons learned. Our conversation group started with ten members in January of 2021 and grew to 20 members by April 2021, with all original participants remaining as active participants.¹⁶ In June 2021, the group presented at the [2021 Annual TRUCEN National Conference](#), sharing what they learned from the exchange, presenting case studies across peer institutions, and proposing next steps. One of the group's proposed next steps is to form a *National Learning Community on Promotion and Tenure for Engaged Scholarship (NLC-PTES)*.

In August 2021, we obtained the Carnegie Foundation's Community Engagement Classification Dataset. This dataset will allow us to learn more about the tenure and promotion policies and practices of institutions applying for the Carnegie Foundation's Elective Classification for Community Engagement.¹⁷ This past academic year, Carnegie Foundation's Community Engagement Classification was in transition from Brown University to Albion College, so one limitation of this effort was the delay we experienced in receiving the data because of this transition. We will be working with colleagues at the University of Michigan to analyze this dataset in terms of tenure and promotion practices at other classified institutions.

We also reached out to leaders in the public/civic/community engagement field, including Kal Alston of Syracuse University, John Saltmarsh of University of Massachusetts, Boston, Emily Janke of University of North Carolina, Greensboro, and Michael Rios of UC Davis, to obtain their perspective on what has worked and what has not worked in their process to advance recognition of engaged scholarship in tenure and promotion policies in their institutions and at others.

Facilitating faculty conversations

Based on the best practices from peer institutions and community and public engagement networks, an important step in considering how to recognize public engagement in tenure and promotion is to have conversations with faculty to listen and better understand their experiences

¹⁶ Shalom Staub, UCLA, co-convenor, Bemmy Maharramli, UCLA, co-convenor, Walid Afifi, UC Santa Barbara, Neeraja Aravamudan, Michigan, Lynn Blanchard, UNC-Chapel Hill, Violla Hartfield-Mendez, Emory, Tessa Hill, UC Davis, Richard Kiely, Cornell, Regina Langhout, UC Santa Cruz, Jay Levine, NC State, Rebecca London, UC Santa Cruz, Agnieszka Nance, Tulane, Emily Ozer, UC Berkeley, Julie Plaut, Brown, Michael Rios, UC Davis, Emily Rountree, University of Kansas, Bridget Smith, Tulane, Marieka Schotland, UC Berkeley, Susan Stone, UC Berkeley, Kristen Wright, George Mason

¹⁷ There are currently 361 U.S. colleges and universities with the elective Community Engagement Classification, including UCLA, UC Davis and UC Merced (<https://www.brown.edu/swearer/carnegie>)

in situating and navigating their engaged scholarship in their academic personal reviews. The goal of our conversations was to learn more about their experiences navigating tenure and promotion processes in relationship to community-engaged scholarship and to gain a better understanding about how engaged scholarship is valued and evaluated in their discipline and department. The rich, in-depth data from the conversations was important for us to better understand the experiences of UCLA faculty, compare, and contrast similarities and differences, anonymously share with colleagues to illustrate the importance and practices of engaged scholarship, identify faculty colleagues that can be part of our process going, and inform our recommendations.

Together with the Deans of the UCLA College and with the support of the Academic Senate's Council on Academic Personnel, we facilitated conversations with 50 faculty, across ranks and departments. The Center compiled an initial list of faculty to share with the Deans of the UCLA College (with the exception of physical sciences, we invited the Dean to invite people they recommended), with this list including faculty name, rank and department. This list was based on faculty the Center has worked with, such as on service learning (now community-engaged, or XP, courses) or 195CE courses, faculty that have attended CCE community-engaged pedagogy workshops, faculty that CCE directors have had meetings with, etc. We shared this preliminary list with the Deans for their consideration as they invited and added faculty in their division. Conversations with faculty continued through the spring quarter 2021.

CCE developed a conversation protocol to guide the conversations with faculty. To evaluate the conversation protocol, in the fall quarter we piloted a series of one-on-one conversations (via Zoom due to the COVID-19 pandemic) with faculty that have a history of working with the Center, specifically the Community Engagement and Social Change minor Faculty Advisory Committee members and Chancellor's Awardees for Community-Engaged Scholarship, etc. We refined the conversation guide after these preliminary conversations and then began to hold a series of individual conversations with the faculty as invited by each of the Deans of the College. We sought at least 12 faculty members from each division of the College, with four each at the ranks of assistant, associate, and full professors and across a broad distribution of departments.

We sought verbal consent to audio-record the one-on-one conversations. The CCE Director that facilitated the conversations explained to the participant that their privacy and confidentiality would be protected, and information always managed securely. We also reassured them that at any time during the conversation they could ask for the audio-recording to pause or stop. In addition to audio-recording the conversations, with the permission of the faculty, detailed notes of the conversation were taken.

Data Analysis

Once broad themes begin to emerge, we drafted initial findings as an analytical tool, iteratively interacting back and forth between the data and literature. We took and then summarized notes from conversations from disciplinary associations, thought leaders, and colleagues at peer institutions for analysis. We analyzed the content in terms of:

- Relationships between scholarship and (civic, community, critical, and/or public) engagement (e.g., recognition of their integration)
- Challenges and opportunities for community-engaged scholarship
- Guidance around tenure and promotion recognition for, and review of community-engaged scholarship

In the spring of 2021, we completed faculty conversations and began data analysis. We completed the draft report in July 2021. We solicited comments from the Center's Faculty Advisory Committee, other faculty of the College, and Deans of the College to finalize this document.

Appendix II. UC Berkeley's Community-Engaged Research Assessment and Guidance

Assessing the Research Record

The APM states that the record should be evaluated and not merely enumerated: “There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance” (APM 210-1-d-2).

Levels of assessment. Although they are not required to do so, candidates are encouraged to upload into APBears a self-statement that includes a summary of the results of their research during the review period, indicating where they believe the quality and significance of their work lie. Candidates are especially encouraged to note ways in which their research or creative activities contribute to the University's mission with respect to diversity and equal opportunity, as detailed

in APM 210-1-d. Department-level review provides the primary source of assessment that is informed by those with disciplinary expertise. Broader perspective may be provided by reviews carried out by deans, campus ad hoc review committees, the Senate's Budget Committee, and central administrators. See review paths.

Indices of quality. Information about such indices can be helpful to reviewers who are not themselves in the field. Indices will vary from field to field, but they may include prizes, fellowships, awards, and the like; numerical indices of impact, such as citation counts; or information about the selectivity and reputation of venues of publication, exhibition, or performance. These indices will be more likely to carry weight when reasons are given for taking them to be important.

Quality and quantity. It is usually easy to document the quantity of research a faculty member has carried out during a review period and harder to provide an assessment of the quality of the research carried out. Efforts should be made at every level of review to assess quality in addition to documenting quantity. A large number of so-so articles may be less meritorious than a small number of superb articles. Assessments of quality would answer such questions as these: What new knowledge or understanding has the faculty member's research created? What important questions has the faculty member's research posed or answered? Are the research contributions original? Did the faculty member's work include a solution to an especially difficult technical or methodological challenge? Is the faculty member's developing body of work making a significant difference to the shape or direction of the field?

Creative achievements. Assessment of records that include creative accomplishments (e.g., musical compositions, buildings or building designs, paintings) can be particularly challenging to

assess in an academic context. Berkeley has issued guidelines for assessing creative accomplishment to assist faculty members, chairs, and others involved in the review process.

Community-Engaged Research. Assessment of records that include community-engaged research (e.g., partnerships with non-academic entities that work in the public interest) can sometimes be challenging to assess in an academic context. Berkeley has issued guidelines for assessing community-engaged research to assist faculty members, chairs, and others involved in the review process.

Contributions to diversity and equal opportunity. Per APM 210-1-d, contributions to diversity and equal opportunity should be noted and assessed. As examples of possible contributions are

Research focused on underserved communities or addressing disparities. Research that addresses the needs of California’s diverse population.

Promoting and being accountable for inclusive, equitable, and respectful collaboration in research environments.

Here is what faculty see when they click on the Community-Engaged Research link:

Assessing Community-Engaged Research

January 2021

These guidelines frame some principles on the assessment and crediting of research projects that involve partnerships with non-academic entities that work in the public interest (“agencies”).

Many faculty who pursue this kind of research publish peer- and non-peer-reviewed articles, chapters, or monographs that draw on and disseminate the findings of their community partnerships. These publications are credited in the same way as any other publications.

The campus’s current practice is to credit policy papers, reports, and other such documents as research. The campus considers such material to be “published” if it has been submitted to an agency, provided it is generally accessible to the public. This accessibility condition is met if the agency publishes or otherwise disseminates the material or, if the agency does not, the candidate makes it available broadly. Such publications will normally be treated as non-peer-reviewed unless there is a formal vetting process by the agency (this should be described); nevertheless, such publications can and will be credited if the Chair and/or Dean presenting the case provides an assessment of the work’s status, importance, and impact. When the work is a contribution to equal opportunity, diversity, equity, and inclusion, this should be noted, as stipulated in Section 210–1d of the Academic Personnel Manual.

In assessing the work, it will be critical to understand how the work has shaped policy or changed practices (or what its potential to do so is). Such an assessment is essential to reviewers' ability to award fair credit. If the research undertaken did not bring about any such concrete changes nor is it likely to do so in the future, the work may nevertheless be of value if it advances knowledge; in such cases, an assessment of how knowledge was advanced will be critical.

In situations where a faculty member has served as an advisor or expert consultant to a governmental agency or a non-profit, but that engagement has not resulted in any written document, campus practice is to credit such engagement as service. That noted, there may be instances in which such engagements can be credited as research, if they meet some basic minimum criteria for dissemination and influence:

1. To be considered as research rather than service, outcomes (findings, analyses, conclusions, etc.) must be communicated in some form that has permanence and is accessible to the public beyond the immediate sphere of the candidate and the agency for which the work was performed.
2. To be considered as research rather than service, work must be cast in a form that can be disseminated beyond the first-hand, in-person encounters between the researcher and the main research partners. In other words, research must be presented in a form that can have influence beyond its immediate context.

According to these criteria, documents such as policy reports, development plans, and apps can be credited as research, as long as the importance and influence of the work is explained and assessed by the Chair and/or Dean, as well as subsequent reviewers. Oral communications, such as presentations to public bodies or viva voce consultations with a non-profit, are generally not to be credited as research in the absence of written documentation and/or clear evidence of impact.

Appendix III. University of Minnesota Assessment of Community-Engaged Scholarship

Public Engagement at the University of Minnesota Defined:

Public engagement is the partnership of University knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity; enhance curriculum, teaching, and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good.

Publicly Engaged Scholarship—many models all encompass work that demonstrate a **high-level commitment to academic scholarship and collaborative inquiry and positively impact the public good**. Hanover Research (2018, April), *Publicly engaged scholarship frameworks*, p, 6

Characteristics of engaged scholarship

Engaged scholarship has several attributes that may distinguish it from traditional scholarship:

- 1) Products are often published in both traditional disciplinary outlets and non-traditional venues.
- 2) The work is often multi-disciplinary.
- 3) Scholarly products often include multiple co-authors, including community partners who contribute to the work in significant ways.
- 4) The work often integrates research, teaching, and service in a way that makes it difficult to compartmentalize into a single category (e.g., teaching, research, service).
- 5) The work requires significant relationship-building with external partners to maximize its quality and impact.

In applying the [following criteria](#), the Review Committee is mindful of the variation in contexts, the breadth of faculty work, and departmental promotion and tenure guidelines.

April 4, 2022

Kathy Komar
Interim Vice Provost for Academic Personnel

Re: "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report

Dear Vice Provost Komar,

At its meeting on March 24, 2022, the Executive Board reviewed your response to our January 10, 2022, letter on the "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report. Members unanimously approved a motion to ask you to provide specific answers to our questions.

We appreciate that the Academic Personnel Office has worked to mitigate COVID-19 impacts on faculty. Executive Board members request" 1) clarification as to the extent to which the policies summarized in the report are in place on our campus; 2) answers to the questions in the attached letter from the Faculty Welfare Committee; and 3) a description of the efforts by the Academic Personnel Office to inform faculty of their options and the implications of their choices.

Further, members endorsed the idea of an information blast/video about COVID-19 personal impact statements.

Finally, members were concerned that this important report be distributed to all faculty. Can you assure us that this will be done as soon as possible?

We look forward to receiving your detailed and direct responses in order to better understand the campus approach to mitigation measures and to tenure and promotion during the pandemic.

Sincerely,

Jessica Cattelino
Chair, UCLA Academic Senate

Encl.

Cc: Erika Chau, Assistant Vice Chancellor, Academic Personnel
April de Stefano, Executive Director, UCLA Academic Senate
Lori Ishimaru, Senior Policy Analyst, UCLA Academic Senate
Catia Sternini, Chair, Council on Academic Personnel
Shane White, Immediate Past Chair, UCLA Academic Senate

February 24, 2022

Jody Kreiman, Chair
Academic Senate

Re: "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report

Dear Chair Kreiman,

At its meetings on January 25, February 1, and February 15, 2022, the Council on Academic Personnel (CAP) had opportunities to discuss the Executive Board's request to respond to the "Mitigating COVID-19 Impacts on Faculty" Working Group preliminary report.

On January 8, 2021, the Academic Personnel Office (APO) provided guidance to deans, chairs, and faculty on the inclusion of a [Pandemic Impact Statement](#) (as a stand-alone item or integrated into the Self-Statement) in advancement files. This statement is used to describe significant disruptions faculty experienced due to the COVID-19 pandemic, and may include information on the challenges they faced and how they rose to the challenge. All faculty may submit a statement to include in their file even if the file has already been prepared and even if it is in process and has been partially reviewed.

CAP is committed to its charge of maintaining standards and equity across the campus, and is supportive of achievement relative to opportunity (ARO) principles. As stated in the Academic Council's recommendations, "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." However, CAP's ability to holistically review candidates is limited by the materials submitted in their dossiers. CAP members noted that few cases in the last year have included a Pandemic Impact Statement or explicitly addressed in a systematic and meaningful manner COVID-19 impacts in the Self-Statement to explain in detail how COVID-19 has reduced the candidate's ability to perform at the expected level for the specific action under consideration.

CAP recommends adversely affected faculty include a detailed and specific Pandemic Impact Statement in their submissions. CAP is supportive of UCAP's recommendation for the Academic Personnel Office (IVPAP Kathleen Komar) to use video or Zoom to disseminate the aforementioned Pandemic Impact Statement guidance from APO directly to faculty, in a format that allows dynamic interaction and immediate response to questions.

All current year cases are expected to be assembled per current procedures (i.e., with the option to include a Pandemic Impact Statement). Faculty continue to have the opportunity to submit a statement even if their file is already under review. If files do not adequately address COVID-19 impacts, CAP may

reconsider the case based on supplemental information provided by the department or the candidate relating to COVID-19 impacts.

Lastly, the systemic inequities most often felt by women and underrepresented groups will continue to be felt even after COVID-19. CAP suggests expanding the use of the Personal Statement to include future extenuating circumstances in the interim, but strongly recommends systemwide reassessment to correct these inequities at their source.

If you have any questions for us, please do not hesitate to contact me at csternin@ucla.edu or via the Council's analyst, Lori Ishimaru, at lishimaru@senate.ucla.edu.

Sincerely,



Catia Sternini, Chair
Council on Academic Personnel

cc: Jessica Cattelino, Vice Chair/Chair-Elect, Academic Senate
Shane White, Immediate Past Chair, Academic Senate
April de Stefano, Executive Director, Academic Senate
Lori Ishimaru, Senior Policy Analyst, Academic Senate
Members of the Council on Academic Personnel

November 19, 2021

To: Jody Kreiman, Chair
Academic Senate

From: Carson T. Schutze, Chair
Faculty Welfare Committee

Re: Reaction to Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report

Dear Chair Kreiman,

At its meeting on November 15, 2021, the Faculty Welfare Committee (FWC) reviewed and discussed the Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report. Members offered the following comments.

The FWC encourages Senate leadership to request that the Council on Academic Personnel and the Interim Vice Provost for Academic Personnel issue official statements as soon as possible concerning whether and how they intend to follow MCIF-WG Recommendation Two concerning Academic Review and Appraisal: File Submission & Review. We hope these statements will address all aspects of the recommendations, but especially:

- Are they committed to the principles of assessing “Achievement Relative to Opportunities”?
- Do they intend to make a blanket recommendation of “Option A” vs. “Option B” (pp. 16–17) for the entire campus or will they leave this decision up to individual units and/or faculty?
- Given the timing of the issuance of these guidelines, how do they plan to handle this year’s cases already in the pipeline? In particular, how will they ensure fair treatment of all cases, given potential disparities in what candidates may (not) have been told about COVID-19 impact statements, what external reviewers may (not) have been told about the impact of campus restrictions on candidates’ research, whether candidates may (not) have been advised that they could defer submission with(out) various consequences, etc.?

Thank you for your consideration of FWC’s recommendations.

cc: Jessica Cattelino, Vice Chair/Chair-Elect, Academic Senate
April de Stefano, Executive Director, Academic Senate
Elizabeth Feller, Assistant Director, Academic Senate

Shane White, Immediate Past Chair, Academic Senate
Members of the Faculty Welfare Committee

January 10, 2021

Kathy Komar
Interim Vice Provost for Academic Personnel

Catia Sternini
Chair, Council on Academic Personnel

Re: "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report

Dear Vice Provost Komar and Chair Sternini,

The Executive Board reviewed the "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report at its meeting on January 6, 2022.

Executive Board members voted unanimously in favor of this letter to both of you requesting clarification as to the extent to which the policies summarized in the report are in place on our campus. Further, members asked for the Academic Personnel Office to respond to the questions in the attached letter from the Faculty Welfare Committee as well as to describe its efforts to inform faculty of their options and the implications of the choices they make.

We look forward to receiving your responses in order to better understand the campus approach to mitigation measures and to tenure and promotion during the pandemic.

Sincerely,



Jody Kreiman
Chair
UCLA Academic Senate

Encl.

Cc: Jessica Cattelino, Vice Chair/Chair Elect, UCLA Academic Senate
April de Stefano, Executive Director, UCLA Academic Senate
Lori Ishimaru, Senior Policy Analyst, UCLA Academic Senate
Shane White, Immediate Past Chair, UCLA Academic Senate

From: Komar, Kathy

Sent: Tuesday, March 1, 2022 10:24 AM

To: Cattelino, Jessica <jcattelino@senate.ucla.edu>; White, Shane <swhite@senate.ucla.edu>; de Stefano, April <adestefano@senate.ucla.edu>; Komar, Kathy <kkomar@conet.ucla.edu>

Cc: Chau, Erika <echau@conet.ucla.edu>

Subject: FW: Academic Senate Response: "Mitigating COVID-19 Impacts on Faculty" Working Group Preliminary Report

Dear Colleagues,

Academic Personnel notified the campus that assistant professors have an additional year of time off the clock (in addition to the two years they can request for child/elder care and other issues) if they want to use it. Additionally, we have featured this opportunity at several meetings we held for assistant and early associate candidates. We also recommended statements of the impact of COVID on a candidates research in all dossiers and encouraged departments to take these statements seriously when evaluating a candidates accomplishments. It is impossible, however, to dictate exactly what this should look like in the variety of departments that we have. We have encouraged all departments to consider differences in COVID impact among their faculty. We have not seen any significant change in the numbers of faculty members who are being promoted or receiving merit increases.

The senate might consider helping departments understand the significance of COVID in various disciplines. But we believe that only departments can have a sense of how COVID impacts their discipline (archaeology versus theoretical mathematics, for example). Option B of the report (p. 16) suggests quantifying this centrally, but that does not seem possible given the variations in our many departments.

Finally, the IVP has spoken with CAP at their regular meetings about the importance of taking COVID impacts into consideration when they evaluate files. And we believe that they are conscientiously doing so. CAP is, however, a senate faculty committee, and the senate might consider a meeting between the senate leadership and CAP to emphasize this issue if they feel that would help reinforce the point.

As for financial support, we attach a summary of the funds provided for COVID relief by the VC of personnel and the VC of research. We note also that IEVCP Mike Levine served on the workgroup that produced the report. I am also participating at a townhall this week (with the senate Vice Chair and the VC of Research) to address questions and concerns regarding COVID impacts and research.

Sincerely,
Kathy Komar

PANDEMIC RELIEF RESEARCH FUNDS 2022

School/Division and Department	Female	Male	Total faculty
College			
Division of Humanities	10	8	18
Asian Languages and Cultures	2	0	2
Classics	2	1	3
English	1	1	2
European Languages and Transcultural Studies	1	1	2
Linguistics	1	3	4
Near Eastern Languages and Cultures	1	2	3
Spanish and Portuguese	2	0	2
Division of Life Sciences	8	7	15
Ecology and Evolutionary Biology	1	1	2
Molecular, Cell and Developmental Biology	1	2	3
Psychology	6	4	10
Division of Physical Sciences	2	8	10
Atmospheric and Oceanic Sciences	0	1	1
Chemistry and Biochemistry	0	1	1
Earth, Planetary, & Space Sciences	1	0	1
Physics and Astronomy	1	6	7
Division of Social Sciences	7	9	16
African American Studies	0	1	1
Anthropology	2	2	4
Chicana/o Studies	1	0	1
Communication	1	0	1
Economics	0	3	3
Gender Studies	1	1	2

Political Science	0	2	2
Sociology	2	0	2
School of Dentistry	1	0	1
School of Education and Information Studies	2	0	2
Education	2	0	2
School of Engineering	5	16	21
Bioengineering	0	3	3
Chemical & Biomolecular Engineering	1	3	4
Civil and Environmental Engineering	1	1	2
Computer Science	2	3	5
Electrical and Computer Engineering	0	2	2
Materials Science and Engineering	0	1	1
Mechanical & Aerospace Engineering	1	3	4
School of Managemnt	8	4	12
School of Medicine	7	16	23
Anesthesiology		1	1
Biological Chemistry	0	1	1
Head and Neck Surgery	0	2	2
Medicine Dept,	0	2	2
Microbiology, Immunology and Molecular Genetics	0	1	1
Molecular and Medical Pharmacology	0	1	1
Neurology	1	4	5
Neurosurgery	0	1	1
Ophthalmology	0	2	2
Pediatrics	1	0	1
Physiology	2	0	2
Psychiatry and Biobehavioral Sciences	2	1	3

Urology	1	0	1
School of Music	0	1	1
School of Nursing	4	0	4
School of Public Affairs	9	4	13
Public Policy	1	2	3
Social Welfare	4	2	6
Urban Planning	4	0	4
School of Public Health	3	1	4
Biostatistics	0	1	1
Community Health Sciences	1	0	1
Environmental Health Sciences	1	0	1
Epidemiology	1	0	1
School of the Arts and Architecture	2	2	4
Art	1	1	2
Design Media Arts	1	0	1
World Arts and Cultures/Dance	0	1	1
School of Theater, Film, & Television	3	2	5
Film, Television and Digital Media	1	1	2
Theater	2	1	3



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

October 25, 2021

CHANCELLORS
EXECUTIVE VICE CHANCELLORS/PROVOSTS

Dear Colleagues:

Enclosed please find the first of two reports from the joint Academic Senate-Administration working group on mitigating the impact of COVID-19 on faculty. I convened the working group this past April at the request of President Michael V. Drake in response to Academic Council recommendations from January 2021 on mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities.

The intent of this first report, and of the work group's phased approach overall, is to prioritize recommendations that campuses can implement in the immediate and near term. These recommendations are informed by an assessment of work that has already been done across the UC and the work group's consensus on the most acute impacts to faculty. They address the three recommendations ranked as the highest priority by the working group from the Academic Council's fifteen recommendations. These relate to holistic academic review and appraisal, research recovery funding, and campus-level funding for approved teaching duty modifications. The working group will continue its work to address the additional recommendations in detail in its second report, expected in spring 2022.

This report provides campuses with the autonomy to determine the level of this investment or whether a given option needs further customization to meet the needs of the campus. Some investments may be needed to meaningfully implement some of these recommendations and different campuses may have already implemented some of them. As you review the recommendations, I encourage you to consider the return on that investment. Faculty outcomes are central to the University's mission; implementing these measures will both positively impact the excellence and diversity of your academic personnel, benefitting your campus and the system as a whole.

Please share these recommendations with your academic departments, schools, and academic personnel reviewing bodies for their consideration, especially given the upcoming cycle of reviews. If you have any comments or feedback, please send them to my executive assistant at aimee.chang@ucop.edu.

Sincerely,

Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

October 25, 2021

Page 2

Attachment

cc: President Drake
Academic Council Chair Horwitz
Academic Council Vice Chair Cochran
Vice Provost Carlson
Vice Chancellors/Vice Provosts for Academic Personnel
Mitigating Impacts of COVID-19 on Faculty working group members
Executive Director Baxter

Mitigating COVID-19 Impacts on Faculty Working Group Preliminary Report

First of Two Phases, Summer 2021

Executive Summary

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

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

Highest Priority Academic Council Recommendations

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

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

MCIF-WG Recommendations Developed in Response to AC Recommendations

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

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

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

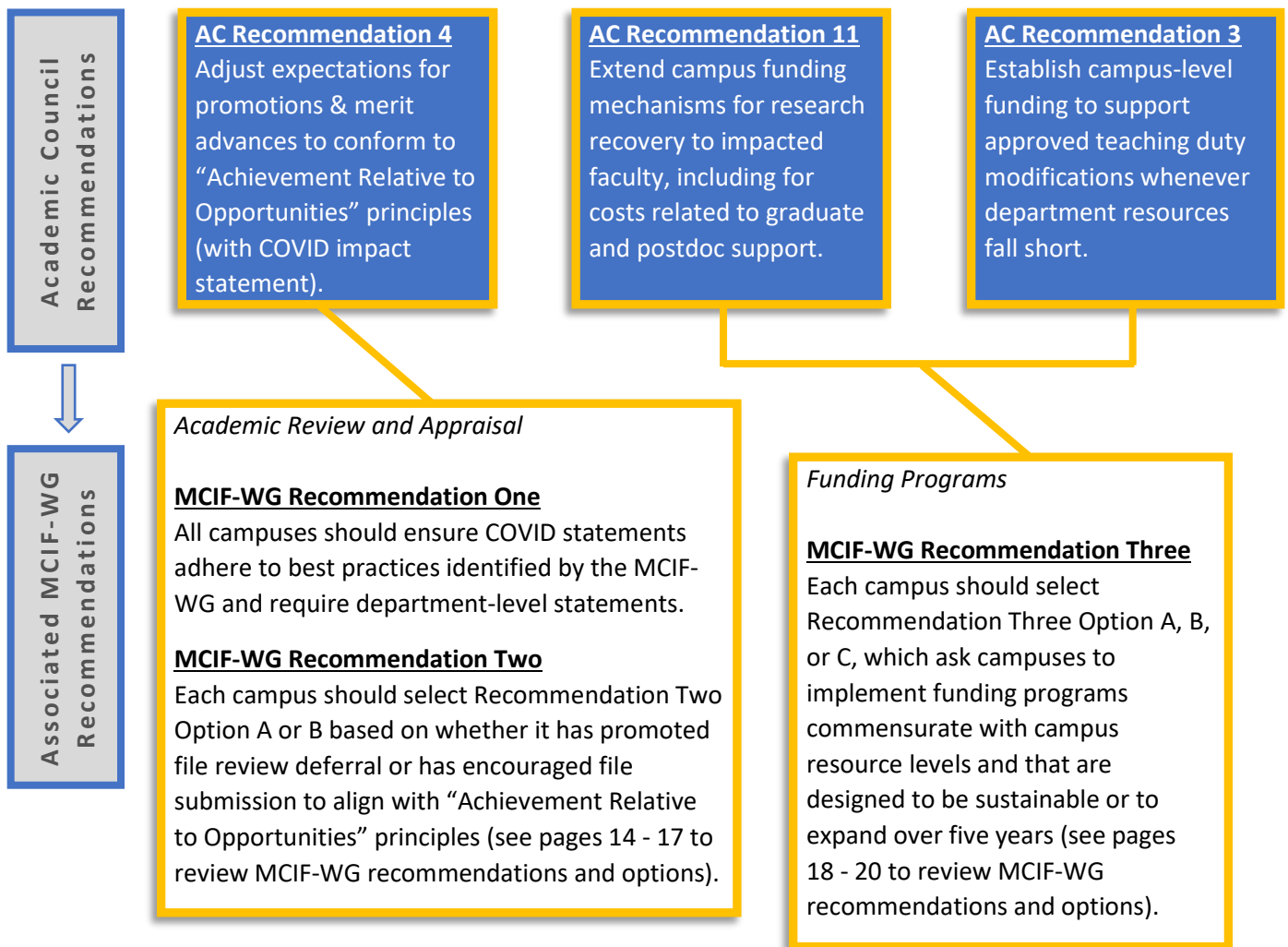
MCIF-WG Recommendation Three seeks to address AC recommendation numbers eleven and three. It asks campuses to implement funding programs for research recovery (including larger and smaller scale research activities) and to provide campus-level funding for approved teaching duty modifications that can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

Conclusion

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

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

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



I. Introduction

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

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

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

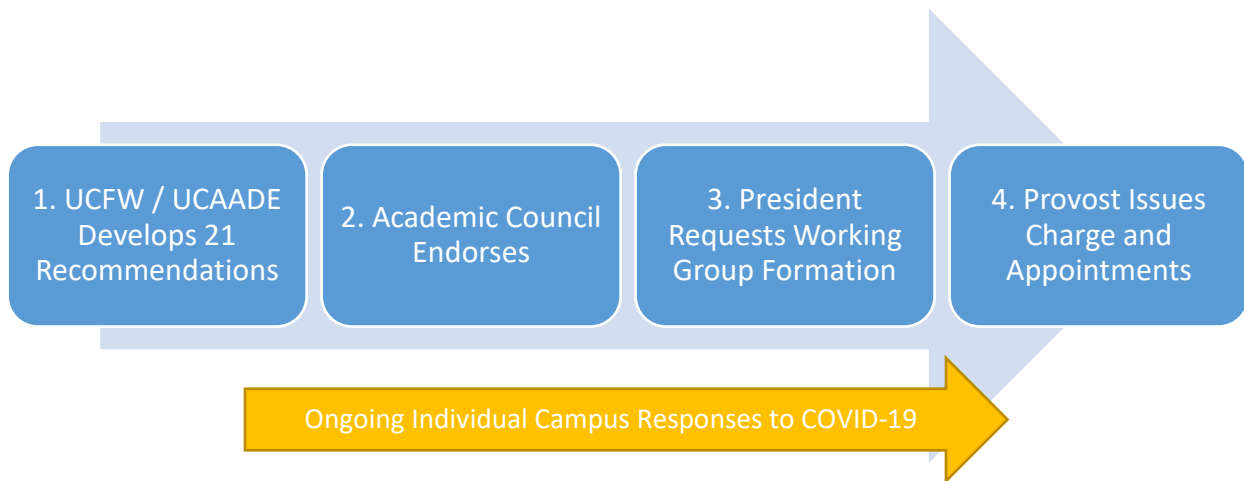
One of these service initiatives began in 2020, led by the University Committees on Faculty Welfare (UCFW) and on Affirmative Action, Diversity and Equity (UCAADE). These Committees, chaired by Shelley Halpain and Javier Arsuaga, respectively, recognized early that any impact COVID-19 would have on faculty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

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

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

II. Background

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



The Charge

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

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

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

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

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

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

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

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

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

Methodology

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

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

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

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

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

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

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

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

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

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

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

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

Review of Highest Priority AC Recommendations

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

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

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

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

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

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

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

System and Campus Actions on Highest Priority AC Recommendations

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

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

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

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

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

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

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

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

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

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

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

III. MCIF-WG Recommendations in Response to AC Recommendations

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

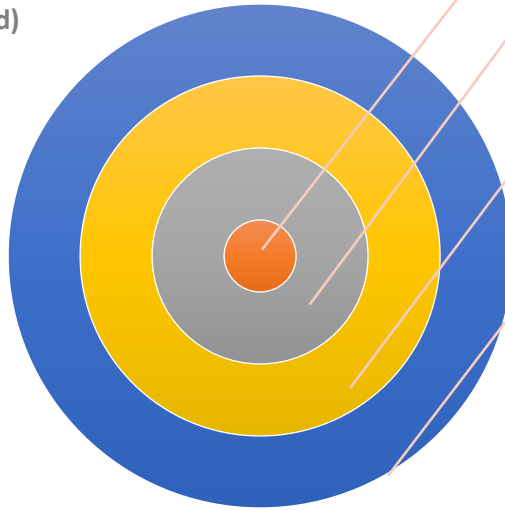
In this context, the WG reviewed the AC recommendations with an eye toward developing recommendations in response that would provide campuses with flexibility, increase equity across the system, and offer meaningful solutions in areas where faculty have expressed the most concern. In this first stage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

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

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

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

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



1. Retroactive pay

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

2. Need-based grant program

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

3. Application-based program

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

4. Expanded programs

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

Pandemic Sabbatical Credit Program

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

MCIF Working Group Recommendations

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

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

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

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

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

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

MCIF-WG Recommendation One

Academic Review and Appraisal: COVID Impact Statements

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

MCIF-WG recommends the following actions:

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

MCIF-WG Recommendation One

Academic Review and Appraisal: COVID Impact Statements

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

(continued from page 14)

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

Considerations

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

MCIF-WG Recommendation Two

Academic Review and Appraisal: File Submission & Review

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

Recommendation Two: Option A

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

MCIF-WG recommends the following actions:

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

Recommendation Two: Option B

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

MCIF-WG recommends the following actions:

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

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

MCIF-WG Recommendation Two

Academic Review and Appraisal: File Submission & Review

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

Recommendation Two: Option A

(Continued from page 16)

Considerations

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

Recommendation Two: Option B

(Continued from page 16)

Considerations

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

MCIF-WG Recommendation Three

Funding Programs

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

Recommendation Three: Option A

Scenario: Campus resources are most constrained

MCIF-WG recommends the following actions:

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

Recommendation Three: Option B

Scenario: Campus resources are moderately constrained

MCIF-WG recommends the following actions:

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

Recommendation Three: Option C

Scenario: Campus resources are least constrained

MCIF-WG recommends the following actions:

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

MCIF-WG Recommendation Three

Funding Programs

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

Recommendation Three: Option A

(continued from page 18)

Recommendation Three: Option B

(continued from page 18)

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

Recommendation Three: Option C

(continued from page 18)

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

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

Considerations

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

Considerations

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

Considerations

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

MCIF-WG Recommendation Three

Funding Programs

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

Recommendation Three: Option A

(continued from page 19)

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

Recommendation Three: Option B

(continued from page 19)

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

Recommendation Three: Option C

(continued from page 19)

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

IV. Conclusion

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

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

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

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

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