

# Dossier Evaluation

**Bob Gilbertson, Professor of Plant Pathology  
Chair, Committee on Academic Personnel (CAP)  
Oversight Committee  
2019-2020**



# Role and Responsibilities of CAP

- Academic Senate Committee that provides oversight of the personnel process
  - Advise the Vice Provost of Academic Affairs on **all academic personnel actions**, including matters of general policy
  - Appoint Faculty Personnel Committees (FPCs) at the college/school level, in consultation with **Faculty Executive Committees**
  - Evaluate and make recommendations on “**major**” actions: appointments, appraisals, promotions, high-level and 2 step merits (**500-600 per year**)
  - Delegate other merit actions to the FPCs



# CAP Membership

- **Nine members representing major campus units**
  - Appointed to a **1-year terms** by the **Committee on Committees**, with possibility of **reappointment** (~3 new members/year)
  - CAP Members have **prior personnel experience**

College of  
Letters &  
Sciences:  
Social  
Sciences

College of  
Letters &  
Sciences:  
Mathematics &  
Physical Science

College of  
Letters and  
Sciences:  
Humanities  
Arts & Culture

College of  
Biological  
Sciences

College of Ag &  
Environmental  
Sciences

Schools of Law,  
Graduate  
Management,  
Education, Nursing

School of  
Medicine

School of  
Veterinary  
Medicine

College of  
Engineering



# How Does CAP Function?

- Meets **weekly, year-round**
- Reviews 10-20 dossiers/week
  - **Primary reviewer** evaluates and presents case
  - CAP members review, discuss, and vote on each dossier
  - Guided by **criteria in APM 210 and APM 220**
  - CAP recommendation and vote is **communicated to the Vice Provost for Academic Affairs** (Provost in the case of tenure)
  - **CAP Appellate Committee**





# How Does CAP Function?

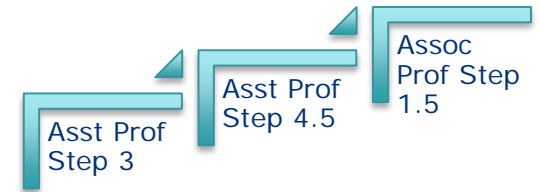
- CAP takes a **holistic view**
  - Doesn't just enumerate accomplishments
- CAP considers **field-specific factors**
  - Expectations vary widely across academic units and should be clearly explained in the dossier (e.g., number of publications expected per year)
- CAP applies **equitable standards across the entire campus**



# How Does CAP Function?

- **Appraisals:** positive/guarded/negative
- **Promotions:** normal time or accelerated (no step-plus)
- **Merits:** evaluated using Step-Plus criteria
  - 1.0 step: expected '**good or strong**' performance in all areas
  - 1.5 steps: **outstanding performance** in one area
  - 2.0 steps: **outstanding performance** in two areas
  - Research, teaching, service, professional/clinical competence\*
- **Equity adjustment:** CAP considers when overall record is consistent with expectations for a higher step

\* mostly relevant to Clinical X series in SOM and SVM



# Elements of a Dossier

- **Dean's Letter**
- **Department Letter**
  - Vote, comments
- **Extramural Letters**
  - Appointments/promotions
  - Arms-length and non-arms-length
- **Candidate Disclosure Form**
- **Candidate Statement**  
(strongly recommended)
- **Diversity Statement**  
(optional)
- **Rebuttal Letter** (if applicable)
- **Action History**





# Elements of a Dossier

## ■ Teaching

- List of **teaching evaluations**
- **Peer review** (promotions)
- Teaching, Advising, Curricular Development-especially **graduate student mentoring**

## ■ Service

- **List of Service** (university & professional)
- **Expectation vary** for Asst/Assoc/Full

## ■ Honors & Awards

## ■ Research & Creative work

- **Publication list** (articles, chapters, books, etc.)
  - **Creative activities** (art, compositions, performances, etc.)
  - **Contributions to Jointly Authored Work**-first/last vs. middle author
  - Development of **independent program** (Asst/Assoc)
  - **Grants & Contracts** (award period, amount, funding agency)
  - **Presentations**
- 



# Preparing Your Dossier

- Focus on the **review period**
- Ensure the information is **current, accurate** and in the **correct category**
- **Errors** compromise credibility
- Work **closely with Department Chair and staff**





# Why a Candidate Statement? (strongly recommended)

- A **focused, clear, and succinct statement** can convey important insights into your work
  - Address your audience: CAP members have diverse backgrounds
- Focus on the **quality and significance** of your work
  - Why is it important? Why is it innovative?
  - Write a narrative, don't reiterate lists and numbers
  - Identify your distinctive role in jointly-authored work
- Be forthright about your **strengths and weaknesses**
  - And the steps that you are taking to address the latter
- Mention any **unusual circumstances** that may have affected performance



# Teaching

- Clear evidence of **high-quality teaching** is an **essential criterion** for appointment, advancement, and promotion
    - **Course load\*, enrollments, evaluations** (quantitative and comments), department averages
    - **Mentoring**
      - Graduate, undergraduate and K-12
      - Other: postdocs, residents, visiting scientists etc.
    - **Curriculum development** (new courses, new materials, new approach, changes in curriculum)
    - **Peer evaluation** of teaching (promotions only)
    - **Candidate statement: philosophy, goals, self-assessment**
    - What constitutes **outstanding teaching**?
- 



# Research and Creative Work

- Evidence the candidate is **continuously and effectively** engaged in creative activity/research of **high quality and significance**
  - **Originality, creativity, scope, and impact** of articles and creative works
  - **Quality** of journals, book publishers, performance venues
  - The **candidate's role in collaborative work**-revealed by **author position** and **role in obtaining funding** (PI vs. co-PI)
  - Is the candidate establishing an **independent research program**?
  - **Appraisals** should include works in-progress to demonstrate trajectory
  - **No single factor makes or breaks a case**, but there must be some **clear evidence of productivity**



# University & Professional Service

- The faculty play an important role in governance of the university and in service to the community, state, nation, and profession
  - **Limited for Assistant Professors**; substantive at higher ranks
  - **University Service:**
    - Department, college, and campus committees; chair of department, grad group, emphasis area; graduate admissions; administration of core facilities
  - **Professional and Public Service**
    - Professional organizations, conference organizer, editorial boards, grant review panels, ad hoc reviews
    - **Membership alone** in a group or organization is NOT service
    - **Keep your service record streamlined and updated**



# Tips for Success



- **Balance is good**
  - Don't focus intensively on one area to the detriment of others
  - Step Plus actions **must first meet expectations of excellence** in all areas of evaluation
- **Collaborative work:** clearly describe your individual contribution, evidence of a leadership role
- **Beware of “predatory” online journals**, both when publishing and when joining editorial boards



# Resources

- Consult with **senior colleagues**, including faculty with **experience on FPC or CAP**
- Read the **evaluation criteria** in APM 210 and 220
- Use **resources available** in Academic Affairs
- **Teaching resources**, e.g., Center for Educational Effectiveness



<http://academicaffairs.ucdavis.edu>

