

Academic Advancement: Dossier Preparation

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Typical Academic Review Process

- Every 2 years until Associate Professor, Step 4.0, you prepare your dossier (every 3 or 4 years thereafter)
- Department colleagues review dossier, vote, and prepare department letter of recommendation for advancement
- Dossier & department letter of recommendation goes to one or more of these entities for further review & recommendations and eventually final decision:
 - Faculty Personnel Committee (FPC) for your College/School
 - Dean of your College/School
 - Committee on Academic Personnel (CAP)
 - VPAA, Provost, Chancellor....

Types & Roles Of Reviewers

▪ **Academic Senate Review and Recommendations**

- Department colleagues
- Your College's Faculty Personnel Committee (FPC)
- Campus-wide Committee on Academic Personnel (CAP)

▪ **Administration Review & Decision**

- Your Dean (if **Redelegated** actions)
- Vice Provost for Academic Affairs (VPAA) or Provost or Chancellor (for **Non-Redelegated** actions)

Dossier Elements That You Prepare

- Research & Creative work
- Teaching
- Service
- Honors & Awards
- Grants & Contracts
- Candidate Statement

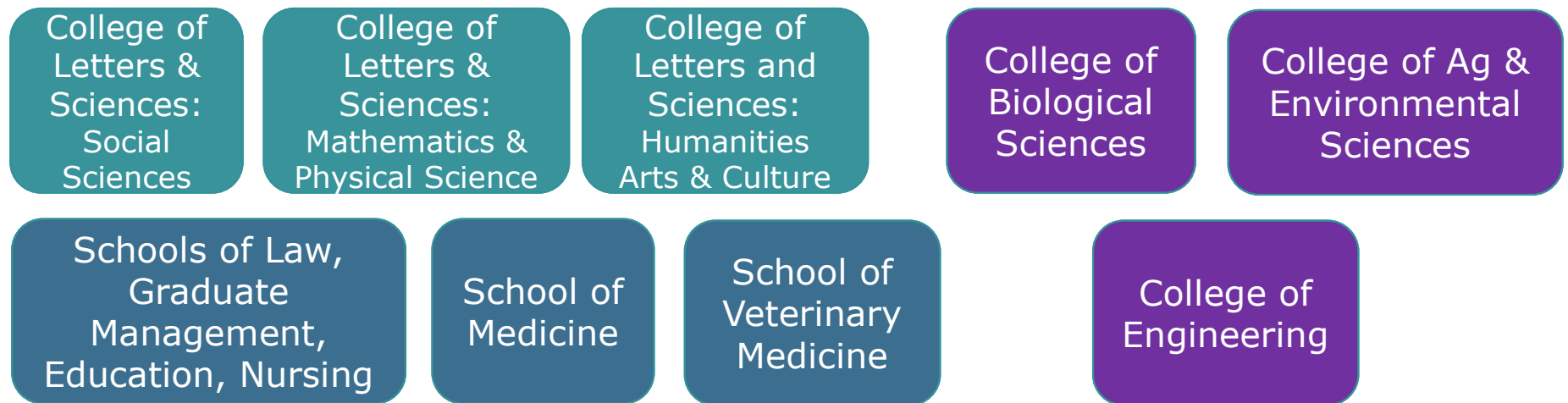


When Will Your Dossier Be Seen By CAP?

- Initial appointment if **above** Assistant Professor, Step 3.0
- Appraisal for tenure
- If department, FPC or Dean recommend a 2.0 step advancement
- Promotion to Associate or Full Professor
- When advancing above Full Professor Step 5.0 (barrier step)
- When advancing to Above Scale (above Professor 9.5)
- Reappointments to Department Chair
- Appointment to Endowed Chairs or Professorships
- Some other less likely occasions

CAP Membership

- Nine full professors representing major campus units
- Appointed by the Committee on Committees, typically serve 3 years (~3 new members/year)



Research & Creative Work: Expectations

- ✓ **Evidence of continued and impactful engagement is essential for advancement and promotion**
- ✓ **Originality, creativity, scope, and impact of work**
- ✓ Development of **thematic focused program** that demonstrates your **intellectual voice**
- ✓ Expectations for **quantity** vary with field/department but **quality** needs some form of **peer assessment** (e.g., quality of journals, book publishers, conferences; extramural letters; reviews; impact factors, etc)
- ✓ Holistic approach taken by reviewers: no single factor makes or breaks a case

Research & Creative Work: Items In Dossier

- ✓ **Publication list** (articles, chapters, books, patents, etc.)
- ✓ **Creative activities** (art, compositions, performances, etc.)
- ✓ **Contributions to jointly authored work:** very important page particularly if you are not the first or corresponding author. Describe your role/contribution for each paper. Include any mentoring role.
- ✓ **Grants & contracts** (award period, amount, funding agency, **role**)
Money is not a criteria for advancement but demonstrating that your research is sustainable and impactful is; external funding can assist and/or indicate sustainability/impactfulness
- ✓ **Presentations & invited talks related to your research**
- ✓ **Honors & awards related to your research or standing in the field**
- ✓ **Candidate statement**

Teaching: Expectations & Items In Dossier

- ✓ **Evidence of high-quality effective teaching is essential for advancement/promotion**
- ✓ **Assessment of teaching effectiveness**
 - Assessment of teaching from **students**; read your evaluations after each quarter so that you can make adjustments if appropriate).
 - Assessment of teaching from **peers**; both formal peer observation required for promotion & informal evaluations that occur via colleagues comments in department letter.
 - **Self** assessment of teaching – reflect on your effectiveness
- ✓ **Teaching load** (varies with department)
- ✓ **Teaching, advising, curricular development**
 - Courses, materials, approaches or curriculum you developed
 - Mentoring, co-authoring with, and graduating students
- ✓ **Grants & contracts related to education**
(e.g., NSF CAREER award has education component)
- ✓ **Honors & awards related to education**
- ✓ **Candidate statement** (self-assessment)

Service: Expectations & Items in Dossier

- ✓ **Your role** in University governance and service to your department, college/school, campus, profession, and public
- ✓ **Minimal expectations pre-tenure** (often focused on department & professional service via manuscript/proposal reviews). Ok to decline if service is hindering development of research/teaching
- ✓ **Expectations for breadth, depth & leadership increase with rank and step**
- ✓ **List of service** (department, college, campus & professional)
 - Dates of service with emphasis on period under review
 - Specify role (e.g., chair, member, participant)
 - For manuscript/proposal reviews, provide number of items reviewed for each entity in each year
- ✓ **Honors & awards for service**
- ✓ **Candidate statement:** Provides opportunity to describe workload of service activity, your unique contribution & impact. Membership alone is not service.

Candidate Statement

- ✓ Optional but highly recommended
- ✓ Maximum of five pages, used to describe your contributions
- ✓ Start with summarizing the highlights from the review period for research, teaching and service before going into detail for each area. Not all of your colleagues will read all five pages😊
- ✓ Stay focused on the review period
- ✓ If a promotion, consider separating out key contributions that occurred after your last review from key contributions that occurred prior to the last review. This separation is useful for Step Plus actions
- ✓ Optional one additional page for COVID-19 impact statement
- ✓ CAP members do read your statement!

Why A Candidate Statement?

- A focused, clear and succinct statement can convey important insights into your work & contributions
- Focus on the quality and significance of your work
 - Why is it important? Why is it innovative? What is the impact?
 - 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 extenuating circumstances

COVID-19 Impact Statement (Optional)

- Optional extra page allowed in candidate's statement
- Describe the impacts of the pandemic on your research, teaching, or service
- Describe opportunities you took advantage of during the pandemic (new activities, innovations, challenges overcome)
- Ideally discuss those impacts relative to your previous record
- No need to provide personal information

Possible Recommendations/Actions

- **Appraisals:** positive, guarded, or negative
- **Merit advancements:** 1.0 step or more than 1.0 step
- **Promotions:** 1.0 step or more than 1.0 step
- **Accelerated promotions:** 1.0 step only

Appraisals Are Often The First Time Your Dossier Goes To CAP For A Review

- An appraisal of your teaching, research/creative activity and service is performed in your **fourth year or sooner**.
- Your dossier is reviewed by the department, FPC, the Dean, CAP and the VPAA after which an appraisal letter is sent with reviewers' feedback on performance in each area.
- A **positive** appraisal indicates that continuation of the trajectory is likely to result in promotion;
- A **guarded** appraisal indicates that there are positive aspects of the record but that certain elements of the record – either incomplete, unknown in outcome, or deficient and requiring attention – yield concerns about the prospects of promotion;
- A **negative** appraisal indicates that the present trajectory does not meet Academic Personnel Manual standards and would likely result in a recommendation against promotion.

Step Plus Guidelines For 1.0-step Advancement

- A 1.0-step advancement requires a balanced record, appropriate for rank and step, with evidence of a **meritorious** record of accomplishments in **all areas of review** (research/scholarly activity, teaching, and service*)
- A 1.0-step action is a **substantial & commendable accomplishment**
- Expectations increase with rank and step
- Indicates that colleagues value and respect your accomplishments in research, teaching and service

*and professional competence for some titles

Step Plus Guidelines For Additional 0.5-steps

A 1.5-step advancement requires a **meritorious record in all areas** of review with **outstanding** achievement in **at least one** area (scholarly and creative activity, teaching, university and public service, and/or *professional competence and activities (*the latter is only for some titles)).

A 2.0-step advancement requires a **meritorious record in all areas** of review, with **outstanding** achievement in **at least two areas**.

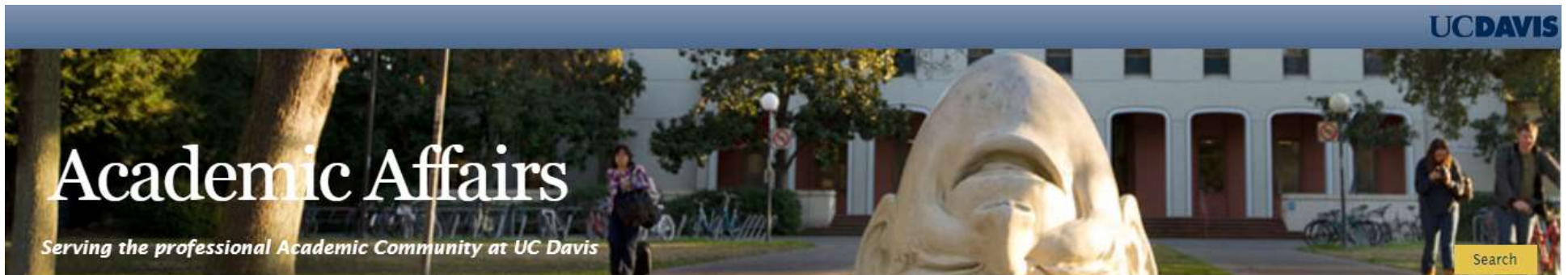
For promotions, the record will be evaluated for the **entire** review period for extra 0.5-steps. All areas must be deemed meritorious (based on rank and step) to be considered for extra 0.5-steps in any area. Activities that have been previously awarded extra 0.5-steps will not be considered for additional 0.5 steps.

A Few Final Notes About Your Dossier

- DEI statement (optional but might be a basis for additional 0.5-step in research, teaching or service if outstanding DEI contribution in one or more of those areas)
- Extramural letters (only for promotions and Above Scale)
- Review periods typically begin on July 1 & end June 30, with some extensions for late accepted publications
- Ensure information is current, accurate and complete
- Work closely with department chair and staff

Resources

- Consult with senior colleagues, including faculty with experience on FPC or CAP
- Read the evaluation criteria in APM 210 and 220
- Visit the Academic Affairs website



<http://academicaffairs.ucdavis.edu>

<https://academicaffairs.ucdavis.edu/annual-call>

Questions?

THANK YOU FOR YOUR TIME!