

Dossier Evaluation

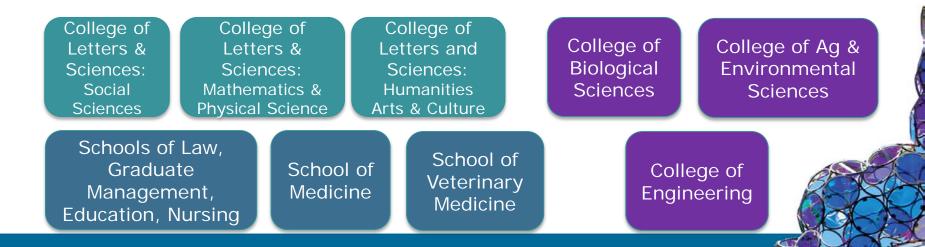
Bob Gilbertson, Professor of Plant Pathology Chair, Committee on Academic Personnel (CAP) Oversight Committee 2019-2020

Role and Responsibilities of CAP

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



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 'excellent' performance in all areas
 - 1.5 steps: **outstanding performance** in one area
 - 2.0 steps: outstanding performance in two (or more) areas

Assoc Prof Step

15

Asst Prot

Step 4.5

Asst Prof

Step 3

- Research, teaching, service, professional/clinical competence*
 - * mostly relevant to Clinical X series in SOM or SVM
- Equity adjustment: CAP considers when overall record is consistent with expectations for a higher step

Elements of a Dossier

- Dean's Letter
- Department Letter
 - Vote, comments
- Extramural Letters
 - Appointments/promotions
 - Arms-length and non-armslength



- 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 and accurate
- Ensure the information is organized 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

- Clearly demonstrated 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 (PL vs. co-PL)
 - 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 category 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