




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
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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**
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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**
 - 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 or 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 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** (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**
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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>