



Dossier Evaluation


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Typical Academic Review Process


- Every 2 years until Associate Professor, Step 4.0. 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....
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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 recommendations are **advisory** to the Vice Provost of Academic Affairs





CAP Membership

- **Nine members representing major campus units**
 - Appointed to **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**
 - **CAP Appellate Committee**



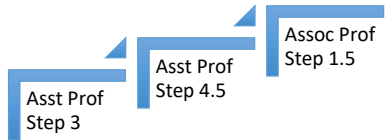


How Does CAP Function? (cont.)

- CAP takes a **holistic view**
 - Does not 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;
book disciplines)
 - CAP applies **equitable standards across the entire campus**
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How Does CAP Function? (cont.)

- **Appraisals:** positive/guarded/negative
- **Promotions:** normal time or accelerated (no Step-Plus)
- **Merits:** evaluated using Step-Plus criteria
 - 1.0 step: expected '**meritorious**' and **balanced performance in all** areas
 - 1.5 step: **outstanding performance** in one area
 - 2.0 step: **outstanding performance in two areas**
 - Research, teaching, service, professional/clinical competence*
 - * mostly relevant to Clinical X series in SOM or SVM
- **Equity adjustment:** Considered when overall record is consistent with expectations for a higher step



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 varies** 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 **thematic focused program** (Asst/Assoc) that demonstrates an **intellectual voice**
- **Grants & contracts** (award period, amount, funding agency, role)
- **Presentations**

Elements of a Dossier (cont.)

- **Dean's Letter**
- **Department Letter**
 - Vote, comments
- **Extramural Letters**
 - Appointments/promotions
 - Arms-length and non-arms-length
- **Candidate Statement** (strongly recommended)
- **Diversity Statement** (optional)
- **Rebuttal Letter** (in response to anything in dossier before it goes to vote)
- **Rejoinder Letter: In response to the vote** (if applicable)
- **Action History**
- **Candidate Disclosure Form**




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**
- Work **closely with department chair and staff**
- **Errors** compromise credibility





Why a Candidate Statement? (strongly recommended)

- A **focused, clear, and succinct statement** can convey important insights into your work
 - CAP members have diverse backgrounds
 - Focus on the **quality, significance, and impact** 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
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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

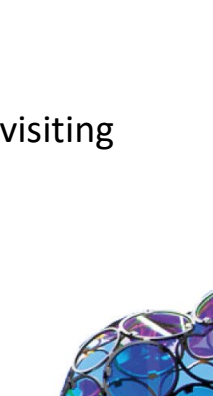
DEI statement:

Is 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.






Teaching

- ✓ **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: graduate, undergraduate and K-12. Other: postdocs, residents, visiting scientists. Co-authoring and awards
 - ✓ **Grants & contracts related to education**
(e.g., NSF CAREER award has education component)
 - ✓ **Honors & awards related to education**
 - ✓ **Candidate statement** (philosophy, goals, self-assessment)
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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 publications (e.g. articles, chapters, books) and creative works (e.g. art, compositions, performances)
 - **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 a **thematic focused research program** that conveys their **intellectual voice**?
 - **Presentations & invited talks related to your research**
 - **Honors & awards related to your research or standing in the field**
 - **Appraisals** should include works in-progress to demonstrate trajectory
 - **No single factor makes or breaks a case**, but there must be **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
 - **Expectations increase with rank and step.** Minimal expectations pre-tenure (often focused on department & professional service via manuscript/proposal reviews). Service should not hinder development of research/teaching
 - **University Service**
 - Department, college, and campus committees; graduate groups, designated emphasis area; graduate admissions
 - **Professional and Public Service**
 - Professional organizations, conference organizer, editorial boards, grant review panels, ad hoc reviews: Include 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
 - **Membership alone** in a group or organization is NOT service
 - **Keep your service record streamlined and updated**
 - **Candidate statement:** provides opportunity to describe workload of service activity, your unique contribution & impact. Membership alone is not service.
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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.
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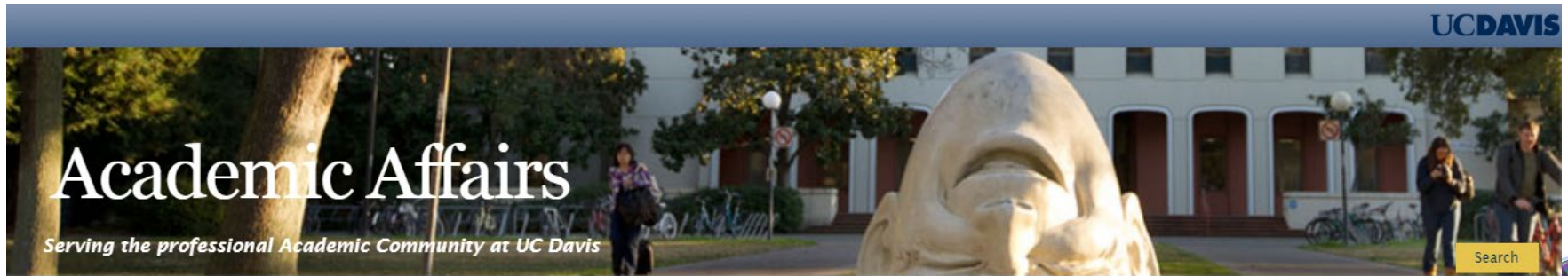
Tips for Success



- **Collaborative work:** clearly describe your contribution, evidence of a leadership role, and **intellectual voice**
- Good **Mentorship** can be very valuable
- **Balance is key!!!**
 - Don't focus on one category to the detriment of others
 - Step-Plus actions must first meet expectations **of meritorious accomplishments** in all areas of evaluation

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>