

# Dossier Evaluation

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# Typical Academic Review Process

- Every 2 years until Associate Professor, Step 4. 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....

# 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 to or past Full Professor Step 6.0 (barrier step)
- When advancing to Above Scale (above Professor 9.5)
- Reappointments to Department Chair
- Appointment to Endowed Chairs or Professorships
- Career equity review (initiated by candidate; 6+ years)

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**
- Analysts in facilitating role (check format of dossiers, maintain policy expertise & documents, interface with Academic Affairs)

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
  - All members read all files
  - **Primary reviewer** evaluates and presents case
  - CAP members review, discuss, and vote on each dossier
  - Guided by **criteria in APM 210, APM 220, and APM 285**
  - CAP recommendation and vote is **communicated to the Vice Provost for Academic Affairs**
  - **CAP Appellate Committee (CAPAC)** advises VPAA on appeals (procedure, policy, factual grounds only)

# How Does CAP Function? (cont.)

CAP takes a **holistic view**

- Does not merely enumerate accomplishments but makes in-depth qualitative evaluation

CAP considers **field-specific factors**

- Expectations vary widely across academic units and should be referenced in the dossier (e.g., number of publications and venues expected; book disciplines; clinical & supervisory roles)

CAP applies **equitable standards across the entire campus**

# 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

- particularly at promotion/barrier steps, which require assessment of cumulative record at rank

# Elements of a Dossier

- **Research & Creative work**
  - Publications list
  - Creative activities (art exhibitions, compositions, performances, etc.)
  - Contributions to jointly authored work. Be explicit and detailed about your role
  - Grants & contracts (award period, amount, funding agency, role)
  - Extending knowledge (media, conferences, workshops)
- **Teaching**
  - List of teaching evaluations
  - Peer review (promotions)
  - Teaching, Advising, Curricular Development, mentoring
- **Service**
  - List of service (university & professional)
- **Honors & Awards**



# Elements of a Dossier (cont.)

- **Dean's Letter**
- **Department Letter**
  - Vote, comments, assessment
- **Extramural Letters**
  - Appointments/promotions (Step 6 optional)
  - Arms-length and non-arms-length
- **Candidate Statement** (strongly recommended)
- **Optional Statements: Diversity, Public & Global Impact; COVID, Strike**
- **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** (merit & if appropriate “career” = at rank)
- 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

# Candidate Statement (recommended!)

- A **focused, clear, and succinct statement** can convey important insights into your work
- Focus on the **quality, significance, coherence, and impact** of your work
  - Explain significance and impact of scholarly, creative, professional work.
  - Identify coherence of research program, independent intellectual voice, intellectual leadership roles
  - Specify your role in jointly-authored work
  - Identify importance and impacts of curricular or pedagogical innovation
  - Specify significance and impact of mentoring/supervision
  - Identify time commitments and impact of service roles, leadership roles
- Address any unusual circumstances that may have affected performance

## Further Optional Statements:

- **DEI:** discuss contributions to University mission in any functional areas (research, teaching, service, professional/clinical activity)  
<https://academicaffairs.ucdavis.edu/guidelines-writing-diversity-statement>
- **Public Impact:** discuss e.g. policy roles, public information roles, community engagement, improving professional practice  
<https://publicengagement.ucdavis.edu/guidance-merit-and-promotion>
- **COVID:** discuss impacts of pandemic on research, teaching, service (no need for personal information); “ARO” considerations
- **Strike:** impact of strike on all areas (e.g. extra grading load, disruptions to labs, added service burdens)

# Teaching

- Evidence of **high-quality, effective teaching** is essential for advancement
- **Assessment of teaching effectiveness**
  - Assessment of teaching from **students**; read your evaluations, make adjustments
  - Assessment of teaching from **peers**; formal peer observation by department required for promotion & assessment
  - **Self** assessment of teaching – reflect on your effectiveness, improvements
- **Teaching load** (varies with department) and **overload** teaching
- **Curricular development**: Courses, materials, or curriculum developed or contributed to; pedagogical innovation (e.g., course revisions, professional development )
- **Mentoring and supervision**: graduate, undergraduate (lab, honors, individual study, etc.), post-doctoral, VAPs, junior specialists, etc.). TAs
- **Honors, awards, grants & contracts related to education** (e.g. NSF CAREER)
- **Professional education** (e.g., for clinicians, teachers)
- **Candidate statement** (philosophy, goals, self-assessment)
- Expectations for **teaching excellence** rise with rank & step; problems should be addressed

# 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** and impact of journals, book publishers, performance venues
- The **candidate's role in collaborative work**—e.g. reflected in **author position** and **role in obtaining funding** (PI vs. co-PI); particularly important where authors listed alphabetically
- Is the candidate establishing a **thematic focused research program** that conveys their **intellectual voice & program**?
- **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**

# University and 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)
- **University Service:** Department, college, and campus committees; graduate groups, designated emphasis; graduate admissions
- **Professional and Public Service:** Professional organizations, conference organizational roles, editorial positions (board, chief, associate, reviews), grant review panels, external promotion reviews, external department/program reviews, non-compensated consulting, expert testimony, data analysis for public agencies/organizations, etc.: Include dates of service in period under review, specify role (e.g., chair, member, participant), for manuscript/proposal reviews, provide number of items reviewed; describe time commitment and impact/significance
  - **Membership alone** in a group or organization is NOT service
- **Maintain paper trail and keep your service history updated!**

# 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.

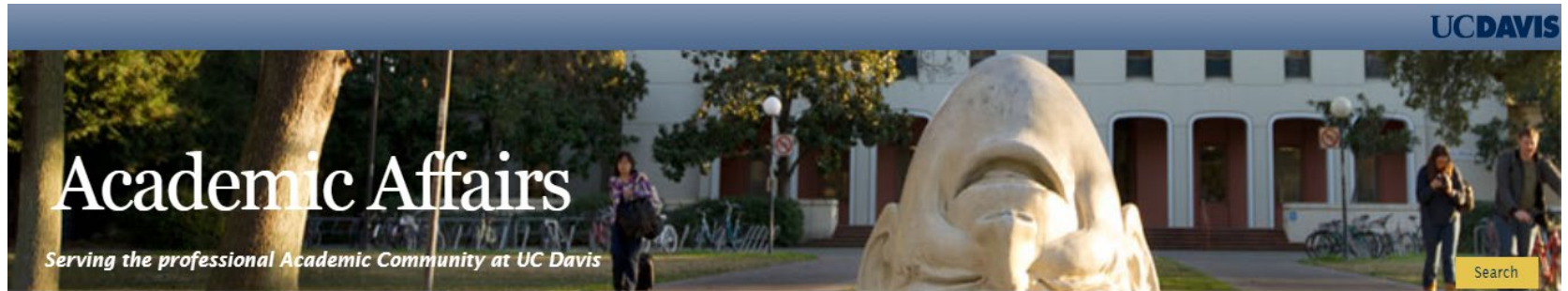


# Tips for Success

- **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 **department chair** regularly
- Consult with **senior colleagues/mentors**
- Read the **evaluation criteria** in APM 210 and 220
- Use **resources** available in Academic Affairs
- Use **teaching resources** (e.g., Center for Educational Effectiveness)



<http://academicaffairs.ucdavis.edu>