

# **Academic Advancement: Dossier Preparation**

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# Typical Academic Review Process

- Every 2, 3, or 4 years depending on rank
- Department colleagues review dossier, vote, and prepare department letter of recommendation for advancement
- Dossier & department letter go to one or more of these entities for further review, recommendations, and final decision:
  - Faculty Personnel Committee (FPC) for your College/School: merit actions under 2.0 steps
  - Dean of your College/School
  - Committee on Academic Personnel (CAP): merit actions of 2 steps; promotions; appraisals; merit actions at barrier steps
  - Vice Provost for Academic Affairs, Provost, Chancellor

**TIP: Keep a running record of activities and accomplishments!**

# Types & Roles Of Reviewers

- **Academic Senate Review and Recommendations**
  - Department colleagues
  - Your College's Faculty Personnel Committee (FPC) OR
  - Campus-wide Committee on Academic Personnel (CAP)
  
- **Administration Review & Decision**
  - Your Dean (if **Redelegated** actions = merit advancement under 2 steps)
  - Vice Provost for Academic Affairs (VPAA) or Provost or Chancellor (for **Non-Redelegated** actions = 2-step merit advancement, appraisal, promotion, barrier-step actions)

# **Dossier Elements That You and Your Department Academic Personnel Analyst Prepare in MyInfoVault**

- **Research/Publications & Creative work**
- **Teaching record**
- **Service**
- **Honors & Awards**
- **Grants & Contracts**
- **Candidate Statement**
- **COVID impact, DEI, Public Impact, other statements**

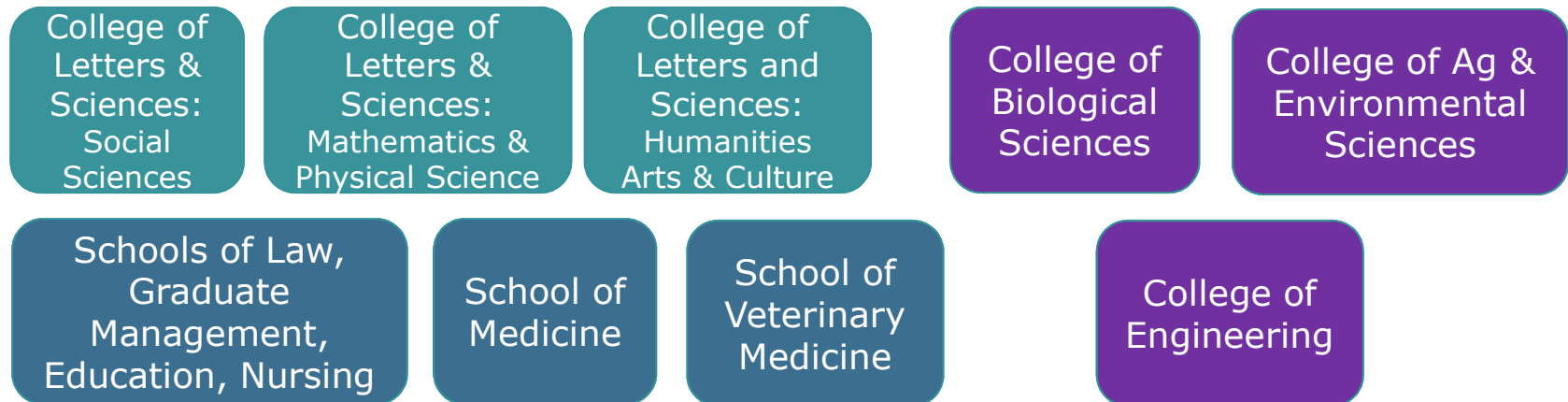
## When Will Your Dossier Be Seen By CAP?

- 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 5.5 (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 for Academic Affairs

# 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 significant engagement is essential for advancement and promotion
- ✓ Originality, creativity, scope, and impact of work
- ✓ Development of a **coherent, focused research or creative program** that demonstrates **your intellectual voice**
- ✓ Expectations for **quantity** vary with field/department but peer assessment of **quality** is crucial (e.g., quality of journals, publishers, conferences; extramural letters; reviews; h-factor, etc.)
- ✓ Reviewers take a holistic approach; 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 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 criterion for advancement but demonstrating that your research is sustainable and significant is; external funding can assist in assessing that
- ✓ **Presentations & invited talks related to your research** can be evidence of impact
- ✓ **Honors & awards related to your research or standing in the field**
- ✓ **Candidate statement** is your opportunity to explain the significance and originality of your work



# Teaching: Expectations & Items In Dossier

- ✓ **Check with your department regarding expected teaching load**
- ✓ **Assessment of teaching effectiveness**
  - Student evaluations (numbers, comments, return rates etc.)
  - Peer teaching evaluation (including in department letter)
  - Self-assessment of teaching
- ✓ **Particularly important in establishing the significance of your teaching contribution:**
  - Curriculum development – new courses developed & approved
  - Pedagogical innovation: new teaching materials, teaching methods
  - Mentoring: graduate and undergraduate supervision & mentoring
  - Informal mentoring
  - Overload teaching
- ✓ **Grants & contracts related to education**  
(e.g. internal or external grants support curriculum development)
- ✓ **Honors & awards related to education** (teaching & mentoring awards, particularly at campus level)
- ✓ **Candidate statement** is your opportunity to explain your teaching contributions & impact

# Service: Expectations & Items in Dossier

- ✓ **Service is assessed at all levels:** department, college/school, campus, profession, and public
- ✓ **Expectations for service & leadership increase with rank and step**
- ✓ **List of service** (department, college, campus & professional)
  - Dates of service with emphasis on period under review
  - Specify role/title (e.g., chair, member, participant)
  - Identify organizations, publications, etc. accurately
- ✓ **Honors & awards for service**
- ✓ **Candidate statement** is your opportunity to explain your service contribution; it may be particularly helpful to spell out in detail your individual role and time commitment in different service roles (e.g. number of meetings, length of meeting prep time; contributions to documents generated; number of submissions reviewed; fellowships; leadership roles)

# Candidate Statement

- ✓ Optional, but VERY highly recommended
- ✓ Maximum of five pages
- ✓ If preparing your dossier for a promotion or barrier steps, address separately the entire review period AND your accomplishments since your most recent merit advancement
- ✓ At barrier steps, address APM requirements—e.g. step 6: “sustained and continuing excellence” in scholarship or creative achievement, teaching, and service, AND “great academic distinction, recognized nationally”
- ✓ This is your opportunity to clarify and highlight the unique value of your accomplishments.

## Further Optional Statements

- **DEI:** discuss contributions to University mission to serve CA's diverse society, any functional area (research, teaching, service, professional/clinical activity). See <https://academicaffairs.ucdavis.edu/guidelines-writing-diversity-statement>
- **Public Impact:** discuss e.g. policy roles, public information roles, community engagement, improving professional practice, etc. See <https://publicengagement.ucdavis.edu/guidance-merit-and-promotion>
- **COVID:** discuss impacts of pandemic on research, teaching, service (no need for personal information); "ARO" considerations. See <https://aadoes.ucdavis.edu/policies/appointments-and-advancements/covid-impact-statements-guidance-october-2022.pdf>
- **Strike:** impact of strike on all functional areas

## 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

- 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, 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**; balanced performance in all areas is challenging in itself!
- 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, for some titles, clinical and/or professional competence and activities).

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.

**NOTE:** Step Plus is designed to recognize balanced performance across all functional areas.



## A Few Final Notes About Your Dossier

- Extramural letters required for promotions and advancement to Above Scale; optional for Step 6 (consult your department chair and consider whether there is any uncertainty about national recognition of academic distinction)
- 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
- Consider keeping your MIV dossier updated regularly; this will mean you/your department's Academic Personnel Analyst are not rushed to complete it, and will limit errors due to forgetfulness
- At least keep a record of ALL your activities—teaching, mentoring, scholarly (conferences, talks, publications), professional activity & service

# Resources

- Consult your department chair, senior colleagues, 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>

# A Final Consideration: The Personnel Process as Opportunity not Burden

- UC Davis' personnel process is very thorough, methodical, and comprehensive
- The dossier preparation process is time-consuming
- It also:
  - Gives you the ability to align your performance with University expectations and requirements, specifically as outlined in the APM and Step Plus guidelines
  - Encourages you to pursue balanced, productive, challenging, interesting, and satisfying engagement with your institution, discipline and profession
  - Enables you to establish goals and standards for yourself and plan ahead for a successful academic and intellectual career
- These benefits will be maximized if you are pro-active and consider upcoming personnel actions some years in advance, continually measuring your accomplishments against the expectations spelled out in the APM