

Academic Advancement: Dossier Preparation

Kim Shauman

Professor, Department of Sociology

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Dossier Elements

You (and your Dept Academic Personnel Analyst) **prepare:**

- Research/Publications & Creative work
- Teaching record
- Service record
- Honors & Awards
- Grants & Contracts
- Candidate Statement
- Optional Statements:
 - Achievement Relative to Opportunity (ARO)
 - Contributions to Public and Global Impact
 - <https://academicaffairs.ucdavis.edu/guidance-optional-statements>

All components recorded in



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Dossier Review

- Department
- Dean's Office
- Faculty Personnel Committee (FPC)
- Committee on Academic Personnel – Oversight (CAP)
- Vice Provost Academic Affairs
- Provost
- Committee on Academic Personnel – Appellate

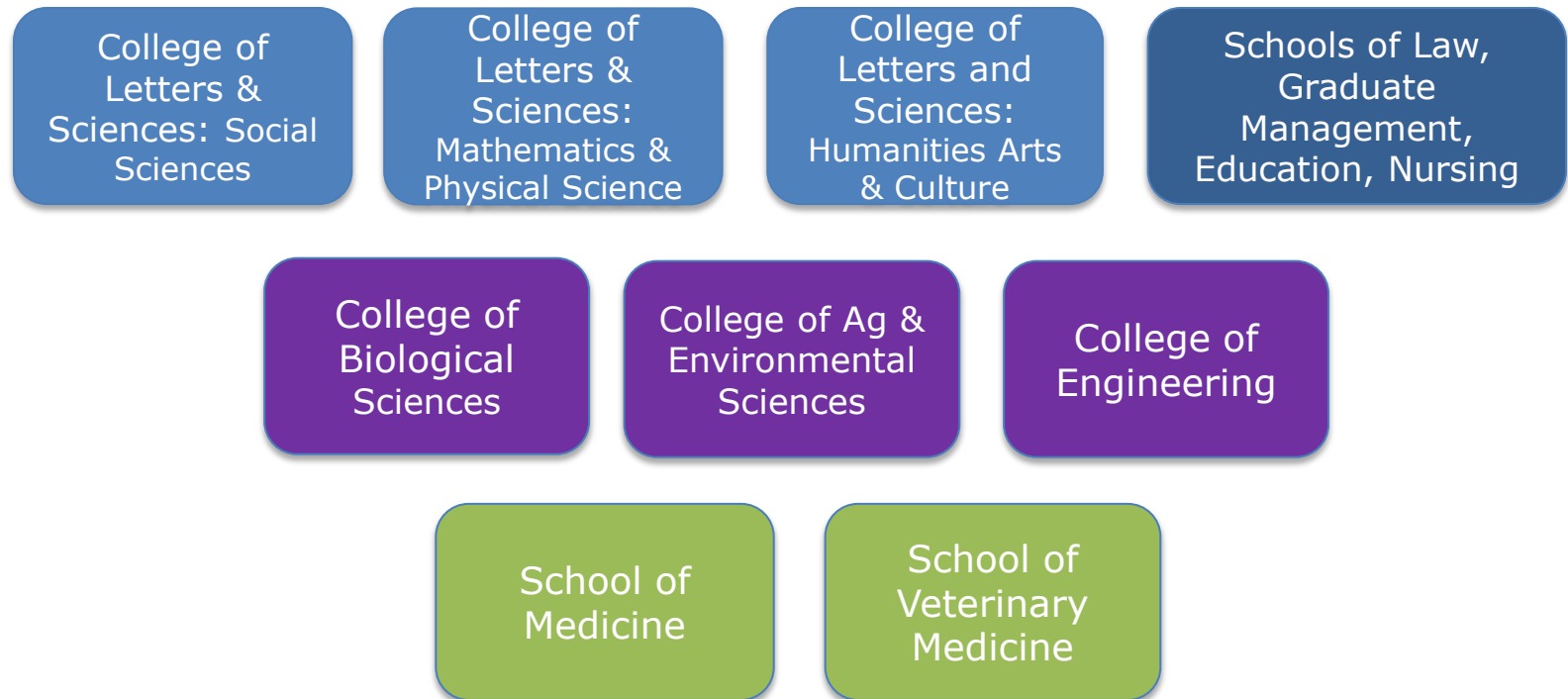
When Will Your Dossier Be Seen By CAP?

- 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 page 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 and/or indicate sustainability/significance
- ✓ **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 teaching expectations**
- ✓ **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

Service: Expectations & Items in Dossier

- ✓ **Service at all levels:** department, college/school, campus, profession, and public
- ✓ **Lower expectations pre-tenure**
- ✓ **Expectations for service & leadership increase with rank and step**
- ✓ **List of service** (department, college, campus & professional)
 - Dates of service (month and year); focus 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 is helpful to detail your time commitments to 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, 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.

Optional Statements

✓ **Public/Global Impact Statement**

- discuss e.g., policy roles, public information roles, community engagement, improving professional practice.
- See <https://publicengagement.ucdavis.edu/guidance-merit-and-promotion>

✓ **Achievement Relative to Opportunity**

- Applies to impact of pandemic, strike, shift in Federal policies on research, teaching, service (no need for personal information), changing funding landscape

✓ **Statement of Contributions to Diversity Equity and Inclusion is no longer permitted** (as of 05/2025)

- Discuss contributions in Candidate statement, Contributions to Public and Global Impact statement

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, 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.

A Few Final Notes About Your Dossier

- Extramural letters for promotions and advancement to Above Scale; optional for Step 6 (consult your department chair!)
- 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 the least keep a record of ALL your activities—teaching, mentoring, scholarly (conferences, talks, publications), professional activity & service

Resources

- Consult your department chair, senior colleagues and mentors, department Academic Personnel Analyst
- Read the evaluation criteria in APM 210 and 220
- Visit the Academic Affairs website

<http://academicaffairs.ucdavis.edu>

<https://academicaffairs.ucdavis.edu/new-faculty>

<https://academicaffairs.ucdavis.edu/annual-call>