Dossier Evaluation

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— Oversight Committee (CAP)
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CAP functions

• Provides Academic Senate oversight of personnel process.

• Advises on academic personnel manual (APM) procedures.

• Evaluates and makes recommendations on “major” actions: appointments, appraisals, promotions, 2–step merit actions, etc.

• Other actions delegated to Faculty Personnel Committees (FPCs) in Colleges or Schools — membership vetted by CAP.

• CAP reviews 12–15 dossiers a week throughout calendar year (~ 500–600 dossiers per year).
CAP membership

• 9 members representing major campus units:
  – College of Engineering
  – College of Biological Sciences
  – College of Agricultural & Environmental Sciences
  – College of Letters and Science (Divisions of Social Sciences; Humanities, Arts, Culture; Mathematical & Physical Sciences)
  – Schools of Education, Law, Management, Nursing
  – School of Veterinary Medicine
  – School of Medicine

• Members appointed to 3-year terms by Committee on Committees (usually 3 new members each year).

• Most are Professor Step 6 or above, with prior personnel experience as FPC member or Department Chair.
dossier components (MyInfoVault)

- **department** prepares:
  - Disclosure Certificate (certify accuracy of information)
  - Department Letter (including faculty vote & comments)
  - Extramural Letters (appointments & promotions only — arm’s length & non-arm’s length letters)
  - List of Teaching Evaluations (usually with on-line links)
  - Teaching, Advising, Curricular Development form

- **candidate** prepares:
  - Candidate Statement (succinct, highlight accomplishments)
  - Publication List (papers, chapters, books, surveys, reviews, etc.)
  - Contributions to Jointly-Authored Works (identify distinctive role)
  - Creative Activities (art works, compositions, performances, etc.)
  - Honors & Awards (from university, professional society, etc.)
  - Grants & Contracts (award period, $ amount, funding agency)
  - University & Professional Service (committees, editorial boards, etc.)
  - Rebuttal Letter (if necessary, but brief, factual, and focused)
dossier preparation tips

• provide a **succinct & cleanly formatted** Candidate Statement (key accomplishments can get lost in large tracts of uninterrupted prose) — explain **impact, significance, uniqueness** of your achievements

• thoroughly **check accuracy** of all entries in your dossier — erroneous entries may cast doubt on credibility of entire dossier

• for **appraisals** include works-in-progress to better indicate trajectory; give explanation (e.g., lab set-up delay) for low initial productivity

• beware of involvement with **predatory open-access journals** (paper submissions or editorial board memberships)

• be forthright about **weaknesses** in your record (e.g., poor teaching evaluations) & describe steps to address them — do not gloss over

• **seek advice** from more-experienced colleagues (department chair, former FPC or CAP members, etc.)
CAP dossier evaluation

- CAP evaluation of dossiers is guided by APM 210 & 220 criteria regarding contributions in research, teaching, university & professional service, professional competence (mainly SOM and SVM).

- CAP takes a holistic view, evaluating impact and significance of work, not just counting publications or comparing teaching evaluations.

- Every CAP member carefully reviews and participates in discussion of and vote on each dossier.

- Step Plus criteria allow for more than normal 1-step advancement: additional $\frac{1}{2}$ steps for outstanding performance in research, teaching, service, or professional competence.

- Note: “outstanding” ≠ “above average” . . . and performance in all categories must meet expectations for Step Plus action — do not focus intensively on one category to the detriment of others.
• CAP may also consider an equity review when the overall record is consistent with expectations for a higher step

• CAP recognizes that teaching, research, and service expectations vary enormously between academic units — applies accumulated experience and discipline-specific expertise of committee members

• Assistant Professors are not expected to make significant service contributions, but some involvement is encouraged

• conversely, substantive service is expected from the highest ranks of Full Professors — complete absence of involvement may torpedo an otherwise strong dossier

• CAP vote & report forwarded to Vice Provost, Academic Affairs for further review & evaluation

• unsuccessful cases with substantive grounds for appeal may be considered by CAP Appellate Committee (CAPAC)
Teaching

APM 210: Clearly demonstrated evidence of high quality teaching is an essential criterion for appointment, advancement, and promotion.

- peer teaching evaluation by department colleagues (promotions only)
- list of all courses taught during review period, comparison with normal department teaching load
- course evaluations and student comments for all courses taught
- mentoring activity (student projects, internships, supervision of graduate student & post-doc research, etc.)
- curriculum development (new courses introduced, existing courses re-organized, new teaching materials prepared, etc.)
- candidate statement may emphasize distinctive aspects of teaching record, not documented elsewhere in dossier
Research and Creative Work

APM 210: There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance.

- publications & creative works are evaluated, not merely enumerated
- in joint-authorship publications or collaborative artistic productions, the role of the candidate should be clearly identified
- quality of research journals, book publishers, performance venues, etc. is an important consideration
- impact factors, citation counts, h-index, etc., may also be considered
- criteria such as originality, scope, richness, creative expression apply in art, architecture, dance, drama, literature, music, and related fields
- CAP takes broad view of entire accomplishment — no single factor makes or breaks a case
University and Public Service

APM 210: The faculty plays an important role in the administration of the university . . . and in services to the community, state, and nation . . .

- member or chair of a department, college, or campus committee
- chair of a department, graduate group, or designated emphasis area
- managing graduate admissions for a department or graduate group
- reviewing journal papers (do not list individually) or grant proposals
- serving as editor or editorial board member of a professional journal; chair of a conference or special session, or managing paper reviews
- membership in a graduate group or professional society is not per se a form of service, unless you play a significant role

- do not pad your service list — wading through a torrent of dross to identify the significant items does not create a good impression
Professional Competence and Activity

Appropriate to certain positions in professional schools and colleges, such as architecture, business administration, dentistry, engineering, law, medicine, etc.

- intended to recognize special achievements in development of new approaches and techniques in solving professional problems

- of particular relevance to Professor of Clinical X appointments in the School of Medicine and School of Veterinary Medicine, in which clinical work is a major responsibility
To be or not to be . . . a Professor

A faculty position is not a “9–to–5 job” . . . to succeed, there can be no substitute for diligence, dedication, honesty.

Take heart, the academic personnel review process is designed to be nurturing, transparent, fair, and consistent.

Continuous feedback allows mid-course corrections, ensuring that you are on track for major actions – Associate Professor, Full Professor, Step 6, Above Scale.

Unsuccessful candidates are rarely surprised at outcome.

By honest hard work, you can achieve success and renown for yourself and the university.
the academic vocation

I would live to study, and not study to live.

Francis Bacon

A little learning is a dangerous thing;
Drink deep, or taste not the Pierian spring:
There shallow draughts intoxicate the brain,
And drinking largely sobers us again.

Alexander Pope, *Essay on Criticism*

This above all: to thine own self be true,
And it must follow, as the night the day,
Thou canst not then be false to any man.

William Shakespeare, *Hamlet*
Education is what remains when what has been learned has been forgotten.

B. F. Skinner

But where’s the man, who reason can bestow,
Still pleas’d to teach, and yet not proud to know?
Unbiass’d, or by favour or by spite:
Not dully prepossess’d, nor blindly right;
Tho’ learn’d, well-bred; and tho’ well-bred, sincere;
Modestly bold, and humanly severe:
Who to a friend his faults can show,
And gladly praise the merit of a foe?

Alexander Pope, *Essay on Criticism*
Boolean algebra of poets & fools

Sir, I admit your general rule,
That every poet is a fool.
But you yourself may serve to show it,
That every fool is not a poet!

Alexander Pope (1688-1744)

all poets are fools, but not all fools are poets
(tutti i poeti sono sciocchi, ma non tutti gli sciocchi sono poeti)