

## **THE ABCs OF DOSSIER PREPARATION**

**A** is for **activities** that were included in a prior dossier or pre-date the candidate's professorial appointment and cannot be included on the current data summary. Teaching evaluations that pre-date the appointment should not be forwarded if the candidate did not hold a title that allows teaching prior to the beginning of the professorial appointment. If a proposed appointee had a professorial appointment at another institution of higher education, evaluations should be requested and submitted with the dossier, clearly labeled.

**B** is for **bracketing**

Brackets should be added to items in the bibliography that are new for the current review and are either:

- already published
- *in press*
- *accepted for publication*

**It is the dossier preparer's responsibility to compare the current bibliography to the last submitted bibliography to ensure the correct items are bracketed.**

The following may be listed on the bibliography (under separate headings) but **cannot be bracketed:**

- Items that were bracketed in a prior dossier (earlier status, e.g., *in press*, may be noted with an asterisk and an explanation, but no brackets)
- Items that have been submitted for publication
- Items for which the research has been completed
- Items *in preparation*

**C** is for **cover sheet**

- The candidate's complete name, including middle initial and ALL terminal degrees, not just the M.D. or Ph.D. are required. **The name on the cover sheet, on the data summary pages, on the CV and in EDB must all be the same.**
- Include all joint department information, when applicable. If review waiver(s) exist, include on the cover sheet and insert a copy of the waiver (signed by all Chairs and Deans) behind the vote page.
- Roman numerals should be used when entering the step.
- Enter acceleration or deferral information in parenthesis after the effective date, not after the step.

**C** is also for **curriculum vitae (CV)**

- UCLA title in the CV **MUST** include any modifiers, and must match the title in EDB. Only faculty appointed in the Regular series can refer to themselves as *Professor*; **all others must include appropriate modifiers, such as *in-Residence* or *Adjunct* as part of their UCLA title.** The title on the cover sheet, history record and CV must all be the same.
- If an interim visiting title has been approved, it must be used until the permanent appointment has been finalized.

***D*** is for **documentation of teaching activities**.

- Maximum reporting period is 5 years for actions at the Associate and Full ranks. See page 4 of Assistant Professor data summary for reporting requirements.
- Every teaching encounter with UCLA students should be evaluated; the forms should be sorted by course number and academic year. If electronic forms are used, only those pages with handwritten comments should be forwarded, along with the computer-generated summary of the ratings for the class.
- **Forms should be legible and signed by the evaluator. If your department suppresses signatures for the departmental review, they must be added to the evaluations before the file is forwarded.**
- Forms completed by professional research appointees, staff employees or other non-UCLA students **should not** be submitted with student evaluations.
- Peer evaluations (they may be either forms or letters) must have legible signatures and/or the printed name underneath. Peers must have an active teaching title in EDB.
- All fields on the teaching page should be completed: *Term, year* entry should not be simply read *2012-13*, but should specify how often course is taught over the year. Enrollment should be a **number (3, 19 or 240)**, not a **title (Resident or PGY II)**.
- “Other teaching activities” section should include instruction presented at UCLA, any affiliated institution or another UC campus.
- Teaching at other institutions of higher education should be entered under “Other professional activities,” with dates of service provided.
- Activities that contribute to UC’s diversity mission should be included as directed on the data summary pages.

***E*** is for **effort**

- The percent of effort must be reported for each contract or grant listed. Effort should not be presented as a fragment of a year.

***F*** is for **fluff**

- The reviewing agencies (Deans, CAP members, the Vice Chancellor) see hundreds of actions each year, and can easily spot a padded dossier.
- Dossiers should include information that is “new since last review” concisely and with dates.
- Charts are not appropriate for data summary pages.
- Pending items or future commitments **should not** be listed on any data summary page, but they may be mentioned in the self-statement.

***G*** is for **gratuitous information**

- The social security number (SSN) should **NOT** appear anywhere in the dossier, including the history record or the CV. Remove SSN from old history records in current dossiers.
- CVs must conform to the model format on the Dean’s Office website. A CV is not a resume, and should not have embellishments, charts or difficult to read fonts or small pitch. *Times New Roman*, 11 or 12 pitch is preferred for all dossier documents.
- The brief biographical statements submitted with extramural letters should **NOT** include contact information (e.g., email and mailing addresses) or where evaluators were educated. They should be **brief** paragraphs that provide information about the author’s current position and why their opinion is valuable.

- Do not submit fax cover sheets or notes from referees that state their letter is attached in a separate document unless the document is proof of receipt.

***H*** is for **history record**

- Candidate's complete name must be entered at the top, and all departments in which the candidate has an appointment must be listed.
- All degrees should be entered at the bottom, with the oldest degree listed first.
- Time off the clock (TOC) entries should match information on Assistant Professor Data Summary cover sheet regarding which year was approved. TOC approval form should be inserted behind the history record until the candidate has advanced to Associate Professor rank.
- **The “#” symbol should be added in the *advancement* column next to the 7/1 date each time there is a change in series, rank or step.** Endowed chair appointments should not be entered on the history record, nor should 4<sup>th</sup> year appraisals.
- Assistant professor history records should have entries in the *8-year limit* column as well as the *years at rank and step* columns.
- Service in the Visiting series (remember there are no steps in this series) and at other UC campuses must always be entered and counted on the 8-year limit clock as necessary.
- Clinical instructor service should be entered, but does not count toward the 8-year limit.
- For regular rank faculty ONLY, sabbatical eligibility quarters should be entered.
- Assistant Professor actions: **Complete** history record should be included in all dossiers.
- Associate & full professor actions that are Dean's finals: **Current page and prior page** of history record (at a minimum) should be included so acceleration/deferral patterns can be noted.
- Associate and full professor actions that require CAP review and/or are Chancellor's finals: **Complete** history record should be included.

***I*** is for **“it’s all about me”**

- The self-statement is an opportunity for the candidate to include, in narrative form, pertinent information about their approach to their activities as a faculty member that does not appear elsewhere in the dossier.
- The self-statement should be around 3 pages (5 for hurdle reviews). It should **NOT** be written in the third person and should be carefully proofread.

***J*** is for **joint appointment review waivers**

- If the Department allows review waivers, it is preferable to submit the waiver at the same time the joint appointment is being recommended, so the same dossier does not have to be considered twice.

***K*** is for **“keep trees alive”**

- Please refer to the charts provided on the Dean’s Office website and **DO NOT** submit more copies of dossiers than are required.
- Ensure that copies are double-sided when required, and that accompanying CVs are double-sided as well.

***L*** is for **lists of evaluators**

- All lists should be in alphabetical order and must include a checkmark indicating who submitted a letter. If an evaluator states they are unable to provide an evaluation, a note should be added to that effect so that the percent of evaluative responses in relation to the number of letters solicited is accurate.
- Evaluators should be at or above the step of the candidate under consideration. Assistant Professors should not be asked to write letters for actions such as promotion, Step VI or Initial Above-Scale dossiers.
- For intramural and peer evaluators, list should include name and rank, series and step only.
- For student evaluators, list should include name and degree.

***L*** is for also for **LOU (Letter of Understanding)**

- **All** appointment dossiers must include an LOU signed by the candidate and the Chair that outlines the nature of the appointment, including salary, teaching responsibilities and service expectations.
- Mentoring must be discussed in Assistant Professor LOUs.

***M*** is for **mentoring**

- All assistant professor dossiers **MUST** include evidence of mentoring that occurs twice a year, at minimum.

***N*** is for **numbering of pages**

- Review the dossier and ensure that the page numbers are correct after all computer entries are made.
- Pay particular attention to the numbering of certification pages, which are checked by APO.
- If an assistant professor's vote page has multiple pages, the current should be page 2, and older pages should be page 2a, 2b, etc.
- History record pages should be numbered; page with current information should be the highest page number, with subsequent pages descending to page 1.

***O*** is for **oops!**

- Mistakes happen, and sometimes a dossier is returned to the department. When a dossier is returned for corrections, ensure that **all** requested changes have been made before you re-submit.
- When changes are needed only on select pages of dossiers whose copies are double-sided, it is your responsibility to bring the original and appropriate number of double-sided copies to the Dean's Office and place them in the existing file.

***P*** is for **proofread**

- It does not reflect well on the candidate or the department when dossiers have typographical, syntax or grammar errors on the data summary pages, in the self-statement or in the departmental recommendation letter.

**R** is for **responsibility**

- Coordinators on the UCLA campus are responsible for identifying and correcting errors in dossiers from affiliated institutions BEFORE they are sent to the Dean's Office.

**S** is for **service activities**

- The headings and instructions on the data summary pages are specific particularly regarding service for professional organizations. Membership in an organization is **NOT** service. All entries should have dates, with oldest items listed first.

**T** is for **tenure**

- Faculty members at the rank of Associate or Full Professor in the Regular series have tenure; no other series confers tenure. No mention of tenure can appear anywhere in the dossier of any other DGSOM faculty member.

**U** is for **unusual**

- Please call the Dean's Office for assistance on where to list items that don't fit any of the usual headings.

**V** is for **vote page**

- Confirm that the votes entered add up to the number eligible to vote and that accelerations and deferrals are mentioned in the *motion voted upon* section.
- Proofread rank and step entries.
- Ensure that joint department vote page(s) are in the file.

**W** is for **“why does everything have to be so complicated?”**

- We are part of a university with 10 campuses, and the policies and practices in the APM and The CALL ensure that all faculty will be evaluated using the same criteria.
- The DGSOM must present properly prepared dossiers to the Dean and Vice Chancellor for their review.

**X** is for **xerographic copies**

- Review each set of dossiers before you submit them, to ensure that:
  - no pages are missing
  - all pages are legible
  - there are no pages that have become skewed in the copying process
  - there are no lines on the pages due to a malfunctioning photocopier

**Y** is for **you**

- You are one of the “go to” people for dossiers in your unit, and can provide much-needed guidance to faculty members about the academic review process.

**Z** is for **zounds, we're finally done!**