

Process Guide for Continuing Appointment

(probationary academic professionals only)

Academic Affairs Manual (ACD) Policies governing review for continuing appointment: [ACD 507-06](#).

Note: for all stages, do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms. JPEG signature is accepted.

Candidate Responsibilities

Step 1. Candidate's reviewer list. Candidate submits to unit chair/director/library administrator (hereafter referred to as "unit administrator") a list of at least 10 names of people he/she recommends to serve as potential internal/external (hereafter referred to as "external") reviewers. * Five of the 10 names must be at approved peer or aspirational peer institutions. Proposed reviewers by the candidate and the unit administrator must be experts who are qualified to provide a professional assessment of the impact and quality of the candidate's work in his/her field. (See [ACD 507-06](#).) It is recommended that this occur early in the spring semester, following unit/library (hereafter referred to as "unit") and college/university libraries deadlines.

* If no appropriate unit exists with the college/university libraries, the decanal staff will complete the unit's action items.

Step 2. Candidate's material submission. Candidate checks with unit administrator to determine the unit's/libraries' submission deadlines for the following materials. According to the unit/libraries (hereafter referred to as "unit") deadline, candidate submits electronic copies (PDF) of the following to the unit:

- a. **CV.** A full and comprehensive curriculum vitae with page numbers and candidate's name on each page.
- b. **Personal statement.** A personal statement up to four pages in length, single spaced, 12 pt. font with page numbers and candidate's name on each page. The personal statement provides reviewers with evidence of excellence in position effectiveness as it relates to the candidate's position description; professional development and contributions; institutional, professional, and community service; and how these activities have built the foundation for continued professional growth.
- c. **Research/scholarship.** Any candidate whose position description includes an expectation of research/scholarship shall also submit publications/creative materials.
 - i. Candidate completes the [Confirmation of Publications/Creative Materials Selections](#) by listing four publication titles or descriptions of creative activity reflecting his/her research, scholarship and/or creative activities; includes citation information as applicable and PDF page numbers on form.
 - ii. Candidate provides unit with electronic copies of publications/creative materials identified on the *Confirmation of Publications/Creative Materials Selections*. A portfolio documenting overall professional activity may be submitted as one piece of evidence in lieu of a publication or other material reflecting scholarly/creative and professional endeavors.
 - iii. Candidate signs and submits *Confirmation of Publications/Creative Materials Selections* to the unit.
- d. **Evidence of teaching and mentoring.** Any candidate whose position description includes an expectation of teaching shall include evidence of excellence in teaching and mentoring. These materials are in addition to the [Summary of Student Evaluation of Instruction](#) provided by the unit, and are included in the *Teaching Evidence* section. Candidates should work with their unit administrator to identify appropriate materials that would effectively demonstrate an engaged effort to improve/sustain excellence in teaching and mentoring.

The dossier should include at least three different types of evidence of teaching excellence, one of which must

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be the candidate's [Summary of Student Evaluation of Instruction](#) as required by ABOR policy. Other types of evidence may include, but are not limited to:

- i. recent, objective, and substantive peer or unit administrator evaluations of teaching
- ii. teaching or mentoring honors/awards
- iii. scholarship with a focus on pedagogy
- iv. evidence of student success through a sequence of courses
- v. evidence of mentoring such as student theses and dissertations (especially to completion)
- vi. papers co-authored with students and projects with student collaborators
- vii. evidence of student career success related to the candidate's teaching or mentoring
- viii. examples of effective teaching innovation by the candidate
- ix. peer review of student portfolios
- x. other evidence determined to be appropriate by the unit administrator in consultation with the candidate
- xi. facilitation of workshops on learning outcome assessment or other pedagogical topics

Evidence should not include student comments on evaluations, course materials (syllabi, sample tests), or other subjective materials. Material in this category should be selected carefully as the quantity of material counts toward the page/size limit described in the *Supporting Materials* section.

- e. **Supporting materials (optional).** If applicable, based on the candidate's job description, the candidate submits electronic (PDF) supporting materials to unit. Supporting materials may include a total of 50 pages not to exceed 10MB of additional electronic material highlighting excellence in position effectiveness, teaching, research, and/or service. Letters of support from any academic personnel outside the candidate's academic home are included in this section and are not confidential. Any academic personnel who will review and vote on the candidate should not contribute such a letter. (Note that the materials in item (d) are counted within this page/size limit.) Candidate completes, signs, and submits the [Confirmation of Optional Supporting Materials](#) form to the unit. Indicate on form if there are no materials included in this section. Include citation information as applicable and PDF page numbers on form.

Academic Unit/Library (Unit) Responsibilities

Step 3. Confirmation of unit criteria. Confirm that the unit criteria (as mentioned in [P8](#), "Academic Professional Requirements for Unit Bylaws") have final provost approval.

- a. The approved document (complete bylaws or policies/procedures) should include the criteria and each level of action for academic professional recommendation of approval, dean/university librarian approval, and provost approval.
- b. Bookmark the first page of the unit document(s) and the first page of the criteria within the documents.
- c. If unit criteria are not applicable, please include a page which indicates that.
- d. External reviewers receive criteria only; all internal levels of review receive complete bylaws or policies/procedures.
- e. Unit document is included as *Unit and College/University Libraries Criteria* section.

Step 4. Preparation for external review. It is recommended that no later than May 15, the unit completes the following actions in preparation for external review:

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- a. Unit administrator develops a list of at least 10 names of people he/she recommends to serve as potential external reviewers. Five of the 10 names provided must be at approved peer or aspirational peer institutions. Proposed reviewers by the candidate and the unit administrator must be experts who are qualified to provide a professional assessment of the impact and quality of the candidate's work in his/her field (see [ACD 507-07](#)).
- b. Unit administrator meets with college dean/university librarian to review list of 20 names. From the 20 names, the dean/university librarian identifies acceptable reviewers, equally divided between candidate and unit administrator lists.
- c. Unit administrator informally contacts list of acceptable candidates identified by the dean/university librarian. Informal contact is to ascertain reviewers' availability, with the goal of obtaining 10 available reviewers equally divided between the candidate and unit administrator lists. At least five reviewers must be from peer/aspirational peer institutions.
 - i. The preference is *not* to name the candidate during the informal contact. *However*, if using the candidate's name is necessary in order to secure a strong pool of external reviewers, then the request to each potential reviewer may include the candidate's name, as long as the request to each reviewer is essentially the same with no comment or discussion about the case. The same approach should be used for all candidates in that unit for that year. If the candidate's name is used in the informal request, then the unit administrator should note that fact in the unit administrator letter.
- d. Unit administrator completes the [Record of External Reviewers Grid](#) identifying reviewers who are available and will receive a formal invitation to participate in the review. Once an external reviewer has been formally invited to participate, the reviewer remains on the grid. Declined or no-response emails are not included with the received external reviewer letters. Indicate in participation status if an alternate is not contacted. External reviewers are listed with candidate-proposed reviewers in the first group and unit-administrator-proposed reviewers in the second group. Reviewers are assigned a C# to candidate-proposed reviewers, and an L# to unit-administrator-proposed reviewers. Assign the asterisk symbol (*) to any reviewer listed as an alternate.
- e. Unit administrator signs and submits *Record of External Reviewers Grid* to college dean/university librarian for signature. All reviewers must be approved by the dean/university librarian.

Step 5. Formal invitations. It is recommended that no later than June 1, the unit formally invites and sends review materials to the external reviewers identified on the college dean/university librarian-approved and signed External Reviewers Grid.

- a. Units are encouraged to use the [Sample Outside Letter – Academic Professionals](#).
- b. In soliciting external letters, unit must comply with the [Academic Senate Requirements for Solicitation of Outside Letters of Recommendation](#) as referenced on last page of Record of External Reviewers Grid.
- c. Contents of review packets submitted to the unit to be sent to external reviewers:
 - i. Candidate's current curriculum vitae.
 - ii. The position description for the candidate.
 - iii. Candidate's personal statement.
 - iv. Candidate's publications or other material reflecting scholarly/creative and professional endeavors if the candidate's position description includes an expectation of research/scholarship.
 - v. A current copy of the approved unit and college/university libraries continuing appointment criteria.
- d. Unit coordinates receipt of the external letters and sends reminders for requested letters.
- e. Unit includes the review C# or L# in the top right corner of the first page of each external reviewer letter.
- f. Units are encouraged to number the pages of each letter.
- g. Units are encouraged to acknowledge receipt of external letters.

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- h. All external letters received must be signed by the external reviewer and included in the case file. If an unsigned external letter is received electronically, it should be received from the email address to which the invitation had been sent. Unit should include the email at the end of the attached letter.
- i. Unit administrator should note the participation status of each external reviewer on the External Reviews Grid.

Step 6. Submission to the unit personnel committee. Unit submits electronic candidate file to unit personnel committee. File includes:

- a. Materials submitted by candidate as outlined in Step 2.
- b. **Position description** for the candidate.
- c. **Teaching activities.** For candidates whose position description includes an expectation of teaching activities, the unit shall compile and include the [Confirmation of Teaching Evidence](#), and the [Summary of Student Evaluation of Instruction](#), and may include any other data *directly related* to course evaluations.
 - i. Student comments should not be included.
 - ii. Comparative data of teaching evaluation summary and description of the rating scale are required.
 - iii. All teaching evaluation scores from multiple units should be included. Teaching evaluation scores for cross-listed courses can be merged as long as it is noted on the form under the *Additional Information* column.
 - iv. All years of teaching evaluation scores should be included for those applying for promotion and continuing appointment or continuing appointment only. List all academic-year courses taught since hire at ASU (limit to previous ten years). If ten years of data at ASU is not available, please include course information from previous institutions, if available.
 - v. Academic-unit-directed peer-visit reports during the probationary period or since continuing appointment status was granted can be inserted in the Teaching Evidence section by the unit.
 - vi. *Summary of Student Evaluation of Instruction* is the first document in the *Teaching Evidence* section and does not count toward the 50-page/10MB size limit.
 - vii. Unit bookmarks the first page of each item listed on the *Confirmation of Teaching Evidence*.
 - viii. Units are strongly encouraged to review completed *Summary of Student Evaluation of Instruction* data and all other evidence provided which documents effective teaching (peer reviews, etc.) with candidate prior to unit personnel committee review of case materials.
- d. **Table of sponsored accounts.** For candidates whose position description includes an expectation of research activities, the unit shall request from the dean/university librarian the candidate's *Table of Sponsored Accounts* (see instructional information in Important Reminders section). Include a blank page with a note if no sponsored account information is available or applicable.
- e. **External review materials.** Include a [Record of External Reviewers Grid](#), a copy of one official invitation letter, external reviewer letters received, and the reviewers' curriculum vitae.
- f. **Promotion criteria.** Include complete bylaws, policies/procedures, or other criteria document with unit criteria bookmarked.

Step 7. Addition unit committee letter(s). Unit adds signed internal letters with voting results and page numbers to the electronic case file from the following levels of review. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws

Reminder: All internal letters should refer to external reviewers by the number assigned to them on the *Record of External Reviewers Grid*; no names of individuals or institutions should be referenced in any internal letter.

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- a. Unit personnel committee letter, signed by all members of the committee. If a separate signature page is necessary, include a sentence about the action being taken with the candidate's name at the top of the signature page.
- b. As applicable, a letter from a center director/unit administrator or non-home unit administrator (in the case of a joint appointment). Center directors/unit administrators who submit an internal letter and who belong to the home unit of the candidate may not vote on the case within the home unit.

Step 8. Addition of unit administrator letter. Unit submits complete file to unit administrator for review and recommendation. Signed unit administrator's letter, including page numbers, is added to the electronic case file. See [Best Practices: Academic Unit Letter](#).

Reminder: All internal letters should refer to external reviewers by the number assigned to them on the *Record of External Reviewers Grid*; no names of individuals or institutions should be referenced in any internal letter.

Step 9. APA form. Unit completes *Request for Academic Personnel Action* (APA) form with all appropriate signatures and adds to the electronic case file.

Step 10. Oral statement. The unit administrator may provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the library or the academic unit level; the candidate may choose to withdraw from further consideration at this point ([ACD 507-06](#)). If the candidate chooses to withdraw from further consideration, the unit administrator contacts the dean as soon as possible. The dean then the contacts the provost's office as soon as possible.

Step 11. Submission to the college/university libraries. By the deadline established by the supervising college/university libraries, the unit submits electronic PDF portfolio of each case to college/university libraries for review and recommendation. All sections below are PDFs (no other formats or folders).

- a. The PDF portfolio shall include sections titled and ordered as follows:
 - i. **01_APA form_Last NameFirst Initial**
 - ii. **02_Curriculum Vitae_Last NameFirst Initial**
 - iii. **03_Personal Statement_Last NameFirst Initial**
 - iv. **04_Position Description_Last NameFirst Initial**
 - v. **05_Unit and College/University Libraries Criteria_Last NameFirst Initial** (bookmarked)
 - vi. **06_Internal Letters_Last NameFirst Initial** (personnel committee, followed by unit administrator)
 - vii. **07_External Letters_Last NameFirst Initial** (*Record of External Reviewers Grid*, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)
 - viii. **08_Teaching Evidence_Last NameFirst Initial *** (*Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction*, followed by other evidence with bookmarks)
 - ix. **09_Table of Sponsored Accounts_Last NameFirst Initial ***
 - x. **10_Publications/Creative Material_Last NameFirst Initial *** (*Confirmation of Publications/Creative Materials Selections* followed by the materials in order they appear on the form with bookmarks)
 - xi. **11_External Reviewer Curriculum Vitae _Last NameFirst Initial** (as ordered on the grid and bookmarked)
 - xii. **12_(Optional) Supporting Materials_Last NameFirst Initial** (*Confirmation of Optional Supplemental Materials* followed by supporting materials, with bookmarks)
 - xiii. **13_Addendum_Last NameFirst Initial** ([Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See

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Late-add Materials in the *Important Reminders* section.

***As applicable based on the candidate's position description.**

- b. PDF portfolio should be saved and titled using the following naming convention:
COLLEGE/UNIVERSITY LIBRARIES–UNIT–LastNameFirstName – ActionAcademicYear
(e.g CLAS-PSY-SmithJane-ContinuingAppointment2014-15)
- c. If possible, unit should reduce PDF portfolio and use the text recognition option before submitting to the college/university libraries.
- d. PDF portfolio should be uploaded to electronic site as directed by each college.
- e. No hard copy file is required.

College/University Libraries Responsibilities

- Step 12. Submission to college/university libraries personnel committee.** College/university libraries submits PDF portfolio to college/university libraries personnel committee. File includes:
- a. Materials submitted to and by the unit as outlined in Steps 3-10.
 - b. College/university libraries criteria (as mentioned in [P8](#), "Academic Professional Requirements for Unit Bylaws," of the Policies and Procedures page) which have provost approval.
 - i. The approved document (complete bylaws or policies/procedures) should include the criteria and each level of approval (academic personnel, dean/university librarian, provost).
 - ii. Bookmark the first page of the unit document, the college/university libraries document, and the first page of the criteria within those documents.
 - iii. College/university libraries document is added to the *Unit and College/University Libraries Criteria* section.
- Step 13. Addition of college/university libraries committee letter(s).** College/university libraries adds the internal letter, with voting results and page numbers, from the college/university libraries personnel committee signed by all members of the committee to the end of the Internal Letters section of the PDF portfolio. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws.
Reminder: All internal letters should refer to external reviewers by the number assigned to them on the *Record of External Reviewers Grid*; no names of individuals or institutions should be referenced in any internal letter.
- Step 14. Addition of dean/university librarian letter.** College/university libraries submits PDF portfolio to dean/university librarian for review and recommendation. Signed college dean's/university librarian's letter, including page numbers, is added to PDF portfolio at the end of the Internal Letters section.
Reminder: All internal letters should refer to external reviewers by the number assigned to them on the *Record of External Reviewers Grid*; no names of individuals or institutions should be referenced in any internal letter.
- Step 15. APA form.** College/university libraries reviews for accuracy and updates the *Request for Academic Personnel Action* (APA) form with all appropriate signatures and adds to the PDF portfolio replacing the previous APA form.
- Step 16. Oral statement.** The supervising dean/university librarian may provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the college level; the candidate may choose to withdraw from further consideration at this point ([ACD 507-06](#)). The dean then contacts the provost's office as soon as possible.

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- Step 17. Submission to the provost's office.** By the deadline established by the university, the college/university libraries submits electronic PDF portfolio of each case to the university for review and recommendation. All sections below are PDFs (no other formats or folders).
- a. The PDF portfolio shall include sections titled and ordered as follows:
 - 01_APA form_Last NameFirst Initial**
 - 02_Curriculum Vitae_Last NameFirst Initial**
 - 03_Personal Statement_Last NameFirst Initial**
 - 04_Position Description_Last NameFirst Initial**
 - 05_Unit and College/University Libraries Criteria_Last NameFirst Initial** (bookmarked)
 - 06_Internal Letters_Last NameFirst Initial** (unit personnel committee, followed by unit administrator, college/university libraries personnel committee, dean/university librarian)
 - 07_External Letters_Last NameFirst Initial** (*Record of External Reviewers Grid*, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)
 - 08_Teaching Evidence_Last NameFirst Initial *** (*Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction*, followed by other evidence)
 - 09_Table of Sponsored Accounts_Last NameFirst Initial ***
 - 10_Publications/Creative Material_Last NameFirst Initial *** (*Confirmation of Publications/Creative Materials Selections*, followed by materials in the order they appear on the form with bookmarks)
 - 11_External Reviewer Curriculum Vitae_Last NameFirst Initial** (as ordered on the *Record of External Reviewers Grid* and bookmarked)
 - 12_(Optional) Supporting Materials_Last NameFirst Initial** (*Confirmation of Optional Supporting Materials* followed by supplemental materials in the order they appear on the form and bookmarked)
 - 13_Addendum_Last NameFirst Initial** (if applicable, [Confirmation of Addendum Materials](#), followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See *Late-add Materials* in the *Important Reminders* section.)
 - *As applicable based on the candidate's position description.**
 - b. PDF portfolio should be saved and titled using the following naming convention:
COLLEGE/UNIVERSITY LIBRARIES–Unit–LastNameFirstName – ActionAcademicYear
(e.g CLAS-PSY-SmithJane-ContinuingAppointment2012-13)
 - c. If possible, unit should reduce PDF Portfolio and use the text recognition option before submitting to the university.
 - d. PDF portfolio should be uploaded to a secure college-specific site on provost's share drive as directed by the university; notify the provost's office by email that the file has been uploaded.
 - e. Please do not submit a hard copy of this file.

IMPORTANT REMINDERS

Table of Sponsored Accounts

- The candidate's *Table of Sponsored Accounts* shall be included in the case file for those academic professionals whose job expectations include research activities. Prior to initial internal review, the unit secures from the dean/university librarian's office the candidate's *Table of Sponsored Accounts* taken from *ASU Faculty Dashboard*. No changes should be made to the

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table. A candidate may include more information or clarification in the curriculum vitae or in supporting materials. Table should reflect activity from calendar year 2000 or time of hire (see example).

Year	Proposals	Awards	Expenditures	FA Income
2000	\$464,000.00	\$119,121.00	\$98,681.55	\$19,000.74
2001	\$195,775.92	\$179,178.00	\$158,595.37	\$21,197.72
2002	\$255,783.00	\$115,000.00	\$127,826.19	\$18,945.33
2003	\$537,000.00	\$115,001.00	\$116,331.12	\$22,091.65
2004	\$72,844.00	\$120,344.00	\$112,868.86	\$22,317.17
2005	\$59,359.00	\$125,485.00	\$141,536.84	\$28,009.11
2006	\$437,072.00	\$151,287.00	\$141,614.92	\$27,407.72
2007	\$14,887.00	\$96,476.00	\$94,875.21	\$18,211.40
2008	\$60,961.00	\$89,286.00	\$113,080.19	\$21,451.78
2009	\$477,820.13	\$175,473.00	\$176,051.56	\$15,465.45
2010	\$16,256.00	\$97,192.00	\$86,713.37	\$14,254.67
2011	\$0.00	\$85,000.00	\$73,516.52	\$13,546.73
2012	\$377,501.00	\$85,000.00	\$71,536.03	\$13,257.78
2013	\$0.00	\$0.00	\$19,256.16	\$3,542.82

Internal Review

- Each level of review should provide a substantive evaluation of the case and directly address questions arising at earlier levels of review. Internal letters SHOULD NOT repeat case details which have already been addressed. Rather, evaluate the case, correct misstatements, substantiate or challenge claims, and provide additional information. Be scrupulous about providing evidence and documentation for important assertions about the case, and be sure to contextualize these assertions (acceptance rates in journals, significance of specific awards in your field, etc.).
- Internal evaluation letters and committee recommendations (omitting identification of external reviewers) should explicitly address the following:
 - Articulate the role of the academic professional in relation to unit goals and mission and address the strengths and weaknesses of the candidate's position effectiveness, professional contributions, and institutional, professional, and community service in relation to the candidate's position description.
 - Detailed evaluation of the quality and impact of the candidate's professional contributions and service.
 - Assessment of expected future contributions.
 - Clear specifications of the candidate's contributions to collaborative projects (including external funding where applicable).
 - Comparative analysis of the candidate's standing in the field, relative to national peers.
 - If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws and policies/procedures.

Personnel Committee

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- All college/university libraries committees meeting to review continuing status files must inform the unit administrator or dean/university librarian (as appropriate) if there are major faults or omissions in the material or if significant questions or possible misunderstandings arise. The unit administrator or dean/university librarian may send additional letters to the committee as the case progresses if there is a need to either clarify or provide additional information.

Late-add Materials

- Candidates seeking a continuing appointment must have their file complete by the deadline established by the college/university libraries for submission to begin the review process. Any additional, revised, or updated materials received after the first response from an external reviewer has been received is included in the addendum. If the information is received after the candidate's file has left the unit, then it is forwarded to each previous internal level of review. A brief statement should be written at each review level stating whether or not the new material would change their earlier recommendation in any way. The deadline to submit additional materials to the dean/university librarian for the case is November 30 each year. Any additional materials after that time require the dean or university librarian to seek approval from the provost's office for submission.