Process Guide for Academic Professional Probationary or Conditional Review in RPT
(continuing-appointment-eligible academic professionals)

Academic Affairs Manual (ACD) Policies governing review for continuing appointment: ACD 507-05.

For all stages, documents should be unlocked. Do not use Adobe Sign, Adobe Certificate, DocuSign, or cursive fonts to sign forms or letters. JPEG signature is accepted.

Candidate Responsibilities

Step 1. **Candidate's submission**. Candidate checks with unit chair/director/library administrator (hereafter referred to as "unit administrator") to determine the unit's/libraries' (hereafter referred to as "unit") submission deadlines for the following materials.* According to the unit deadline, candidate submits electronic copies in PDF form of the following to the unit via the Review, Promotion and Tenure (RPT) module in APARS:

*If no appropriate unit exists within the college/ASU Library, the decanal staff will complete the unit's action items.

    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 and 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/their research, scholarship and/or creative activities; include citation information as applicable and PDF page numbers on the 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 excellence in 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 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. Include a blank page with a note if there are no teaching materials.

    e.   **Supporting materials (optional).** If applicable, based on the candidate's job description, 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 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* sheet to the unit. The confirmation page does not count toward the 50-page limit. Indicate on form if there are no materials included in this section. Include citation information as applicable and PDF page numbers on the form.

Academic unit/library (unit) responsibilities

Step 2.   **Confirmation of unit criteria**. Unit confirms that the unit criteria (as mentioned in P8 *Academic Professional Probationary, Continuing Appointment, and Promotion Requirements for Academic Unit Bylaws*) have been approved/posted by the provost's office.

    a.   The approved or posted document (complete bylaws or policies/procedures) should include the criteria and indicate each level of approval or review attained (academic professional assembly/dean/university librarian/provost).

    b.   Bookmark the first page of the unit document, and bookmark the first page of the criteria.

    c.   If unit criteria are not applicable, please include a page which indicates that.

    d.   Unit document is included in the *Unit and College/ASU Library Criteria* section.

Step 3.   **Submission to unit personnel committee**. Unit securely submits electronic candidate file to unit personnel committee via RPT. File includes:

    a.   Materials submitted by candidate as outlined in Step 1.

    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 a *Confirmation of Teaching Evidence* and *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 additional information.

    iv.   All years of teaching evaluation scores should be included for academic professionals applying for promotion and continuing appointment or continuing appointment only. For academic professionals with continuing status, list all the academic-year courses taught since hire at ASU (limit to previous ten years). If ten years for data at ASU is not available, please include course information from previous institutions, if available.

    v.   Unit-administrator-directed peer-visit reports during the probationary period or since tenure 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 that documents effective teaching (peer reviews, etc.) with candidate prior to unit personnel committee review of case materials.
Include a blank page with a note if there are no teaching materials.

    d.   **Faculty Sponsored Activity Report**. For candidates whose position description includes an expectation of research activities, the unit shall request from the dean/university librarian a *Faculty Sponsored Activity Report* (see instructional information in *Important Reminders* section).

    e.   **Criteria for promotion**. Include complete unit bylaws or other criteria document with criteria bookmarked.

Step 4.   **Faculty Sponsored Activity Report**. If external funding is expected for candidates in the candidate's academic unit, then the unit obtains a *Faculty Sponsored Activity Report* from the dean's/university librarian's office prior to initial internal review. (See instructional information in *Important Reminders* section.) Include a blank page with a note if no sponsored account information is available or applicable.

Step 5.   **Addition of unit committee letter(s)**. Unit adds signed internal letters with voting results and page numbers to the *Internal Letters* section of the electronic case file via RPT 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.

    a.   Unit personnel committee letter, signed by all members of the committee. If a separate signature page is necessary, please 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 6.   **Request form**. Unit completes *Request for Academic Personnel Action* (APA) form with all appropriate signatures and adds to the electronic case file via RPT.

Step 7.   **Addition of unit administrator letter**. Unit securely submits complete RPT case file to unit administrator for review and recommendation. Signed unit administrator's letter, including page numbers, is added to the *Internal Letters*

section of the electronic case file via RPT. See *Best Practices: Academic Unit Letter*.

Unit updates *Request for Academic Personnel Action* (APA) form with the unit administrator's signature and adds it to the electronic case file via RPT, hiding the previous APA form.

Step 8.   **Oral statement**. Academic professionals under review prior to their final year shall be informed orally by the unit administrator of the recommendations being made to the next level of review (ACD 507-05).

Step 9.   **Submission to the college/ASU Library**. By the deadline established by the supervising college/ASU Library, the unit submits the RPT case file to the college/ASU Library for review and recommendation. All sections below are individual 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/ASU Library Criteria_Last NameFirst Initial (with bookmarks)
      06_Internal Letters_Last NameFirst Initial (individual files for the unit personnel committee followed by unit administrator)
      08_Teaching Evidence_Last NameFirst Initial* (Confirmation of Teaching Evidence, *Summary of Student Evaluation of Instruction*, followed by other teaching evidence with bookmarks)
      09_Faculty Sponsored Activity Report_Last NameFirst Initial* (include a blank page with a note if no sponsored account information is available or applicable)
      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_(Optional) Supporting Materials_Last NameFirst Initial (Confirmation of Optional Supporting Materials followed by supporting materials, in the order they appear on the form with bookmarks)
      12_Addendum_Last NameFirst Initial (if applicable, Confirmation of Addendum Materials, followed by materials (with bookmarks) that were added to the file after the candidate's originally submission.
      *As applicable based on the candidate's position description.
   b. If possible, unit should reduce PDF and use the text recognition option before uploading each PDF document.
   c. Please do not send a hard copy of the file.

College/University Libraries Responsibilities

Step 10.   **Submission to the college/ASU Library personnel committee**. College/ASU Library securely submits RPT case file to college/ASU Library personnel committee. File includes:
   a. Materials submitted to and by the unit as outlined in the previous steps.
   b. College/ASU Library criteria (as mentioned in P8 *Academic Professional Probationary, Continuing Appointment, and Promotion Requirements for Academic Unit Bylaws*) which have been approved/posted by the provost's office.

      i. The approved or posted document (complete bylaws or policies/procedures) should include the criteria and indicate each level of approval or review attained (academic professional assembly/dean/university librarian/provost).

      ii. Bookmark the first page of the unit document, the college/ASU Library document, and the criteria within both of those documents.

      iii. College/ASU Library document is added to *Unit and College/ASU Library Criteria* section.

Step 11. **Addition of college/ASU Library committee letter(s)**. College/ASU Library adds the internal letter, with voting results and page numbers, from the college/ASU Library personnel committee signed by all members of the committee to the end of the Internal Letters section of the RPT case file. 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

Step 12. **Request form**. College/ASU Library reviews for accuracy and updates the *Request for Academic Personnel Action* (APA) form with all appropriate signatures and adds it to the RPT case file, hiding the previous APA form.

Step 13. **Addition of dean/university librarian letter**. College/ASU Library submits RPT case file to college dean/university librarian for review and determination/recommendation. Signed college dean's/university librarian's letter, including page numbers, is added to RPT case file at the end of the Internal Letters section.

Request form. College/ASU Library updates the *Request for Academic Personnel Action* (APA) form with the dean's/university librarian's signature and adds it to the RPT case file, hiding the previous APA form.

Step 14. **Submission to the provost's office**. By the deadline established by the university, college/ASU Library submits the RPT case file to the Office of the University Provost. All sections below are PDFs (no other formats or folders):

    a. The RPT case file 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/ASU Library Criteria_Last NameFirst Initial (with bookmarks)

        06_Internal Letters_Last NameFirst Initial (individual files for the unit personnel committee (if any), unit administrator (if any), college/ASU Library committee, and dean/university librarian, in that order)

        08_Teaching Evidence_Last NameFirst Initial* (*Confirmation of Teaching Evidence*, *Summary of Student Evaluation of Instruction*, followed by other teaching evidence with bookmarks)

        09_Faculty Sponsored Activity Report_Last NameFirst Initial* (include a blank page with a note if no external funding is expected or applicable)

        10_Publications/Creative Material_Last NameFirst Initial* (Confirmation of Publications/Creative Materials Selections followed by materials in order they appear on the form with bookmarks)

        11_(Optional) Supporting Materials_Last NameFirst Initial (Confirmation of Optional Supporting Materials followed by supporting materials in the order they appear on the form with bookmarks)

        12_Addendum_Last NameFirst Initial (If applicable, Confirmation of Addendum Materials, followed by materials (with bookmarks) that were added to the file after the unit's original submission.

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

     b.   If possible, college/ASU Library should reduce PDF and use the text recognition option before submitting to the university. Do not lock the portfolio or the documents.

     c.   Please do not send a hard copy of the file.

     d.   NOTE: Distribution of notification letters to the successful candidates should be made at the same time as the notifications of decision from the provost on the recommended terminal contract reviews. The RPT case file will be returned to the college/ASU Library after review by the Office of the University Provost.

     e.   If the recommendation is for a regular contract, the Office of the University Provost will only review the APA form and the dean's/university librarian's (notification) letter. The responsibility for decision-making and records retention will remain at the college level.

If a candidate is being given a <u>conditional retention</u>, go to Step 15. If the dean's/university librarian's recommendation is for a terminal contract, go to Step 19. If it is a <u>regular contract</u>, proceed to Step 20.

<u>Conditional Retention</u>

Step 15.   **Submission to the provost's office.** By the deadline established by the university, college/ASU Library submits to the provost office:

     a.   The RPT case file as outlined above.

     b.   A draft of the dean's/university librarian's notification letter to the candidate as a Word document. This is a written statement from the dean/university librarian to the probationary academic professional regarding the conditions which must be met within a specific period of time (generally one year) in order to return to probationary status following the conditional year. The conditional letter should have cc line for the vice provost for academic personnel. The dean's draft letter in Word format should be uploaded to Dropbox, in addition to RPT, using the naming convention COLLEGE-UNIT-LastNameFirstName-MYRenewalAcademicYear.

Step 16.   **Provost office approval**. The letter should not be released until approval at the provost office level has been received.

Step 17.   **Conditional letter deadlines**. By the deadline established by the university, the dean/university librarian must provide a written statement to the probationary academic professional of the conditions that must be met within a specific period of time (generally one year) in order to return to probationary status following the conditional year. Per ACD 507–05, academic professionals who are recommended for a conditional appointment must be notified by his/her/their dean/university librarian no later than April 10 for an academic-year appointment and no later than May 10 for a fiscal-year appointment. The academic professional will have 30 calendar days to petition the dean/university librarian with reason for review of the decision. If the petition is not received by May 10 for an academic-year appointment or by June 10 for a fiscal-year appointment, the conditional contract will not be reconsidered

Step 18.   **Conditional Review.** A conditional review must be conducted at or near the end of the period specified in the statement of conditions to determine if the conditions have been met.

     a.   If the conditions have been met, the academic professional will receive a probationary appointment for the following year.

     b.   If the conditions have not been met, the academic professional will receive a terminal appointment for the following year.

Recommendation for Terminal Contract

Terminal contract. If the dean's/university librarian's recommendation is for a terminal contract, the Office of the University Provost will review the complete RPT case file.

Regular Contract

Step 19.   **Notification.** Per ACD 507–05, academic professionals who undergo probationary reviews will be informed of the results in writing by their academic unit administrator no more than 30 days after the unit administrators have received written notification of retention decisions from the dean/university librarian. At the time that academic professionals are informed of the retention decisions, they must also be given a copy of the written reviews submitted by each level in the probationary review process, e.g., academic personnel committee, unit administrator, college/ASU Library personnel committee, and college dean/university librarian.

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IMPORTANT REMINDERS

RPT Templates
- Templates in RPT should use the following naming convention: COLLEGE–UNIT–ActionAcademicYear (e.g. LAW-LAWLIBRARY-Academic Professional Probationary Review2014-15). Cases can only have the name of the academic professional by default, but they will show the template from which they were created, as well as the unit.

Faculty Sponsored Activity Report
- The candidate's *Faculty Sponsored Activity Report* 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 *Faculty Sponsored Activity Report* taken from *ASU Faculty Dashboard*. No changes should be made to the report. A candidate may include more information or clarification in the curriculum vitae or in supporting materials. Report should reflect activity from calendar year 2000 or time of hire (see example below).

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 that 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 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 or policies/procedures.