

# Process Guide for Academic Professional Probationary or Conditional Review

(continuing appointment eligible academic professionals)

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

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 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:

**\*If no appropriate unit exists within the college/university libraries, 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. **Publications/creative materials.** 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; 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 chair/director 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 Evaluations as required by ABOR policy. Other types of evidence may include, but are not limited to:

- i. recent, objective, and substantive peer or director 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 collaborators

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- vi. evidence of student career success related to the candidate's teaching or mentoring
  - vii. examples of effective teaching innovation by the candidate
  - viii. peer review portfolios
  - ix. other evidence determined to be appropriate by the chair/director in consultation with the candidate
  - x. 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, 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. Indicate on form if there are no materials included in this section. Include citation information as applicable and PDF page numbers on the form.

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## 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](#) of the Policies' Procedures page) have provost approval.
- a. The approved document (complete bylaws or policies/procedures) should include the criteria and each level of approval (academic professional assembly, dean/university librarian approval, and provost approval).
  - b. Bookmark the first page of the unit document, and 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/University Libraries Criteria section.
- Step 3. Submission to unit personnel committee.** Unit securely submits electronic candidate file to unit personnel committee. File includes:
- a. Materials submitted by candidate as outlined in Step 1.
  - b. Position description for the candidate.
  - c. 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.

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- iv. All years of teaching evaluation scores should be included for academic personnel applying for promotion and continuing appointment or continuing appointment only. The previous ten years of teaching evaluation scores should be included for those applying for promotion to full.
- 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.
- d. For candidates whose position description includes an expectation of research activities, the unit shall request from the dean/university librarian a Table of Sponsored Accounts (see instructional information in Important Reminders section).
- e. Complete unit bylaws or policies/procedures with criteria bookmarked.

**Step 4. External funding.** If external funding is expected for candidates in the candidate's academic unit, then the unit obtains a Table of Sponsored Accounts 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 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.

- a. Unit Personnel Committee, 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, center director/library administrator or non-home unit administrator (in the case of a joint appointment). Center directors/library 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. Addition of unit administrator letter.** Unit securely 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 [Guidance for Chair/Director letters](#).

**Step 7. APA form.** Unit completes [Request for Academic Personnel Action](#) form with all appropriate signatures and adds to the electronic case file.

**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.** 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. For information

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about creating a PDF portfolio, please see [How to Create a PDF Portfolio](#). 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** (with bookmarks)
  - vi. **06\_Internal Letters\_Last NameFirst Initial**(personnel committee followed by unit administrator)
  - vii. **07\_Teaching Evidence\_Last NameFirst Initial** \* ([Confirmation of Teaching Evidence](#), Summary of Student Evaluation of Instruction, followed by other evidence)
  - viii. **08\_Table of Sponsored Accounts\_Last NameFirst Initial** \*(include a blank page with a note if no sponsored account information is available or applicable)
  - ix. **09\_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)
  - x. **10\_(Optional) Supporting Materials\_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials, in the order they appear on the form)
  - xi. **11\_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. PDF Portfolio should be saved and titled using the following naming convention:  
COLLEGE/UNIVERSITY LIBRARIES–UNIT–LastNameFirstName – ActionAcademicYear  
(e.g *CLAS-PSY-SmithJane-ProbationaryReview2012-13*)
- c. If possible, unit should reduce PDF and use the text recognition option before submitting to the college/university libraries.
- d. PDF Portfolio should be uploaded to a secure site, as directed by the college or university libraries.
- e. Please do not send a hard copy of the file.

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## College/University Libraries Responsibilities

- Step 10. Submission to the college/university libraries personnel committee.** College/university libraries securely submits PDF Portfolio to college/university libraries personnel committee. File includes:
- a. Materials submitted to and by the unit as outlined in the previous steps.
  - b. College/university libraries criteria (as mentioned in [P8 Academic Professional Probationary, Continuing Appointment, and Promotion Requirements for Academic Unit Bylaws](#) of the Policies' 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 professional assembly, dean/university librarian, provost).
    - ii. Bookmark the first page of the unit document, the college/university libraries document, and the criteria within those documents.
    - iii. College/university libraries document is added to Unit and College/University Libraries Criteria section.

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- Step 11. 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
- Step 12. Addition of dean/university librarian letter.** College/university libraries submits PDF Portfolio to college dean/university librarian for review and determination/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.
- Step 13. APA form.** College/university libraries reviews for accuracy and updates the Academic Personnel Action (APA) form with all appropriate signatures and adds to the PDF Portfolio replacing the previous APA form.
- Step 14. Submission to the provost's office.** By the deadline established by the university, college/university libraries submits to the Vice Provost of Academic Personnel:
- [Summary of AP Probationary Decisions](#) (in a PDF file) of all of the academic professionals who underwent a probationary/conditional review during the academic year, the candidate's current title, the unit, and the dean's/university librarian's decision.
  - A copy of the signed APA form for each candidate.
  - A copy of the dean's/university librarian's notification letter to each candidate. (NOTE: Distribution of notification letters to the successful candidates should be made at the same time as the notification of decision from the provost on the recommended terminal contract reviews.)

If it is a **conditional retention**, proceed to **Step 15**. If the dean's/university librarian's recommendation is for a **terminal contract**, proceed to **Step 17**. If it is a **regular contract**, proceed to **Step 18**.

## Conditional Retention

- Step 15. Written statement.** 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 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 16. 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.
- If the conditions have been met, the academic professional will receive a probationary appointment for the following year.
  - If the conditions have not been met, the academic professional will receive a terminal appointment for the following year.

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## Recommendation for Terminal Contract

- Step 17. Terminal contract.** If the dean's/university librarian's recommendation is for a terminal contract, the PDF Portfolio should come forward to the Provost's Office for review. 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** (with bookmarks)
    - vi. **06\_Internal Letters\_Last NameFirst Initial** (unit personnel committee, followed by unit administrator)
    - vii. **07\_Teaching Evidence\_Last NameFirst Initial \*** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction, followed by other evidence)
    - viii. **08\_Table of Sponsored Accounts\_Last NameFirst Initial \*** (include a blank page with a note if no external funding is expected or applicable)
    - ix. **09\_Publications/Creative Material\_Last NameFirst Initial \*** (Confirmation of Publications/Creative Materials Selections followed by materials in order they appear on the form)
    - x. **10\_(Optional) Supporting Materials\_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials in the order they appear on the form)
    - xi. **11\_Addendum** (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. PDF Portfolio should be saved and titled using the following naming convention:  
COLLEGE/UNIVERSITY LIBRARIES-UNIT-LastNameFirstName-ActionAcademicYear  
(e.g. CLAS-PSY-SmithJane-ProbationaryReview2012-13)
  - c. If possible, college/university libraries should reduce PDF and use the text recognition option before submitting to the university.
  - d. PDF Portfolio should be uploaded to a college-specific site on provost's share drive as directed by the university; notify the provost's office by email when the file has been uploaded.
  - e. Please do not submit a hard copy of this file.

## Regular Contract

- Step 18. 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 professional personnel committee, academic unit administrator, college/university librarian personnel committee, and college dean/university librarian.

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## IMPORTANT REMINDERS

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## 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 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 below).

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 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.