

Process Guide for Probationary or Conditional Review

(tenure-track faculty)

Academic Affairs Manual (ACD) policies governing Probationary or Conditional Reviews: [ACD506-03](#)

Probationary Review

Candidate Responsibilities

- Step 1.** Candidate checks with unit chair/director to determine the unit's submission deadlines for the following materials. Typically, Assistant Professors have a Probationary Review in their 3rd year and Associate Professors without Tenure have their Probationary Review in their 2nd year. According to the unit deadline, candidate submits electronic copies (PDF) of the following to the unit:
- a. A full and comprehensive **Curriculum Vitae** with page numbers and candidate name on each page.
 - b. A **Personal Statement** up to four pages in length, single spaced, 12 pt. font with page numbers and candidate name on each page. The personal statement should help reviewers see relationships between the candidate's teaching, research, and service; and how these activities have built the foundation for continued professional growth.
 - c. **Publications/Creative Materials:**
 - i. Candidate completes the [Confirmation of Publications/Creative Materials Selections](#) by listing up to four publication titles or descriptions of creative activity reflecting his/her research, scholarship, and/or creative activities; please include citation information as applicable and PDF page numbers on the form. A creative activities portfolio documenting overall professional activity may be submitted as one piece of evidence.
 - ii. Candidate provides unit with electronic copies of publications/creative materials identified on the Confirmation of Publications/Creative Materials Selections. If applicable, submit three copies of CDs or DVDs of copyrighted material which cannot be scanned (e.g. music, film, etc.).
 - i. Candidate signs and submits Confirmation of Publications/Creative Materials Selections to the unit. 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.
 - d. **Evidence of Excellence in Teaching and Mentoring.** These materials are in addition to the Summary of Student Evaluation of Instruction provided by the unit. Material in this category is 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 (3) 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: recent, objective, and substantive peer or director evaluations of teaching, teaching or mentoring honors/awards, scholarship with a focus on pedagogy, evidence of student success through a sequence of courses, evidence of mentoring such as student theses and dissertations (especially to completion), papers co-authored with students and projects with student collaborators, evidence of student career success related to the candidate's teaching or mentoring, examples of effective teaching innovation by the candidate, peer review of student portfolios; or other evidence determined to be appropriate by the chair/director in consultation with the candidate, or 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, regardless of whether materials are required by the college or academic unit. (Summary of Student Evaluation of Instruction does not count toward the 50 page/10 MB size limit.)

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- e. **Supporting Materials (Optional).** 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 teaching, research, and/or service. If the candidate chooses to include letters of support from faculty in this section, the letters are not confidential. (Note that the materials in item (1.d.) are included and counted within this page/size limit.) Candidate completes, signs, and submits the [Confirmation of Optional Supporting Materials](#) sheet to the unit. If the candidate is not submitting any supporting materials, please indicate it on the form. Please include citation information as applicable and PDF page numbers on the form. 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.

Unit responsibilities

- Step 2.** Confirm that unit criteria have final approval by the provost as mentioned in [P3 University Faculty Probationary, Tenure and Promotion Requirements for Academic Unit Bylaws](#).
 - a. If faculty review criteria—including promotion and tenure criteria—are imbedded within a larger document (e.g. bylaws, policies or procedures guides), submit the entire approved document with bookmarks on the first page of the document as well as the criteria section. NOTE: All ASU levels of review receive the entire bookmarked document.
 - b. If unit criteria are not applicable, please include a page that indicates that unit criteria are not included.
 - c. Unit document(s) are included in **Unit and College Criteria** section.
- Step 3.** Unit compiles and completes the [Confirmation of Teaching Evidence](#) and [Summary of Student Evaluation of Instruction](#) and may include any other data **directly related** to course evaluations.
 - a. Student comments should not be included.
 - b. Comparative data of teaching evaluation summary and description of the rating scale are required.
 - c. 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.
 - d. All years of teaching evaluation scores at ASU should be included for probationary faculty.
 - e. Academic unit-directed peer visit reports during the probationary period or since tenure can be inserted in the Teaching Evidence section by the unit.
 - f. 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.
 - g. Unit bookmarks the first page of each item listed on the Confirmation of Teaching Evidence.
 - h. Units are strongly encouraged to review completed Confirmation of Teaching Evidence and Summary of Student Evaluation of Instruction data with candidate and all other evidence provided that documents effective teaching (peer reviews, etc.) prior to unit personnel committee review of case materials.
- Step 4.** If external funding is expected for candidates in the candidate's academic unit, then the unit obtains a **Sponsored Project Activity** report from dean'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.** Unit securely submits electronic candidate file to unit personnel committee. File includes:
 - a. Materials submitted by candidate as outlined in Step 1.
 - b. Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction and other evidence of effective teaching.

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- c. If external funding is expected of candidates in the candidate's academic unit, Table of Sponsored Accounts from dean's office. Include a blank page with a note if no sponsored account information is available or applicable.
- d. Complete unit bylaws or policies/procedures with criteria bookmarked.

Step 6. 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 that is being taken with the candidate's name at the top of the signature page. Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- b. As applicable, center director or non-tenure home unit chair/director (in the case of a joint appointment). Such letters should represent an independent recommendation. Center directors who submit an internal letter and who belong to the candidate's tenure home unit may not vote on the case within the tenure home.

Step 7. Unit submits complete file to unit chair/director for review and recommendation. Signed unit chair/director letter, including page numbers, is added to the electronic case file. See [Guidance for Chair/Director letters](#). Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

Step 8. Unit accurately completes [Academic Personnel Action \(APA\) form](#) with all appropriate signatures and adds to the electronic case file. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

Step 9. By the deadline established by the supervising college, the unit submits electronic **PDF Portfolio** of each case to college for review and recommendation. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.

- 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_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 2)
 - v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee followed by unit chair/director with bookmarks)
 - vi. **06_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
 - vii. **07_Sponsored Project Activity_Last NameFirst Initial** (If external funding is expected of candidates in the candidate's academic unit; or includes a blank page with a note if no sponsored account information is available or applicable.)
 - viii. **08_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet with bookmarks)

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- ix. **09_(Optional) Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials, with bookmarks)
- x. **10_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the unit personnel committee reviews the file.)
- b. **PDF Portfolio** should be saved and titled using the following naming convention:
COLLEGE–UNIT–LastNameFirstName–ActionAcademicYear
(e.g. CLAS-PSY-SmithJane-ProbationaryReview2014-15 or HIDA-SOA-JonesTom-PromotionFull2014-15 or BUS-MGT-JonesMary-TenureOnly2014-15 or NUR-SmithRobert(Bob)-ProbationaryReview2014-15 or LAW-ThomopsonMichael-ConditionalReview2014-15 or NCIAS-SMNS-BrownBrian-Streamline2014-15)
- c. If possible, unit should reduce PDF and use the text recognition option before submitting to the college. Do not lock the portfolio or the documents.
- d. **PDF Portfolio** should be uploaded to a secure site as directed by each college.
- e. No hard copy file is required.

College responsibilities

- Step 10.** College securely submits **PDF Portfolio** to college personnel committee. File includes:
- a. Materials submitted to and by the unit in Steps 2-7.
 - b. Confirm that the college and unit criteria included in the file have final approval by the provost as mentioned in [P3 University Faculty Probationary, Tenure and Promotion Requirements for Academic Unit Bylaws](#).
 - i. If faculty review criteria---including promotion and tenure criteria---are imbedded within a larger document (e.g. bylaws, policies or procedures guides), submit the entire approved document with bookmarks on the first page of the document as well as the criteria section. NOTE: All ASU levels of review receive the entire bookmarked document.
 - ii. If college criteria are not applicable, please include a page that indicates that college criteria are not included.
 - iii. College document(s) are included in **Unit and College Criteria** section.
- Step 11.** College adds the internal letter, with voting results and page numbers, from the college 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. If a separate signature page is necessary, please include a sentence about the action that is being taken with the candidate's name at the top of the signature page. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- Step 12.** College submits **PDF Portfolio** to dean for review and recommendation. Signed dean's letter, including page numbers, is added to PDF Portfolio at the end of the **Internal Letters** section. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- Step 13.** College reviews the Academic Personnel Action (**APA**) form for accuracy. College updates the Academic Personnel Action (APA) form with all appropriate signatures and adds to the **PDF Portfolio** replacing the previous APA form. Do

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not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

- Step 14.** By the deadline established by the university, college submits to the Vice Provost for Academic Personnel:
- a. An electronic list of all faculty in the college, listed by academic unit, who underwent a probationary/conditional review during that academic year.
 - b. A copy of the signed APA form for each candidate.
 - c. A copy of the dean's notification letter to each candidate. (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.)

If it is a conditional retention, proceed to Step 15. If the dean'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.** By the deadline established by the university, the dean must provide a written statement to the probationary faculty 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 [ACD506-03](#), faculty who are recommended for a conditional appointment must be notified by his/her dean no later than April 10. The faculty member will have 30 calendar days to petition the dean with reason for review of the decision. If the petition is not received by May 10, the conditional contract will not be reconsidered.
- Step 16.** 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 faculty will receive a probationary appointment for the following year.
 - b. If the conditions have not been met, the faculty will receive a terminal appointment for the following year.

Recommendation for Terminal Contract

- Step 17.** If the dean'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) that are combined into a PDF Portfolio.
- a. The **PDF Portfolio** shall include sections titled and ordered as follows:
 - i. **01_APA form_Last NameFirst Initial** (revised to include college committee and dean's signatures)
 - ii. **02_Curriculum Vitae_Last NameFirst Initial**
 - iii. **03_Personal Statement_Last NameFirst Initial**
 - iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 9)
 - v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee, unit chair/director, college committee, dean with bookmarks)
 - vi. **06_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
 - vii. **07_Sponsored Project Activity_Last NameFirst Initial** (If external funding is expected of candidates in the candidate's academic unit; or includes a blank page with a note if no sponsored account information is available or applicable.)

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- viii. **08_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the sheet with bookmarks)
 - ix. **09_(Optional) Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials, with bookmarks)
 - x. **10_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the unit personnel committee reviews the file.)
- b. **PDF Portfolio** should be saved and titled using the following naming convention:
COLLEGE–UNIT–LastNameFirstName–ActionAcademicYear
(e.g. CLAS-PSY-SmithJane-ProbationaryReview2014-15)
 - c. If possible, college should reduce PDF and use the text recognition option before submitting to the university. Do not lock the portfolio or the documents.
 - d. **PDF Portfolio** should be uploaded to a secure college-specific file on Provost's share drive as directed by the university and notify the provost's office by email that the file has been uploaded.
 - e. **Please do not send a hard copy of the file.**

Regular Contract

- Step 18.** Per [ACD506-03](#), faculty who undergo probationary reviews will be informed of the results in writing by their academic unit chairs/directors no more than 30 days after the chairs/directors have received written notification of retention decisions from the dean. At the time that faculty members 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., faculty personnel committee, academic unit chair/director, college personnel committee, and college dean.

IMPORTANT REMINDERS

Sponsored Project Activity

- A faculty sponsored project activity report shall be included in the case file for all promotion and/or tenure case files if external funding is expected of candidates in the person's academic unit. Prior to initial internal review, the unit secures from the dean's office a Sponsored Project Activity report taken from OKED Research Analytics. No changes should be made to the report. A candidate can include more information or clarification in the curriculum vitae or in supporting materials. The report should reflect activity from 2000 or time of hire for each fiscal year.

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.).
- Each level of review should make an independent recommendation that is informed by recommendations from previous levels of review.

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- Internal letters should explicitly address the following:
 - Detailed evaluation of the candidate's scholarly/creative activities including assessment of the quality and impact of the work.
 - Evaluation of the volume of scholarly activity and expected future contributions.
 - Unit/department expectations and disciplinary culture regarding (co-) authorship, authorship order, and grant activities.
 - Clear specifications of the candidate's contributions to collaborative projects (including external funding).
 - Comparative analysis of the candidate's standing in the field, relative to national peers.
 - Analysis of the candidate's scholarly/creative activities with respect to the unit's and college's missions.
 - Analysis of the candidate's teaching effectiveness.
 - Analysis of the quality of the candidate's service contributions.
 - 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.