

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

Academic Affairs Manual (ACD) policies governing Probationary or Conditional Reviews: [ACD507-05](#)

Candidate Responsibilities

- Step 1. Materials submitted by candidate.** Candidate checks with unit administrator to determine the unit's submission deadlines for the following materials. Typically, continuing-appointment-eligible academic professionals have a Probationary Review midway through the period (typically in year three for a six-year clock). According to the unit deadline, candidate submits electronic copies (PDF) of the following to the unit via the Review, Promotion and Tenure (RPT) module in APARS:
- a. **Curriculum Vitae.** 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, minimum of 0.70-inch margins, 12 pt. font with page numbers and candidate name on each page. The personal statement should put past work into perspective, provide clear evidence of that work's impact on the field, and outline future goals. 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:** 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 up to four publication titles or descriptions of creative activity reflecting his/her/their 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. Materials should demonstrate excellence and the promise of continued excellence.
 - 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 that cannot be scanned (e.g. music, film, etc.). Links to web applications (e.g. Dropbox) are not accepted unless the college/ASU library has received prior permission from the provost's office.
 - iii. 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.
 - iv. See **Not Applicable Sections in Important Reminders** if the candidate's position description does not include an expectation of research/scholarship.
 - 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. Material in this category is 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 (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

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

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 unit administrator 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. Continuing status academic professionals may want to include teaching information from the previous ten years. If ten years of data at ASU is not available, course information from previous institutions can be included, if available. Material in this category should be selected carefully, as the quantity of material counts toward the 50-page/10MB size limit described in the Supporting Materials section, regardless of whether materials are required by the college/ASU Library or academic unit. (Summary of Student Evaluation of Instruction does not count toward the 50 page/10 MB size limit; academic unit-directed peer visit reports do not count toward the size limit if required by unit/college/ASU Library bylaws. See **Important Reminders** section for more information.)

- i. See **Not Applicable Sections in Important Reminders** if the candidate's position description does not include an expectation of teaching.
- e. **Supporting Materials (Optional).** Candidate submits electronic (PDF) of Supporting Materials to unit.
 - i. 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. The 50-page/10MB limit is inclusive of materials described in the Evidence of Teaching Excellence section.
 - ii. If the candidate chooses to include letters of support from a member of the academic personnel from units outside their continuing status home in this section, the letters are not confidential. A member of the academic personnel who will review and vote on the candidate should not contribute such a letter (per ACD 111-01). (Note that the materials in item (2.d.) are included and counted within this page/size limit.) The confirmation page does not count toward the 50-page limit.
 - iii. 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. Unit/ College/ Library Criteria.** Confirm that unit and/or college/ASU Library criteria have final approval by the provost and are posted on the academic personnel website.
- a. If promotion criteria—including promotion and continuing status 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.
 - b. Unit and college/ASU Library document(s) are included in **Unit and College/ASU Library Criteria** section.
 - c. If the candidate has an approved Joint Appointment Memorandum of Understanding (JAMOU) on file, the JAMOU is included and bookmarked. The JAMOU goes before the unit criteria in the **Unit and**

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

College/ASU Library Criteria section. If salary amounts or other confidential details are included in the JAMOU, they must be redacted before distribution to internal reviewers, with a note stating who redacted it and the date.

- d. If it is a joint appointment where continuing status is truly in two units (or colleges), the criteria for both units (or colleges) must be included. If it is a joint appointment where continuing status is only in one unit, only the criteria for the academic home is included.
- e. If unit (or college/ASU Library) criteria are not applicable, please include a page that indicates that unit (or college/ASU Library) criteria are not included.
- f. College/ASU Library must review the **Unit and College/ASU Library Criteria** section before distribution to external or internal reviewers.

- Step 3. Teaching Evidence.** Any candidate whose position description includes an expectation of teaching, the 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 academic professionals.
 - e. Academic unit-directed peer visit reports during the probationary period or since continuing status should be inserted in the Teaching Evidence section by the unit. (If required by the unit/college/ASU Library bylaws, these pages do not count toward the 50-page/10MB limit described in Step 2 and in the **Important Reminders** section.)
 - f. The Confirmation of Teaching Evidence is the first document in the Teaching Evidence section. The Summary of Student Evaluation of Instruction is the next document in the Teaching Evidence section. The Confirmation of Teaching Evidence and Summary of Student Evaluation of Instruction do not count toward the 50 page/10MB size limit described in Step 2.d and 2.e.
 - 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.** The unit obtains a **Sponsored Activity Report** from dean's office prior to initial internal review. (See instructional information in **Important Reminders** section.)
- Step 5. APA Form.** Unit accurately completes [Academic Personnel Action \(APA\) form](#) and adds to the **APA Form** section of the electronic case file via RPT.
- Step 6. Submission to unit personnel committee.** Unit securely submits electronic candidate file to unit personnel committee via RPT.
- a. The RPT case shall include PDFs in the following sections:
 - 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**

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

- v. **05_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 3)
- vi. **07_Teaching Evidence_Last NameFirst Initial *** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction followed by other evidence with bookmarks)
- vii. **08_Sponsored Activity_Last NameFirst Initial *** (Include a note on the report if no sponsored account information is available or applicable.)
- viii. **09_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)
- ix. **10_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)

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

- b. If possible, unit should reduce PDF and use the text recognition option before uploading to RPT. Do not lock the portfolio or the documents.
- c. No hard copy file is required.

Step 7. Addition of unit committee letter(s) and signed APA form. Unit adds signed internal letter(s) with voting results and page numbers to the **Internal Letters** section of the electronic case file via RPT. 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. In the case of a joint appointment and if applicable, center director or non- continuing status home unit administrator. Such letters should represent an independent recommendation. Center directors who submit an internal letter and who belong to the candidate's continuing status home unit may not vote on the case within the continuing status home.
- c. Letter(s) are added to the RPT case section titled **06_Internal Letters_Last NameFirst Initial**.
- d. Unit personnel committee chair indicates their recommendation and signs the APA Form, and uploads it to the RPT case section **01_APA Form**.

Step 8. Submission to unit administrator. Unit submits complete file to unit administrator for review and recommendation.

- a. Signed unit administrator letter is added to the **Internal Letters** section of the electronic case file via RPT. Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
- b. Unit chair/director indicates their recommendation and signs the APA Form. 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. Submission to the college/ASU Library. By the deadline established by the college/ASU Library, the unit submits the electronic **RPT case** to the college/ASU Library for review and recommendation. All sections below are PDFs (no other formats or folders).

- a. The RPT case file shall include sections titled and ordered as follows:
 - i. **01_APA Form_Last NameFirst Initial**

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

- 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 Criteria_Unit Name_College Name** (with bookmarks, as described in Step 2)
- vi. **06_Internal Letters _Last NameFirst Initial** (individual files for the unit personnel committee followed by unit administrator)
- vii. **07_Teaching Evidence _Last NameFirst Initial *** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
- viii. **08_Sponsored Activity _Last NameFirst Initial *** (Include a note on the report if no sponsored account information is available or applicable.)
- ix. **09_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)
- x. **10_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials, with bookmarks)
- 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 unit personnel committee reviews the file.)

*As applicable based on the candidate's position description

- b. If possible, unit should reduce PDF and use the text recognition option before uploading to RPT. Do not lock the portfolio or the documents.
- c. No hard copy file is required.

College/ASU Library responsibilities

Step 10. Submission to the college/ASU Library committee. College/ASU Library securely submits RPT case file to college/ASU Library personnel committee. File includes materials submitted to and by the unit in Steps 2-9.

Step 11. Addition of college/ASU Library committee letter and signed APA form. 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.

- a. 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.
- b. College/ASU Library committee chair indicates their recommendation, signs the APA Form, and uploads to RPT.

Step 12. Submission to the dean. College/ASU Library submits RPT case file to dean for review and

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

recommendation. Signed dean's letter is added 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.

a. Dean indicates their recommendation and signs the APA Form.

Step 13. 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:
 - i. **01_APA Form_Last NameFirst Initial** (revised to include college/ASU Library committee and dean's signatures)
 - 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 Criteria_Unit Name_College Name** (with bookmarks, as described in Step 2)
 - vi. **06_Internal Letters_Last NameFirst Initial** (individual files for the unit personnel committee, unit administrator, college/ASU Library committee, dean)
 - vii. **07_Teaching Evidence_Last NameFirst Initial *** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)
 - viii. **08_Sponsored Activity_Last NameFirst Initial *** (Include a note on the report if no sponsored account information is available or applicable.)
 - ix. **09_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)
 - x. **10_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials, with bookmarks)
 - 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 unit personnel committee reviews the file.)

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

- b. If possible, unit should reduce PDF and use the text recognition option before uploading to RPT. 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 (notification) letter. The responsibility for decision-making and records retention will remain at the college/ASU Library level.

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

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

- Step 14.** 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/their 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 15.** 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 16.** If the dean's recommendation is for a terminal contract, the Office of the University Provost will review the complete RPT case file.
- Step 17.** 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 administrator, college/ASU Library personnel committee, and college dean.

IMPORTANT REMINDERS

RPT Templates

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

Not Applicable Sections

- Based on the position description, the following sections may not be applicable for a candidate's file. They should still be included in the case as follows:
 - Teaching Evidence: Include a confirmation page with the candidate's signature, noting that the section is not applicable, and no materials have been provided.
 - Sponsored Activity: Include the summary page with a note that there is no expectation of external funding (see more on the Sponsored Activity Report below).
 - Publications/Creative Materials: Include a confirmation page with the candidate's signature, noting that the section is not applicable, and no materials have been provided.

50-Page/10 MB Limit

- Candidates may provide up to 50 pages not to exceed 10MB of electronic material highlighting excellence in teaching, research, and/or service.

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

- The 50-page/10MB limit includes materials provided by the candidate in both the **Teaching Evidence** and **Supporting Materials** sections.
- The 50-page/10MB limit does not include:
 - Confirmation of Teaching Evidence form
 - Summary of Student Evaluation of Instruction
 - Academic unit-directed peer visit reports, if required by the unit/college/ASU Library bylaws
 - Confirmation of Supporting Materials form

Sponsored Activity Report

- A Sponsored Activity Report shall be included in the case file for all promotion and/or continuing status case files whose position description includes an expectation of research activities. Prior to initial internal review, the unit secures from the dean's office a Sponsored Activity Report from OKED Research Analytics.
- Both the summary and detailed reports pages should be included and combined into one PDF, with bookmarks for Summary, Proposals, Awards and Expenditures.
 - If there is no data in the report (\$0 in all categories), you may print the summary page only and bookmarks are not needed.
 - If there is no expectation of external funding, this should be noted on the summary page of the report.
- Units are strongly encouraged to review the Sponsored Activity Report with candidate prior to unit personnel committee review of case materials.
- No changes should be made to the report. A candidate can include more information in the curriculum vitae, personal statement, or supporting materials. If candidate wants to include additional information regarding the data on the Sponsored Activity Report, note on the Sponsored Activity Report that additional information is included in the Supporting Materials or Addendum section of the case file.
- 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.
- A plurality of the committee should be present and voting on each case.
- All committee letters must list the names of all committee members. If a committee member does not participate, either due to absence or recusal or is ineligible to vote, it should be noted in lieu of a signature and included in the summary of the vote. The best practice is to explicitly state the vote such as "The vote for the retention of CANDIDATE as RANK continuing status -track is: # recommend and # not recommend, with # abstaining, # recused without presence and # absent."
 - Recommend: In favor of the personnel action under consideration
 - Not Recommend: Not in favor of the personnel action under consideration
 - Abstain: Was present for the discussion, but did not vote because insufficient evidence was provided to

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

make a decision. (Abstentions should be rare.)

- Recused without presence: Was not present for the discussion and did not vote because of a possible conflict of interest, personal relationship, or because the committee member had voted on the case in a prior level of review. If a committee member is ineligible to vote because they are not at the rank being considered, they are considered recused.
- Absent: Was not present for the discussion and did not vote
- 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/ASU Library'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.