

2021-2022 Retention, Tenure, and Promotion Reviews

Virtual RTP Process Training Guide

As of January 28, 2022 (updated names and titles)

In order to preserve the confidentiality of personnel committee deliberations and maintain the secret ballot process, Academic Affairs is implementing the following procedures for 2020-2021 RTP personnel committees and the University Tenure and Promotion Appeals Board Committee during the global pandemic. To ensure consistency in the process in this cycle, all personnel committee meetings must occur virtually using the same technology.

Your Role in the Virtual RTP Process

The following individuals should participate in Virtual RTP Process training in order to be prepared for their designated roles:

- Committee Chairs (presiding officers) – need to be able to set up and run the Zoom meeting with appropriate security procedures, admit individuals who are in the waiting room, turn over host role to Department Chair (at the department level) or Dean (at the college level), need to be able to make a record of committee votes
- Department Chairs – need to be able to launch the poll for secret ballot, turn over host role to the presiding officer
- Academic Assistants to the Chair (for departmental review committees) - need to have basic understanding of the set up and running of the Zoom meetings in case you are asked to help; need to be able to initiate DocuSign envelopes using approved RTP templates; need to be able to monitor the progress of collecting signatures of each envelope; need to download final signed copies.
- Dean – need to be able to launch the poll for secret ballot, turn over host role to the presiding officer (if chairing the University Tenure and Promotion Appeals Board Committee, the dean also needs to be able to need to be able to set up and run the Zoom meeting with appropriate security procedures, admit individuals who are in the waiting room, need to be able to make a record of committee votes)
- Academic Associates to the Dean (for college review committees and the University Tenure and Promotion Appeals Board Committee, if applicable) – need to have basic understanding of the set up and running of the Zoom meetings in case you are asked to help; need to be able to initiate DocuSign envelopes using approved RTP templates; need to be able to monitor the progress of collecting signatures of each envelope; need to download final signed copies.

Select the Presiding Officer Prior to the Committee Meeting

- Due to the need to schedule Zoom meetings and build voting polls in advance, the committee shall select a presiding officer prior to the meeting in which the deliberations and votes occur.

- In order to provide technical training and support to presiding officers, Academic Affairs is collecting the names of the presiding officers.
 - a. The department chair shall notify Lisa Phelps in Academic Affairs of the names of the presiding officers for each departmental committee
 - b. The dean shall notify Lisa Phelps in Academic Affairs of the names of the presiding officers for each college committee

Prepare for the Virtual Committee Meeting

Important Notes:

If any meeting participant uses a Mac, they should make sure they have already downloaded the Zoom Desktop App. We recommend doing so at least a couple of days before the meeting. If you are using a Mac, you might need OIT to download the app (administrator rights). We have not seen this issue with PC/Dell computers. Please see Appendix A.

If there are two committee members are from the same household, each committee member should log in to using their own unique APSU /Zoom credentials. Two individuals cannot vote using the same credentials.

If the Department Chair/Director is being reviewed for tenure and or promotion this year, the presiding officer should not select the Department Chair/Director to launch the poll for their own personnel action. **(The Department Chair/Director should leave the Zoom session.)** Instead, the presiding officer should choose the Academic Assistant to the Chair or the Academic Associate to the Dean as the designated person to handle the polling. (The Academic Assistant to the Chair or the Academic Associate to the Dean may need to find an alternate location to ensure privacy and confidentiality.) Please check with your dean if you have any questions.

If the presiding officer of the committee is different and changes for an action or set of actions/reviews, separate Zoom links should be used. Each presiding officer should use a separate unique Zoom session link.

If the presiding officer is the same for multiple actions or candidates, yet the composition of the committee changes in its membership from one type of action /candidate to another, than we strongly recommend that the presiding officer should set up a separate Zoom meeting /link. This helps to ensure the integrity of the process so that only committee members for a specific action have access to the Zoom session. If a question about the committee's action arises in the future, use of separate Zoom links can assist the presiding officer in documenting that only the committee members were invited and participated in the meeting. If the presiding officer chooses to use the same Zoom link while the committee membership changes, the presiding officer should ask individuals to leave if they are not eligible to serve on a specific committee (or join later at the appropriate time) and identify a way to document who was present during each action.

If the committee is reviewing multiple candidates and the meeting is lengthy, consider providing breaks during the meeting. This will help keep the attention of committee members. You can continue to use the same Zoom link.

Specific Steps

1. The presiding officer should follow the step-by-step RTP Virtual Meeting Zoom instructions (see Appendix A).
2. The presiding officer will schedule Zoom meetings that use recommended security procedures:
 - a. Require passcodes
 - b. Turn on the Waiting Room feature; host/co-hosts can admit attendees into the meeting once they confirm the person is invited to the meeting. If a committee member has to step out of the virtual room briefly, they can log back in and wait for the host or co-host to admit them from the waiting room.
 - c. Do not enable the “Enable join before host” feature.
 - d. Do mute participants upon entry; once the meeting starts under the Participants options, you can remove their ability to unmute themselves.
3. The presiding officer is responsible for sending meeting date/time, the Zoom link, meeting ID, meeting passcode, and phone number (if applicable) to all meeting participants (including committee members and department chair/director or dean). The presiding officer should ask the participants to join the Zoom meeting through the Zoom desktop application or Zoom mobile application (required in order to participate in poll) and ask that they join from their APSU Zoom account or, if not signing in, enter their full name, not a nickname, or APSU user name when prompted for name. We recommend the presiding officer sends out meeting invitations that specifically tell participants that they must log in using the Zoom app on the computer or mobile device (meeting hosts must use a computer, not mobile). Please see the guide Distance Education has on downloading and logging in with SSO - https://www.apsu.edu/online/technology/files/zoom_app.pdf. SSO log in is not required to attend meetings unless meeting host is requiring it. This information should also be shared in the invitation and direct attendees to activate their APSU Zoom account at <https://apsu.zoom.us> in advance. It is possible that a committee member may experience “freezing” or other technical issues when using Zoom. Inform your committee members that they should make sure they are using the most recent version of Zoom, their computer and web browsers are updated, and they are connected to a stable internet source. If available, they can hard wire into their internet versus using wireless. They can close any unneeded running applications on their computer. They can ask others on their home network to stop or reduce internet usage during the meeting. In the Zoom app, under Settings, Video, turn off HD.
4. The presiding officer must set up the poll even though they will not be the individual who launches the poll. (Please note that polls cannot be set up using a phone or iPad. Voting can occur on a phone or iPad but you cannot create a poll on those devices.)
5. The polling questions should be consistent: Do you recommend retention of NAME? Do you recommend tenure for NAME? Do you recommend promotion of NAME? The response options are Yes or No. Single Response only.
6. It is important to prepare in advance to launch the poll by following these steps: The designated person who is not a voting member of the committee (the Department Chair or Dean) will be made the host/co-host of the meeting and launch an anonymous poll in Zoom, in which each meeting participant can vote once for the specific personnel action for the specific candidate (one poll per candidate). Zoom’s software automatically prevents a meeting host/co-hosts from voting in a poll.

- a. The host must be using the Zoom app on their desktop computer and they must be logged into their APSU Zoom account.
- b. Polls can only be launched from the desktop app.
- c. Polls can be taken on the **Zoom desktop app, Zoom mobile app** or when joining a meeting from the web browser.

Start the Virtual Committee Meeting

1. The presiding officer will ask committee members to affirm that they are alone in the room where they are located (similar to the APSU Board of Trustees), that they are the only party with audio, video and any other form of access to the virtual RTP meeting and affirm that they will keep all information shared during this process confidential. No one should be listening or sitting in the room with the committee meeting participants. (After consulting with Human Resources and Legal Affairs, Legal Affairs indicated that they are unaware of any legal justification that can be used to require faculty to turn on their web cameras during the RTP committee meeting.)
2. The presiding officer will remind committee members that the meeting will not be recorded in Zoom and the committee members should refrain from recording the committee meeting discussion in Zoom or through any other device. Emphasize the importance of confidentiality.
3. The presiding officer will deactivate the Zoom chat function to eliminate side conversations, except for chatting directly with the host/co-host about technical issues. If the presiding officer changes the chat function so that participants can chat with the host only, participants can chat with the Host and Co-host. The participant will have the option to select which person (host or co-host) with whom to chat.
4. The presiding officer will activate the ability for every committee member to “screen share” during the meeting, in order to display the eDossier.
5. The presiding officer should remind/ask attendees to ensure they joined the meeting through the Zoom app. Consider having a demo poll. If the presiding officer launches the demo poll and a participant cannot see the poll, the participant needs to exit the meeting and join again through the Zoom application. (If the poll is launched and someone exits and re-enters the meeting, they will be able to see/participate in the poll as long as the poll has not been ended by the host and they have not already voted.)
6. In case of the attendance of a non-voting department representative on the college committee, the presiding officer of the college committee should ask the non-voting department representative member of the college committee to rename their Zoom screen name to “Name -non-voting” to their screen name in Zoom. This modified name would appear in the participant list and the presiding officer and meeting host will know and understand that the person should not vote.
7. At a certain point in the meeting, the presiding officer should place the Department Chair (or Dean) into the Zoom waiting room while the committee continues discussion of the candidate’s eDossier. Once the committee is ready to vote, the presiding officer should admit the Department Chair (or Dean) back into the room so that the department chair or dean can launch the poll.

Facilitate the Vote during the Virtual Committee Meeting

In order to preserve the integrity of the secret ballot process, the following procedures will be used for 2020-2021 RTP personnel committees due to the global pandemic.

Reminder: If the Department Chair/Director is being reviewed for tenure and or promotion this year, the presiding officer should not select the Department Chair/Director to launch the poll for their own personnel action. **(The Department Chair/Director should leave the Zoom session.)** Instead, the presiding officer should choose the Academic Assistant to the Chair or the Academic Associate to the Dean as the designated person to handle the polling. Please check with your dean if you have any questions.

1. Before launching the poll, the Department Chair should remind committee members that they can continue discussing the eDossier and the candidate after the department chair “departs.” If so, see #7 above.
2. In case of the attendance of a non-voting department representative on the college committee, the presiding officer of the college committee should place the non-voting department representative in a waiting room (so they cannot vote) prior to making the dean the meeting host.
3. Once the committee is ready to vote, a designated person who is not a voting member of the committee (the Department Chair or Dean) will be made the host of the meeting in order to launch an anonymous poll in Zoom. (Zoom’s software automatically prevents a meeting host/co-host from voting in a poll.)
 - The polling questions should be consistent: Do you recommend retention of NAME? Do you recommend tenure for NAME? Do you recommend promotion of NAME? The response options are Yes or No. Single Response only.
 - The poll should be set up so that each meeting participant can vote once for the specific personnel action for the specific candidate (one poll per candidate)
 - The host must be using the Zoom app on their desktop computer and they must be logged into their APSU Zoom account.
 - Polls can only be launched from the desktop app.
 - Polls can be taken on the **Zoom desktop app, Zoom mobile app** or when joining a meeting from the web browser.
 - Proxy voting shall occur in the form of an email to the presiding officer.

Please see Appendix A for more information.

4. Before launching the poll, the Department Chair or Dean should remind the committee members not to vote until the Department Chair or Dean leaves the room.
5. The Department Chair or Dean should leave the room before the voting occurs, however they must follow these instructions: The Department Chair or Dean who launched the poll should leave their Zoom camera on, turn off their mic, turn off the sound on their computer, and then point their camera to their office door/room door, so that the committee members can watch the Department Chair or Dean leave the office (room) and close the door. This should be done to follow pages 22-23 of the Tenure Procedures & Guidelines (P&G). The presiding officer will need to wait a minute, and then ask if all of the committee members have voted. Once the presiding officer knows that every committee member has voted, the presiding officer or other committee member should text the Department Chair or Dean and ask them to return. The Department Chair or Dean should not return to the room and rejoin the meeting until a committee member texts the Department Chair or Dean and asks them to return.

6. Proxy voting shall occur in the form of an email to the presiding officer. Please note that the poll results should not be shared with the committee if there is a proxy vote. See #8 below.
7. The Department Chair/Dean should not close the poll until everyone has voted. When the Zoom polling is complete (all committee members have voted), the department chair or dean should turn over the hosting role back to the presiding officer. At the college committee, the presiding officer should admit the non-voting department representative from the waiting room.
8. Sharing results
 - The Department Chair/Dean will not share the Zoom poll results. Instead, they will make the presiding officer the meeting host again (after they confirm that every committee member has voted) so that they, the presiding officer, can share the poll results.
 - If there is no proxy vote, the presiding officer should visually display the results of the poll in Zoom. The presiding officer will also verbally share the results of the poll (the vote) with the committee members. (Each vote will continue to remain anonymous.)
 - If there is a proxy vote, the presiding officer should not display the visual Zoom poll results. Instead, the presiding officer will manually re-tally (outside of Zoom) votes taking into account both the proxy votes and Zoom poll results. The presiding officer will verbally share the results of the poll (the vote) with the committee members.
9. Saving the polling results

The presiding officer will obtain a copy of the poll results report (available 5 minutes after the meeting ends) and preserve the results for record keeping. If there is no proxy vote, the presiding officer can also ask the committee members to turn off their camera, so that the presiding officer can take a screen shot of the poll results. The poll results will belong to the meeting host that created the meeting not the meeting host that launches the poll.

If the committee reviewed and voted on more than one candidate in the same Zoom session, the poll results report will list the results of each action on the same Excel sheet. The presiding officer should “separate” out the poll result report for recording keeping (one “sheet” per action/candidate) in order to save as separate Excels when documenting the poll results for each candidate.
10. The presiding officer shall record the results of the poll (secret ballot) on the appropriate personnel form.
11. The presiding officer should remind committee members to check their emails often /to sign DocuSign quickly.
12. If the virtual meeting session is disconnected for technical reasons (internet outage, power outage, etc.), the meeting can be rescheduled and voting can take place again within a short period of time. If the voting has already begun and the committee needs to take a re-vote because the virtual meeting session is disconnected, the presiding officer should contact The Senior Vice Provost for Academic Affairs to request approval to initiate a re-vote. If the committee seeks to re-vote for other reasons, the committee should adhere to the Tenure Procedures & Guidelines (bottom of p. 33 of the Tenure P&G).

Use DocuSign for the Forms/Reports

One DocuSign envelope will be used for each of the following for retention and tenure:

- Department Committee Retention and Tenure Recommendation, and if applicable, combined in the same DocuSign envelope with the Department Committee Retention and Tenure Minority Report
- Chair's Report: Faculty Performance Review
- College Committee Retention and Tenure Recommendation, and if applicable, combined in the same DocuSign envelope with the College Committee Retention and Tenure Minority Report;
- one DocuSign envelope for the Dean's letter (for 1st year, 2nd year, 4th year, and 5th year candidates).

One DocuSign envelope will be used for each of the following for promotion:

- Department Committee Promotion Recommendation, and if applicable, combined in the same DocuSign envelope with the Department Committee Promotion Minority Report
- Chair's Report: Faculty Performance Review
- College Committee Promotion Recommendation, and if applicable, combined in the same DocuSign envelope with the College Committee Promotion Minority Report;

If the same candidate is being reviewed for two personnel actions (retention/tenure and promotion), please use a total of six (6) or seven (7) DocuSign envelopes:

- one for promotion signed by the Department Committee and candidate
- one for promotion signed by the Department Chair and candidate
- one for promotion signed by the College Committee level
- one for retention/tenure signed by the Department Committee and candidate
- one for retention/tenure signed by the Department Chair and candidate
- one for retention/tenure signed by the College Committee and candidate
- one DocuSign envelope for the Dean's retention letter (unless 3rd year or tenure).

Important Note: The Dean should also collect the candidate's signature on the Dean's decision letter regarding retention for 1st year to 2nd year; 2nd year to 3rd year; 4th year to 5th year; and 5th year to 6th year candidates.

The University Tenure and Promotion Appeals Board Committee should also collect the candidate's signature.

To aid in the signature collection process, the Provost's Office created a spreadsheet that indicates which forms (such as the Chair's Report or the Dean's memo) require the candidate's signature.

See important note below about majority and minority report forms.

After the appropriate RTP form has been completed, the Academic Assistants to the Chair (for department review committees) and the Academic Associates to the Dean (for college review committees), will use DocuSign to collect the signatures of the committee members. If you are responsible for filling out the top of the form, please check with your Department Chair or Dean to make

sure you have accurate information. For example, “Years Toward Tenure” line should be zero or blank unless the candidate was awarded years toward tenure for service that occurred prior to being hired as a tenure-track faculty member at APSU.

All department committee members who voted are required to sign all reports, including Minority Report forms. Faculty who did not actually attend a personnel meeting, but voted on the candidate, are still required to sign all reports, including Minority Report forms. *The majority and minority report forms should be placed in one DocuSign envelope for signature by the committee members, presiding officer, and finally, the candidate.*

Specific steps

1. The presiding officer and the Academic Assistant to the Chair and the Academic Associate to the Dean should
 - Use the PDF fillable format of the RTP forms (published on the Academic Affairs website on Sept. 10 <https://www.apsu.edu/academic-affairs/faculty/rtp/rtp-forms.php>). Avoid using the Word version of the RTP forms.
 - Avoid putting a draft form/report in DocuSign. They should wait until the language is finalized by the committee. If you identify typos after the DocuSign envelope was launched form/report, do not void the DocuSign envelope and send again to avoid unnecessary costs to APSU. However if there is an error that is substantial or inaccurately alters the intent or meaning of the report, please void the DocuSign envelope and launch a new one with the corrected document.
 - Use the Additional Comments area on the last page of the DocuSign template, if the committee needs more space for comments.
2. The Academic Assistant to the Chair and the Academic Associate to the Dean should set up the DocuSign envelope to collect simultaneous signature collection, instead of sequential since there is no hierarchy (except for the faculty candidate). It is critical that the faculty candidate is the last person to sign the form/report. See DocuSign community knowledge sharing: <https://support.docusign.com/s/question/0D51W000069k6T7SAI/simultaneous-signature>
The Academic Assistant to the Chair should set up the DocuSign envelope so that the Academic Associate to the Dean receives a copy of the signed form/report after all signatures are collected.
3. The Academic Assistant to the Chair and the Academic Associate to the Dean should ensure that the candidate does not receive notifications for each signature; and instead only receives a notification when it is time for the candidate to sign the document and when a completed DocuSign envelope (with all signatures) is available for download.

The Academic Assistant to the Chair and the Academic Associate to the Dean should email the committee members and announce ---such as “On Tuesday morning around 9am, I will initiate the DocuSign envelope. Please look for the DocuSign envelope in your email and sign asap. Please make sure the DocuSign envelope indicates that it is from me. Your deadline is XXX date.” (We strongly recommend that you provide a deadline that is at least one day prior to the deadline to provide the report(s) to the candidate, as specified in the published Calendar of Personnel Actions.)

4. The presiding officer should email the candidate and let them know that signatures are being collected and the candidate can request a meeting with the presiding officer/chair/dean after the form/report is received by the candidate.

5. The Academic Assistant to the Chair and the Academic Associate to the Dean should monitor the progress of collecting signatures of each envelope in order to ensure that all signatures are collected prior to the published calendar deadline.
6. **The Academic Assistant to the Chair must download a copy of the signed form/report and send to the Academic Associate to the Dean to be uploaded to the candidate's D2L eDossier.**

Important notes:

Majority and Minority Reports:

If the committee is preparing a majority report form and a minority report form, one DocuSign envelope must be used for both forms in order to ensure that the candidate receives both completed forms together. The Academic Assistant to the Chair (for department review committees) and the Academic Associate to the Dean (for college review committees) must ensure that the two DocuSign envelopes are "delivered" to the candidate at the same time. The Academic Assistant to the Chair (for department review committees) and the Academic Associate to the Dean (for college review committees) will do so by placing both placing the Majority Report form and the Minority Report form in the same DocuSign envelope at the same time and require the same individuals sign both reports.

Committee member does not want to sign:

If a committee member does not want to sign the form, the committee member must contact the Academic Assistant to the Chair or the Academic Associate to the Dean to ask them to remove the committee member from the list of required signers. The Academic Assistant to the Chair or the Academic Associate to the Dean should remove that individual's requirement to sign the DocuSign envelope, but "re-type" that committee member's name to the DocuSign template so that the committee member's typed name will still appear on the form, despite a lack of signature.

If the Academic Assistant to the Chair or the Academic Associate to the Dean has any questions about collecting signatures or difficulties with the DocuSign envelopes for RTP, please email Anthony Roark, and copy Tucker Brown and Brandi Bickham.

Copies of the signed forms:

APSU's DocuSign account does not permit restrictions on which "signers" receive copies of the completed DocuSign envelope. Everyone who signs the DocuSign envelope will receive a copy, not just the candidate and the Academic Assistant to the Chair or the Academic Associate to the Dean.

Resources

- Appendix A: Zoom RTP Virtual Meeting Step-by-Step **rev. 09.09.2021**
- Appendix B: Initiator's DocuSign instructions with screen shots (for the Academic Assistants to the Chair and Academic Associates to the Dean)
- Appendix C: Signer's DocuSign instructions with screen shots

Help

- Policy and Procedure questions – contact Uma Iyer (iyeru@apsu.edu, 931-221-6331) or Tucker Brown (brownt@apsu.edu or 931-221-6240)
- eDossier and general technical questions – contact Brandi Bickham (bickhamb@apsu.edu or 931-221-6244)
- Zoom
 - General questions – contact Crystal Faulkner at faulknerc@apsu.edu or 931-221-7259)
 - If you have a Zoom technical issue that needs immediate troubleshooting, please call the Distance Education Support Desk at online@apsu.edu or 931-221-6625. If no one is available to assist you, please contact Crystal Faulkner.
- DocuSign
 - If the Academic Assistant to the Chair or the Academic Associate to the Dean has any questions about collecting signatures or difficulties with the DocuSign envelopes for RTP, please email Anthony Roark at roarka@apsu.edu, and copy Tucker Brown (brownt@apsu.edu) and Brandi Bickham (bickhamb@apsu.edu).