Case Overview

What is a case?

At UW, the set of materials – both evaluated and evaluative - has been referred to by a lot of different labels (packet, dossier, record).

In RPT, the collection, organization, and process of reviewing these materials is called a case.

RPT cases are created from a template which imprints an identical workflow, requirements, and specifications onto all cases created with that template.

Foundational template

UW designed a **foundational template** that reflects institutional requirements and provost expectations.

Your school/college/campus (SCC) **cloned** that template and may have added SCC requirements. If you are in a department, your department may have been invited to clone the SCC clone to add departmental requirements.

Case management isn't about setting requirements or figuring out specifications; that's already been done at the template level.

Case management is about **moving the case through the workflow.**

RPT case overview

An RPT case has three general components:

- **Candidate Packet -** candidate information subject to evaluation; could be documents/forms submitted by the candidate (e.g., CV) or by the unit (e.g., peer teaching evals).
- **Case Review Steps –** The sequence of actions a case goes through in order to move completely through the review process.
- **Internal Case Sections -** A filing system where documents generated during the review process are organized for reviewers

The foundational template has set institutional requirements/workflows for each of these components. Your cases will be automatically imprinted with them.

Case Creation

Creating an RPT case

UW has set up the case creation process to integrate RPT with Workday.

This integration will:

- Generate real-time data about the number and type of anticipated cases
- Support better data quality by validating the Workday record before the review
- Ensure units are using the correct template
- Save units time and trouble of creating cases manually

The case creation process begins on the Office of Academic Personnel website.

How to initiate an RPT case

1. Go to https://ap.washington.edu/ptinfo/?pt_function=case&case_id=new
2. Log in with your UW Netid
   - If you are part of multiple units, you will be asked to select the unit that aligns with that of the candidate
3. Enter the candidate EID or name
4. Click Initiate Case
5. Review the data fields in the box on the left
   - Many fields will be updated with Workday data and cannot be edited within the form. If this is the case, please update Workday with the correct data and then return to the form to initiate the case.
6. Update data fields in the box on the right
   - OAP will predict responses for certain fields, but will allow you to update the field from a drop down menu as necessary
7. Once your review and updates are complete, click Submit
8. Log into RPT to see your case. It should be created within ~5 minutes of submitting the request.

Preparing the Case

Preparing the case for the candidate

Before the candidate starts uploading materials to their packet, the local administrator needs to prep the case by:

- Uploading the unit's tenure/promotion criteria
- Removing the Subcommittee Review step if a subcommittee is not required by policy or will not be used
- Adjusting the teaching evaluation and peer teaching evaluation requirements to optional **only if the candidate is an Assistant or Associate Research Professor** and you have confirmed with your dean/chancellor's office that these requirements are indeed optional for the candidate
- Notifying the candidate that their case has been created and they can start adding their materials

How to upload a Candidate Packet requirement

1. Make sure the document you want to add has been converted to a PDF
2. Open the case
3. On the Case Materials tab, scroll down through the **Candidate Packet** section to the requirement you want to load
4. Click the **Add File** button to the right of the requirement
5. Drag and drop or browse to find the PDF you want to load
6. Click **Save**
7. Return to the applicable section in the **Candidate Packet** to confirm the document loaded
8. Click on the document to open it and confirm it loaded properly
9. Click **Return to Case** in the upper right corner of the case review window

Removing the Subcommittee Review step

Faculty Code 24-54 requires the use of a subcommittee when there are fewer than three eligible voting members in the unit.

Some units always use a subcommittee even when not required.

The **only instance** when a case review step can be removed is when a subcommittee is not required by policy and won't be used by the department.

Always check with your SCC administrator and unit leader (chair/campus dean/dean) before removing this step.

The only institutionally required step that can be removed from a case is the Subcommittee Review step, but only when not required by policy or the SCC leader

How to remove the Subcommittee Review step

1. Open the case
2. Click the **Case Options** button in the upper right corner
3. Select **Edit Case**
4. In the **Creating a Case** box, select **Case Review Steps**
5. Scroll down to the **Subcommittee Review** case review step
6. Select the **Delete** option in the right corner of the step window
7. If you are sure you want to delete the step, select **Yes**
8. Check that the Subcommittee Review step no longer appears on the list of case review steps

Adjusting teaching requirements

Research track faculty **typically are not required** to submit teaching evaluations or peer teaching evaluations for promotion review.

After first checking with your SCC administrator and unit leader (chair/campus dean/dean), the administrator may adjust these requirements to be **optional**.

The only institutional requirements that can made optional are teaching evaluations and peer teaching evaluations on research track faculty cases only.

How to make teaching requirements optional

1. Open the case
2. Click the **Case Options** button in the upper right corner
3. Select **Edit Case**
4. To the right of the Candidate Requirements section header, click **Edit**
5. Scroll down to the **Student Teaching Evaluations** requirement and click the pencil icon
6. In the **Required** section, select the **Optional** radio button
7. Click **Update**
8. Scroll to the **Peer Teaching Evaluations** requirement and repeat Steps 5-7

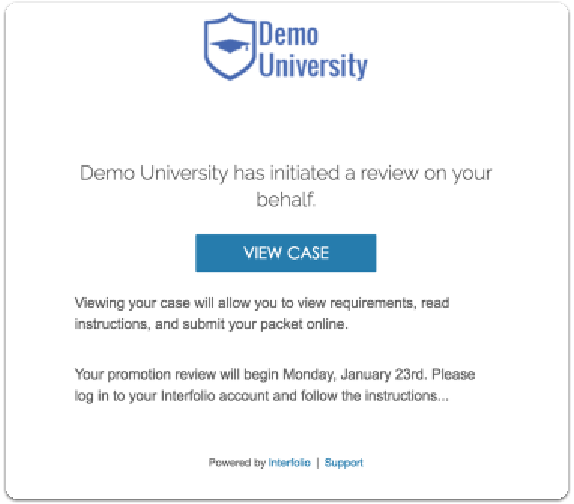
Notifying the candidate

Once the case is created and the department administrator has finished prepping the case, the candidate must be notified that they can start assembling their packet.

This notification process is initiated in RPT and ends with the candidate receiving an email with instructions on how to get started and a link to their case that is valid for **30 days**.

How to notify the candidate

1. Select **Cases** from the menu to the left
2. Locate the candidate(s) you are ready to notify and check the box next to their name(s)
3. Select Notify Candidates from the tool bar at the top of the page
4. In the window that pops up, choose whether you want to include a personal message with the email
   - If you do not want to include a personal message, click **Send** and the candidate will receive the generic message shown here
   - If you want to include a personal message, complete the Subject and Message fields and click **Send**



Candidate Requirements

The candidate packet

The candidate packet is the collection of materials must be loaded by the candidate or department administrator before the case can move forward.

The foundational template has set the candidate packet requirements to include:

- CV
- Self-assessment
- Teaching evaluations
- Peer teaching evaluations
- External reviewer nomination form
- Unit's promotion and/or tenure criteria (loaded by the department admin)

Your SCC or department administrator may have added additional packet requirements.

The candidate packet

When the candidate opens their case, they will see an overview of what documents/forms they are required to upload/complete.

They can then drill down to see descriptions of individual requirements.

Here’s what it looks like to the candidate…

‘Overview’ view

University of Washington > Your Packets >

DEP Template

View Instructions

Preview Packet

Unit	Type	Packet Deadline Type	Packet Due Date
Academic Personnel	Promotion	Soft Deadline	

Overview | Packet

Below you will find an overview of the packet requirements outlined by your institution. This page will be updated as you make progress toward your packet. To learn more, read the Candidate's Packet Guide.

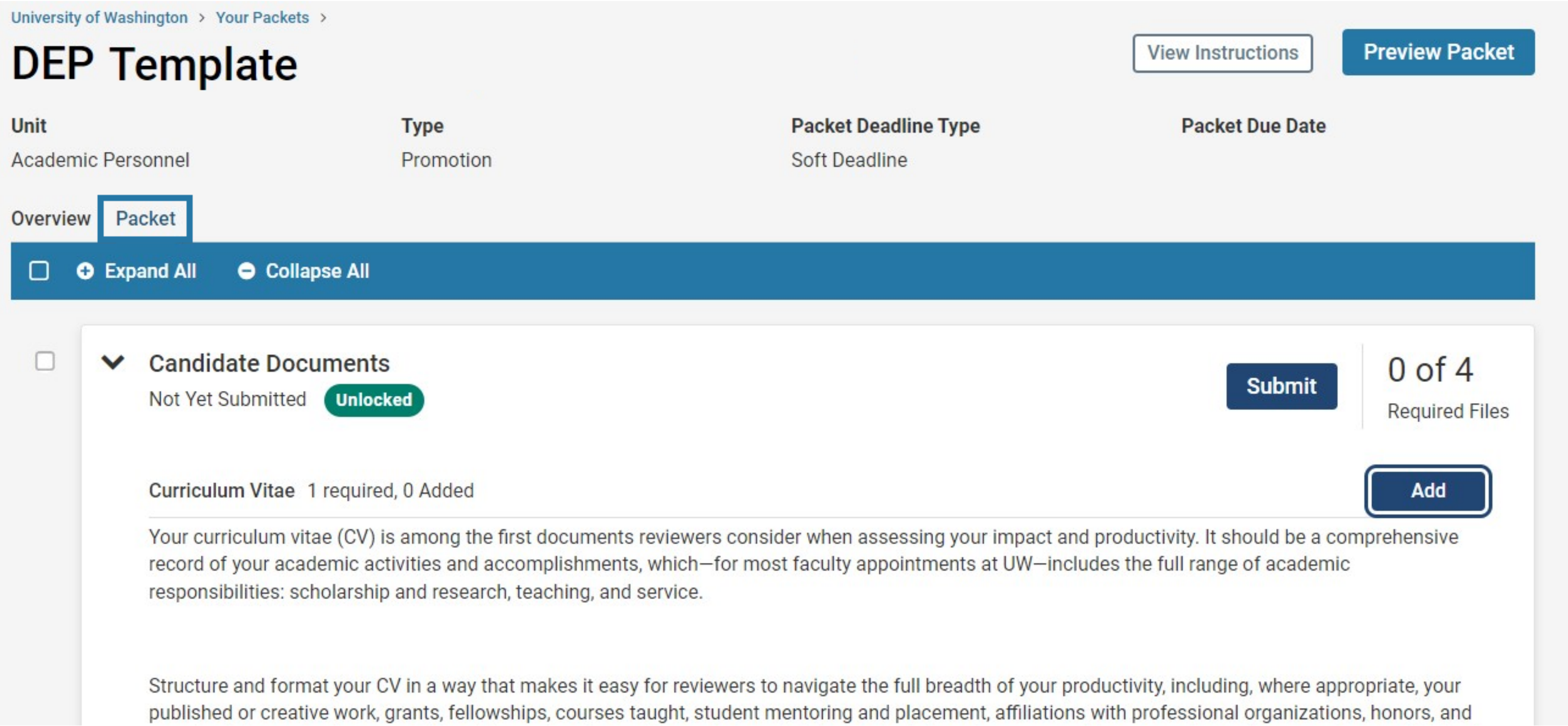
Candidate Documents

Not Yet Submitted Unlocked

Edit

Type	# Required	# Added
Curriculum Vitae	1 required	0
Self Assessment	1 required	0
Student Teaching Evaluations	1 required	0
Peer Teaching Evaluations	1 required	0
Outside Professional Work for Compensation (Form 1460)	0 required	0
External Reviewer Nominees	6 required	0

‘Packet’ view


University of Washington > Your Packets >
DEP Template
View Instructions
Preview Packet
Unit
Academic Personnel
Type
Promotion
Packet Deadline Type
Soft Deadline
Packet Due Date
Overview
Packet
Expand All
Collapse All
Candidate Documents
Not Yet Submitted
Unlocked
Submit
0 of 4
Required Files
Curriculum Vitae 1 required, 0 Added
Add
Your curriculum vitae (CV) is among the first documents reviewers consider when assessing your impact and productivity. It should be a comprehensive record of your academic activities and accomplishments, which—for most faculty appointments at UW—includes the full range of academic responsibilities: scholarship and research, teaching, and service.
Structure and format your CV in a way that makes it easy for reviewers to navigate the full breadth of your productivity, including, where appropriate, your published or creative work, grants, fellowships, courses taught, student mentoring and placement, affiliations with professional organizations, honors, and

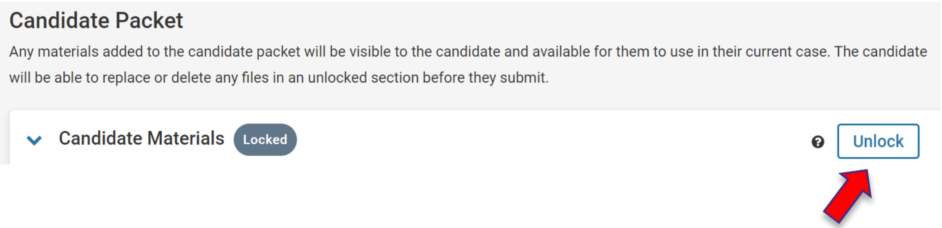
Submitting the packet

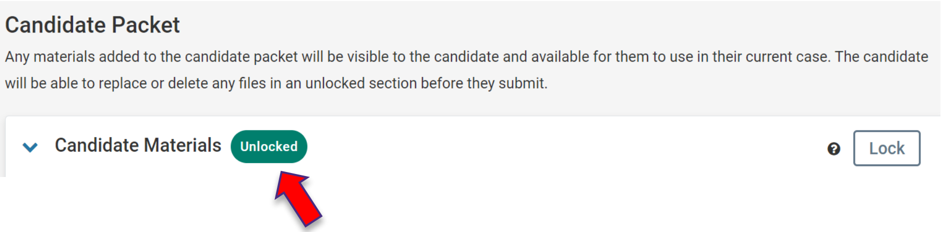
Considerations when preparing the candidate packet:

- Each case includes candidate instructions on how to **add** (upload) individual required documents
- When the candidate is finished adding documents/completing forms, they will **Submit** their packet for review
- Administrators and committees **cannot** see the candidate packet until it is submitted
- Once submitted, the **packet is locked** and can't be revised unless the department administrator unlocks it for the candidate

How to unlock a 'submitted' packet

1. Open the case
2. Scroll to the **Candidate Materials** section and click the **Unlock** button to the right
3. The oval indicator next to the **Candidate Materials** header should switch from a gray to green and from Locked to Unlocked
4. The candidate will now have access to add materials to the packet or edit materials they already uploaded; they will need be sure to submit the packet again.





Case Review Steps

Case review steps

Once the candidate packet is submitted, the case will progress through a series of steps called **case review steps**.

Each step is a required action—usually uploading a document or completing a form—that must occur before the case can move forward.

The foundational template has imprinted institutionally required steps onto each of your cases.

Here's a snapshot of foundational template steps up to the point where the case is submitted to the Office of Academic Personnel…

Foundational template case review steps

UNDEPARTMENTALIZED	
1	SCC Administrator Setup
2	Subcommittee Review
3	Eligible Voting Faculty Review
4	Faculty Report
5	SCC committee Review
6	SCC Administrator Mid-Review Check
7	SCC Leader Review
8	SCC Administrator Sign-off

DEPARTMENTALIZED	
1	Department Administrator Setup
2	Subcommittee Review
3	Eligible Voting Faculty Review
4	Appointing Unit Leader Review
5	Department Administrator Sign-Off
6	SCC Administrator Setup
7	SCC Committee Review
8	SCC Leader Review
9	SCC Administrator Sign-off

How to upload a document to a step

1. Make sure the document you want to add has been converted to a PDF
2. Open the case
3. On the Case Details tab, scroll down to the Required Items section
4. To the right of the required document, click the **Add File** button
5. Drag and drop or browse to find the PDF you want to load
6. Click **Add**
7. Return to the Required Items section to confirm the document loaded below the requirement

Completing a form on a step

- Determine in advance, where possible, who will be completing the form requirements
- If it will be completed on *behalf* of the appointing unit leader or SCC leader, ensure the administrator is set up as the CM for the committee on that step
- Note: It's easier to set the CM up front, as **changing the Committee Manager (CM) on a case is dynamic and will update any other case with that committee**

Completing a form

An individual must be a Committee Manager on the case review step requiring a form in order to have access to complete the form

1. Open the case
2. Select the **Case Details** tab and scroll down to the **Required Items** section
3. Click **Fill Out Form**
4. Answer the questions on the form and click **Submit Form** when finished

Moving the case forward

Once the requirements (document or form) are met for a given step, the case can be moved forward to the next step.

Cases **will not automatically advance** to the next step when requirements are met.

Administrators or Committee Managers can move a case forward.

How to move the case forward

1. Open the case
2. Click on the Send Case button in the upper right corner of the screen
3. Select "Forward to" (the next step will be indicated below that heading)
4. A pop-up window will indicate who is losing access to the case and who will be gaining access
5. Select whether you want to send a custom message to the reviewers at the next step
6. Click Continue

Note: If not all the requirements are met, a pop-up message will appear with the missing requirements

External Review

External review overview

There are four components to the external review process in RPT:

- Candidate nomination of potential external reviewers
- Tracking external reviewer nominations and participants
- Communicating with external reviewers
- Receiving external review letters

Candidate nominations

When preparing their packet in RPT, candidates will be required to complete an External Reviewer Nomination form.

The candidate will nominate at least three individuals they would like the unit to consider inviting to participate as external reviewers.

Units can view form responses by selecting Read Case on the Case Materials tab or a report can be run for any form

Tracking external reviewers

Department administrators will be required to complete an External Reviewer Grid.

This will capture and provide context on any reviewer that was considered, invited, and/or participated.

Prior to moving the case to committee review, the department admin will finalize the grid and upload it to the case.

Inviting external reviewers

You will use RPT to:

- Invite individuals to serve as external reviewers
- Send case materials to external reviewers
- Receive review letters

It is entirely appropriate for the chair/campus dean/dean to make initial contact with the individual outside of RPT to gauge availability and willingness to participate.

However, transmission of review materials and receipt of the external letter must occur through Interfolio.

How to invite external reviewers

1. Open the case
2. Scroll past the Candidate Packet section down to the Internal Sections
3. Locate the **External Evaluations** section and click the **Request Evaluation** button
4. Enter the first and last name of the evaluator and their email
5. Fill out the Subject field
6. Add a message in the Message field
7. Scroll to the **Files** section and click **Add Files**
8. From the list of case documents, check the box next to the unit’s criteria
9. Check boxes next to all other documents that should be shared with the external reviewer
10. Click **Save**

How to invite external reviewers

11. In the **Response Settings** section, use the calendar icon to select a Deadline for the reviewer to submit their letter
12. If your message to the reviewer directs them to also load a CV, select the **Yes** radio button to allow them to submit addition files
13. The **Access** field defaults to Adminsitrators & Entire Committee which is appropriate for external letters and reviewer CVs
14. Click **Send Request**

Committees

Committee members

RPT refers to members on a step as a ‘committee’. There are three types:

- **Standing committee**
  A static group that will review all cases or types of cases within the unit; membership usually doesn’t change based on the candidate’s track, rank, or discipline
- **Ad-hoc committee**
  A group whose membership might vary based on the candidate’s track, rank, discipline, etc
- **Individual user**
  A committee of one person

Committee member access/visibility

Committee members have limited access and visibility:

- Committee members cannot see the case except when it is at the step that committee is assigned to
- Committee members **do not** have access to upload a document, complete a form, or move a case forward
- The RPT user role Committee Manager has the ability to upload a document, complete a form, and move the case forward
- OAP recommends that the department or SCC administrator assign themselves to each committee and give themselves the Committee Manager role

Manage Members

Considerations when creating/managing committees:

- Members must be in the RPT system before being assigned to a committee
- The template used to create your cases may have already assigned a standing committee to the step
- Members can be added one at a time on the case or you can create a committee in the Users & Groups section of RPT and attached the entire committee to the case
- Explore Interfolio’s Creating and Managing Committees to learn more

How to add/remove individual committee members

1. Open the case
2. Select **Edit Case** from the Case Options drop-down in the upper right corner
3. Click **Case Review Steps** under the Creating a Case section on the right side
4. Click **Edit** next to the case review step that needs to be modified
5. Select the **Manage Members** tab under the Reviewers section
6. To add someone to the case, search select **Add Members**, search for the individual that you would like to add, and click **Add** and **Close**
7. To remove someone from the case, **click the X** next to their name
8. Click Return to **Case Review Steps** at the bottom of the page
9. Scroll to the bottom of the case review steps and click **Return to Case Summary**
10. Click **Return to Case** in the top right corner of the screen

How to recuse a standing committee member

Recusal does not remove a member from the standing committee. Recusals are by case, not by case and step. Therefore, the recused committee member will lose access to all steps within this case.

1. Open the case
2. Select **Edit Case** from the Case Options drop-down in the upper right corner
3. Click **Case Review Steps** under the Creating a Case section on the right side
4. Click **Edit** next to the AHR Check step (it has a standing committee assigned)
5. Under **Manage Members**, click the **recuse icon** (the circle with the diagonal line through it) to remove a committee member from this case
6. To return to the case, click the breadcrumb at the top of the page with the name of your case

Recommendation Forms, Reports, & Summaries

Recommendation forms

Appointing unit leaders, SCC leaders, and the provost will each be required to complete a form in RPT where they indicate whether they support or do not support promotion/tenure.

Appointing unit leaders will be required to indicate the candidate workload percentages across teaching, research/scholarship, service, and clinical service (as applicable).

Reports and Summaries

With the exception of the Eligible Voting Faculty (which functions as a committee in RPT), all other committees, the appointing unit leader, and the SCC leader will be required to submit a report.

The case step will include a description of the report (document) requirement and instructions on how to load it to the case.

Before the contents of the report can be shared with the candidate, it must be redacted or summarized to remove identifiable references or attributions to specific external reviewers, individual committee members, and specific voting faculty members.

Reports and Summaries

In RPT:

- Reports are original and unredacted documents, which are shared with subsequent levels of review but never shared with the candidate
- Summaries are redacted or paraphrased documents, which are shared with the candidate

If, after sharing a summary with the candidate, the candidate's response warrants a revision to the original report, the unit will be required to upload a revised report and create a revised summary.

Sharing Summaries

Sharing summaries with the candidate

Per Faculty Code 24-54.F, certain documents must be shared with the candidate and the candidate must have an opportunity to respond.

In RPT, documents shared with the candidate are:

- Subcommittee Summary (when a subcommittee is required or used)
- Appointing Unit Leader Summary (for departmentalized units) which includes a summary of both the faculty report and the appointing unit leaders report
- Faculty Summary (for undepartmentalized units)
- SCC Leader Summary which includes a summary of both the SCC committee's report and the SCC leader's report
- Provost's initial decision

Sharing summaries with the candidate

The step instructions will point you to directions on how to share a document and set a deadline for the candidate to respond.

When you share the summary with the candidate, they candidate will receive an email that includes a link to the document and indicates the response deadline.

The candidate is not required to respond, but if they do, their response will automatically go into a section of the case reserved for their responses.

The candidate will lose the ability to respond once the response deadline passes.

How to share a summary

1. Open the case
2. Click on Share in the blue tool bar
3. Choose whether you want to share with the candidate or committee member(s)
4. At the top, verify who the message is going to. You can Add Another user or committee if you selected to share with committee members
5. Fill in the Subject and add a Message
6. Scroll down and select Add under Share Files if there is a file you want to share
7. In the Details box on the right, check Enable if you want to allow the recipient to submit a file in response
8. Select a Deadline for the recipient's response
9. Choose which Internal Section you want the recipients response file to be added to
10. Preview the email if desired, and then click Send

Candidate Data Sheet

Candidate data sheet

The department administrator or SCC administrator (for undepartmentalized units) will be required to fill out a candidate datasheet before submitting the case to the Office of Academic Personnel.

Like the case initiation process, UW has set up the candidate data sheet process to integrate RPT with Workday.

Candidate data sheet

The integration pre-populates the form with data provided when the case was created as well as the following data from Workday:

- Appointment information including primary, joint, and adjunct data
- Leave history
- Clock waiver data

Candidate data sheet

The administrator will review the pre-populated data and then enter the following:

- A proposed tenure percent (for cases that include the award of tenure)
- A proposed new appointment term (for multi-year eligible candidates)
- Names of those who served on the subcommittee
- Vote counts

When all required fields are completed, the administrator will click Add to Case and the form will be automatically added to the candidate's case.

How to initiate and submit the candidate data sheet

1. Go to the RPT Case Maintenance page: https://ap.washington.edu/ptinfo/
2. Locate the candidate and click **Datasheet** to the right of their name
3. Review the data
4. Update the required data fields
5. Click **Add to Case**

Special Cases

Special cases

There are two circumstances where the case will stop before reaching the provost:

- The candidate requests that the case be withdrawn from further consideration
- A non-mandatory case that is not supported by the dean/chancellor

If a candidate requests the case to be withdrawn from further consideration, the administrator should contact AHR as soon as possible to discuss next steps.

If a non-mandatory case is not supported by the dean/chancellor, the case will continue to AHR—just like any other case—and AHR will hold the case back from provost review and close the case at the completion of the promotion review cycle.

Provost Review & Case Closure

Provost-level review

There are case review steps that happen after the case moves on from the school/college/campus.

Department and SCC administrators won't be able to see the case during these steps. If AHR needs to send the case back for correction or additional information, the administrator will regain visibility and access.

The provost's initial decision will be shared with the candidate, appointing unit leader, and SCC leader just like summaries had been shared earlier in the review.

Outcome notification letters

AHR will coordinate the production of outcome notification letters.

The letter will be added to the case file and shared with the candidate.

SCC leaders will be notified of the official decision **seven days before** the letter is sent to the candidate.

Case closure

After the promotion cycle is completed for all cases, the Office of Academic Personnel will:

- Upload the official case to the employee's academic personnel file
- Delete the case from RPT

Just before the case moves on from SCC leader review, the SCC administrator is prompted to download a copy of the case to retain locally.

Deleting the case from RPT will allow units to switch out standing committee members for future cases without affecting past cases. This will help keep your Committees list in Users & Groups manageable.

Avoiding Big Potholes

Big potholes to avoid

Altering/deleting what is automatically imprinted on your case could **seriously** compromise the case.

Take particular care not to delete or change:

- Candidate Requirements*
- A case review step*
- The name of an Internal Section
- Case step or candidate instructions
- Required Documents
- Required Forms

* Except as discussed earlier in this training deck

Big potholes to avoid

If you end up in one of these potholes...

Best case scenario: you **lose valuable time** correcting the mistake

Worst case scenario: you have to scrap the case and **start over**