

2018-19 Portfolio Checklist for Promotion and/or Continuing Status Review

Academic Professional's Name:

Instructions: For each case, please check off the following items in consultation with the appropriate Process Guide found at https://provost.asu.edu/promotion_tenure. Checklists should be saved as PDFs with bookmarks (not PDF portfolios). Naming convention for checklists: COLLEGE-UNIT-APChecklists-20xx-xx.

	Section	Check That:	Examples/Notes	Initial
1	All sections	No font or Adobe EchoSign or Adobe Certificate signatures were used on signed documents.	Original signatures preferred, JPG image is also acceptable.	
2	All sections	Dates are supplied where requested.	Signature lines almost always request that the signer also date the document. Make sure every letter has a date and that all forms have a date where requested.	
3	All sections	No blank pages between sections or documents.	Blank pages cause confusion. We'll wonder if a page is missing.	
4	All sections	All pages in each document are accounted for.	Make sure pages are in correct order and none are missing.	
5	All sections	Page numbers are added as instructed in the following sections: curriculum vitae, personal statement, teaching evidence, publications, and supporting materials.	Page numbers should be added to each individual PDF document before it is inserted into PDF portfolio. All pages in these sections should have page numbers.	
6	All sections	All portfolio documents are PDFs.	Word or Excel documents must be converted to PDF before insertion into the portfolio.	
7	All sections	No folders in PDF portfolio; each portfolio section is a single PDF.	Example: External Reviewers Grid , sample invitation, all external reviewers letters should be combined into one PDF (with bookmarks).	

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	Section	Check That:	Examples/Notes	Initial
8	All sections	Text recognition has been applied to the PDF portfolio.	This is a big help to committee members who need to cut and paste.	
9	All sections	All PDFs are unprotected and unlocked.	We need to be able to edit and make notes.	
10	All sections	Documents within each section are bookmarked.	Example: External Reviewers section has bookmarks for the External Reviewers Grid , sample invitation, and each external reviewer letter.	
11	All sections	Bookmarks are labeled correctly, and there are no "sub-bookmarks."	Bookmarks should match the order of PDF pages and the order on confirmation pages.	
12	All sections	Bookmarks are brief.	For example, you can use "Pub 1" for publications, "TE 1" for teaching evidence or "Supp 1" for optional supporting materials. Remove any subsection numbering or descriptions.	
13	All sections	All pages are readable upon initial view and when printed .	For instructions on how to rotate pages in the portfolio, see Adobe Help links page.	
14	All sections	Portfolio sections use correct naming convention.	See Process Guide for file order and naming convention example, and remember to add a "0" before single digit sections.	
15	00_File Name	File name is COLLEGE-UNIT-LastnameFirstname-ContinuingTrackPromotion-20xx-xx.	The year should be the current year, the year the case is being reviewed.	

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Section		Check That:	Examples/Notes	Initial
16	01_APA Form	Candidate name matches name in PeopleSoft record.	If candidate uses a nickname, include nickname in parentheses after full name. Example: Brown, John (Jack).	
17	01_APA Form	Candidate ASU ID is correct	Verify ASU ID in Peoplesoft	
18	01_APA Form	Title and units are correct and spelled out.	No abbreviations for college or unit. No administrative titles--just academic ranks. No working titles. Use ACD titles and whole words.	
19	01_APA Form	Correct academic unit from the tenure screen is listed.	Just list the academic unit where the criteria lies; do not try to fit in the sub-speciality of the individual. Remove sub-specialty information before submitting to the provost office.	
20	01_APA Form	Continuing-track start date for probationary academic professionals is accurate.	Available in PeopleSoft. Review Workforce Development/Faculty Events/Calculate Tenure/Rank-Status History.	
21	01_APA Form	Last academic personnel action date is accurate for probationary review.	For probationary review, use the academic or fiscal year of hire. Example: Hired 2014-15.	
22	01_APA Form	Last academic personnel action date is accurate for promotion and continuing status	For promotion and continuing status, the last action is typically the probationary review year. Example: Probationary Review 2013-14.	

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23	01_APA Form	Last academic personnel action date is accurate for promotion to full rank.	For promotion to full rank the last action is typically the year they were reviewed for continuing status. Example: Promotion and Continuing Status Review 2012-13 .	
24	01_APA Form	If the individual is going up for promotion as well as continuing status, two forms are used.	At the university level, promotion is not tied to continuing status the way it is for faculty. Check the "two actions" box.	
25	01_APA Form	Signers' names are printed and recommendations are clearly marked.		
26	01_APA Form	A signature and a date are included for each level of internal review.	Original signatures preferred, JPG image is also acceptable.	
27	02-_Curriculum Vitae	Last name and page number are indicated on every page.		
28	02-_Curriculum Vitae	All pages included.	Make sure pages are in correct order and none are missing.	
29	03_Personal Statement	Statement does not exceed four pages.	A citation page counts toward the four page limit.	
30	03_Personal Statement	Last name and page number are indicated on every page.		
31	04_Position Description	Describes the position that the individual is holding now.	This is usually a one-page document. It must be written by the unit--not the candidate.	

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Section		Check That:	Examples/Notes	Initial
32	05_Unit and College Criteria	Each criteria document's first page lists name of the document and the approval levels of the document.	We need to what this document is and to see the status of the document. It does not have to be approved by the provost's office, but it must be posted on the provost's website.	
33	05_Unit and College Criteria	Complete documents are included in the portfolio. If criteria reside within a larger document, the entire document is included in the portfolio.	It's best to have criteria which exists as a stand-alone document, but if the criteria exists within the unit bylaws, include the complete bylaws in the portfolio.	
34	05_Unit and College Criteria	Check to make sure that the criteria used is posted on the provost's website.	The bylaws/criteria website is located at https://provost.asu.edu/academic-personnel/personnel-processes/bylaws-criteria-documents .	
35	05_Unit and College Criteria	Unit and College criteria are bookmarked.	Bookmark the beginning of each document (so that we can see the title and approval levels) and the relevant criteria section for quick reference; each such document should have 2 bookmarks.	

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	Section	Check That:	Examples/Notes	Initial
36	05_Unit and College Criteria	If, due to the structure of the college, there are no unit criteria, a page is included which notes that there are no unit criteria.	Book mark this page as "No Unit Criteria."	
37	06_Internal Letters	Internal letters are on the appropriate letterhead.		
38	06_Internal Letters	Check that the internal letters use correct titles.	For example, "Academic Professional" is not a title, and "Instructional Professional, Sr." is not an ACD title--use "Instructional Professional" for the full rank. If there are errors, ask the committee or individual to rewrite the letter.	
39	06_Internal Letters	Internal letters refer to external reviewers by "C" or "L" numbers.	"C" stands for candidate-proposed reviewer; "L" stands for unit leader-proposed reviewer. Example: Candidate proposed reviewer #1 is referred to as "C1"; Unit leader proposed reviewer #4 is referred to as "L4."	
40	06_Internal Letters	All direct quotations of external reviewers are identified by "C" or "L" number.	There should be no uncited quotations in the internal letters. All quotes should be attributed to a specific reviewer by "C" or "L" number.	

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Section		Check That:	Examples/Notes	Initial
41	06_Internal Letters	All internal letters have been screened for information that could compromise external reviewer anonymity.	Letters must not identify reviewer by institution, prestigious award(s), specific title, region/state location, or any other unique identifier(s).	
42	06_Internal Letters	Internal letters are ordered and bookmarked in chronological order of the review process.	First letter in the PDF should be the Unit Committee letter followed by the Unit Administrator letter followed by College/University Libraries Committee and Dean/University Librarian. Bookmarks should also follow this order.	
43	06_Internal Letters	Committee letters must list the names of all committee members.		
44	06_Internal Letters	Unit and College committee letters includes voting results and articulates any dissenting opinion. Do not phrase the decision as a double negative vote.	Example: "The academic professionals voted 17 in support of and 3 opposed to promotion and continuing status. The minority opinion felt the candidate needed to have published in higher impact journals." The letters should not indicate who voted, how they voted, or who abstained, although they should indicate who was recused. Each letter should have either a numerical vote or state that the vote was unanimous. Any letters without clear votes will be kicked back to be rewritten.	

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	Section	Check That:	Examples/Notes	Initial
45	06_Internal Letters	All reviewers have signed their respective recommendation letter.	All unit and college committee members who were present must sign the respective committee letter. Signatures should not appear on a separate "hanging" page. If the signature page is "hanging," the hanging page must include name of candidate and a summary outcome statement. Example: "This committee recommends unanimously that Assistant Librarian Jane Smith be promoted to Associate Librarian with continuing status." Recusers should not sign, and the letter should indicate who was recused.	
46	07_External Letters	Sample invitation letter is included.		
47	07_External Letters	The only names that appear on the External Reviewers Grid are those external reviewers who were formally invited to participate.	A formally-invited reviewer is one who has been approved by the dean/university librarian and sent a formal invitation (using the sample invitation included in the portfolio) to participate in the promotion and continuing track process. Once formally invited, the reviewer's name remains on the External Reviewers Grid regardless of whether the reviewer actually submits an recommendation letter.	

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Section		Check That:	Examples/Notes	Initial
48	07_External Letters	Any conflicts of interest are noted on the on the External Reviewers Grid .	Unit administrator and dean/university librarian should also disclose and contextualize any conflicts of interest in the respective letter.	
49	07_External Letters	All columns of the External Reviewers Grid have been completed and unit administrator and dean/university librarian have signed.	If the dean gives approval for unit to invite specific additional reviewers, add the newly invited external reviewer(s) to the External Reviewers Grid where appropriate (C or L section) and have chair/director and dean sign revised External Reviewers Grid .	
50	07_External Letters	External letters are placed in the order the reviewers appear on the External Reviewers Grid .	First external letter should be first entry on External Reviewers Grid ; candidate-proposed reviewer letters should come first, followed by unit leader-proposed external reviewer letters.	
51	07_External Letters	All external letters are signed or include an email from the reviewer.	If reviewer submitted his/her letter as an attachment via email and the letter is unsigned, attach a copy of the email at the end of the letter. Do not include emails from external reviewers who failed to submit a letter. If a formally-invited reviewer declines participation or fails to submit a letter after they received the invitation, note that in the last column of the External Reviewers Grid .	

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Section	Check That:	Examples/Notes	Initial
52	07_External Letters	Top right-hand corner of the first page of each external letter includes the "C" or "L" number.	Example: First page of C5's letter has "C5" in the top right-hand corner.
53	07_External Letters	First page of each external letter is bookmarked by "C" or "L" number.	Bookmarks should read "C1", "C2", "C3", etc..."L1", "L2", "L3", etc.
54	08_Teaching Evidence	Candidate signed and dated the Confirmation of Teaching Evidence form.	Original signatures preferred, JPG image is also acceptable.
55	08_Teaching Evidence	Completed Summary of Student Evaluation of Instruction table was reviewed with candidate.	
56	08_Teaching Evidence	Summary of Student Teaching Evaluation of Instruction includes a scale.	
57	08_Teaching Evidence	All pages in this section have pdf page numbers in the upper right-hand corner and are labeled with the corresponding document number (TE1, TE2) (as well as the pdf page number).	This makes it easier for us to make sure that there are no missing pages.
58	08_Teaching Evidence	Confirmation of Teaching Evidence form lists, by title and by PDF page number, all materials included in this section.	Confirmation of Teaching Evidence and Summary of Student Teaching Evaluation of Instruction do not count toward 50-page Supporting Material limit. All other materials do count toward 50-page limit.

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Section	Check That:	Examples/Notes	Initial
59	08_Teaching Evidence	First page of each document within this section is bookmarked.	Example: First bookmark will always be the Confirmation of Teaching Evidence form (bookmark labeled briefly as "TE 0" for example); second bookmark will always be the Summary of Student Evaluation of Instruction (bookmark labeled as "TE 1" for example); third bookmark will start with the first document submitted as Evidence of Excellence in Teaching and Mentoring (bookmark labeled as "TE 2" for example). See Step 2 in Process Guide. Bookmarks are labeled as TE0, TE1, TE2, TE3, etc. with no further description in the bookmark. Do not include subsection numbering or descriptions.
60	08_Teaching Evidence	If there are no teaching materials, a page is added which indicates that teaching materials are not relevant for the candidate.	
61	09_Table Of Sponsored Accounts	Table of Sponsored Projects is included.	If there is no expectation of external funding, include a page that states "No expectation of external funding."

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Section	Check That:	Examples/Notes	Initial
62	09_Table Of Sponsored Accounts	Candidate has reviewed the Table of Sponsored Projects.	
		If candidate questions the accuracy/completeness of the Table of Sponsored Projects or wants to contextualize data that appear there, he/she may include a note/explanation and add it to the Addendum section (if received after a response from an external reviewer) or Supporting Materials section.	
63	10_Publications Creative Materials	Books have been scanned and scans are legible.	
		Be sure scanned publications open in the correct orientation upon initial view.	
64	10_Publications Creative Materials	Candidate signed and dated the Confirmation of Publications/ Creative Materials form.	
		Original signatures preferred, JPG image is also acceptable.	
65	10_Publications Creative Materials	All pages in this section have pdf page numbers in the upper right-hand corner.	
		This makes it easier for us to make sure that there are no missing pages.	

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	Section	Check That:	Examples/Notes	Initial
66	10_Publications Creative Materials	Top right-hand corner of the first page of each publication is labeled with corresponding publication number (Pub #1, Pub #2, etc.) (as well as the PDF page number).	This section will always begin with the Confirmation of Publications/Creative Materials Selections form. Example: If the candidate submits three 10-page articles and a 250 page book, the numbering would be as follows: Pub #1 = Pages 2-11 ("Pub #1, Page 2" in top right-hand corner of first page); Pub #2 = Pages 12-21 ("Pub #2, Page 12" in top right-hand corner of first page); Pub #3 = Pages 22-31 ("Pub #3, Page 22" in top right-hand corner of first page); Pub #4 = Pages 32-281 ("Pub #4, Page 32" in top right-hand corner of first page). This numbering system ignores the published page number that appeared in the journal.	
67	10_Publications Creative Materials	Page number on Confirmation of Publications/Creative Materials Selections form corresponds with PDF page number.	Remember that the Confirmation of Publications/Creative Materials Selections form counts as Page 1 but is labeled as 0.	
68	10_Publications Creative Materials	First page of each publication/creative material is bookmarked.	Bookmark should identify publications as Pub #1, Pub #2, etc. Do not use the publication's title as your bookmark name. Do not include subsection numbering or descriptions.	

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Section	Check That:	Examples/Notes	Initial	
69	10_Publications Creative Materials	All publication pages are accounted for.	Make sure pages are in correct order and none are missing.	
70	10_Publications Creative Materials	If there are no publications, a page is added which indicates that publications are not relevant for the candidate.		
71	11_External Reviewer Curricula Vitae	External reviewer CVs appear in the order they are listed on the External Reviewers Grid .	"C" reviewers' CVs should come first ("C1", "C2", "C3"...) followed by "L" reviewers' CVs ("L1", "L2", "L3"...)	
72	11_External Reviewer Curricula Vitae	Top right-hand corner of the first page of each external reviewer's CV includes the "C" or "L" number.	Example: First page of C5's CV has "C5" in the top right-hand corner.	
73	11_External Reviewer Curricula Vitae	First page of each external reviewer's CV is bookmarked by "C" or "L" number.	Bookmarks should read "C1", "C2", "C3", etc..."L1", "L2", "L3", etc.	
74	12_(Optional) Supporting Materials	Candidate signed and dated the Confirmation of Supporting Materials form.	Original signatures preferred, JPG image is also acceptable.	
75	12_(Optional) Supporting Materials	First page of each unique document within this section is bookmarked and the bookmark is noted in the upper right-hand corner.	The confirmation page is the first bookmark. Subsequent documents are bookmarked in the order they appear on the Confirmation page. Bookmark names should be brief, such as "Supp 1," Supp 2," etc. with no further description in the bookmark. Do not include subsection numbering, titles or descriptions in the bookmark naming.	

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Section		Check That:	Examples/Notes	Initial
76	12_(Optional) Supporting Materials	All pages in this section have pdf page numbers in the upper right-hand corner.	This makes it easier for us to make sure that there are no missing pages.	
77	12_(Optional) Supporting Materials	Top right-hand corner of the first page of each document in this section is labeled with the corresponding document number (as well as the pdf page number).	Suggested labels are "Supp 0, page 1" "Supp 1 - page 2" "Supp 2 - page 5," etc.	
78	12_(Optional) Supporting Materials	All Supporting Materials pages are accounted for.	Make sure no pages are missing. If candidate elects not to include any supporting materials, check box at the bottom of the form.	
79	12_(Optional) Supporting Materials	Number of pages does not go beyond the limit for teaching materials plus optional supporting materials.	If there are pages over the limit, please mark the last legal page in the upper right-hand corner. Be sure not to count the pages used for cover pages or the summary of student evaluations.	
80	12_(Optional) Supporting Materials	If there are no supporting materials, a page is added which indicates that supporting materials were not submitted by the candidate.		

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Section	Check That:	Examples/Notes	Initial
81	13_Addendum	First page of each unique document within this section is bookmarked.	This section is only used if materials are added to the file after the first response from an external reviewer is received. Confirmation page is first bookmark. Subsequent documents within this section should be bookmarked in the order they appear on the Confirmation page. Bookmark names should be clear and as concise as possible (e.g. "Revised CV", "Sponsored Projects Additional Information").

I have reviewed the checklist and initialed each of the items as reviewed and completed:

Printed Name

Signature

Date