

2020-21 Portfolio Checklist for Promotion and/or Tenure

Candidate Name:

Instructions: For each case, please check-off the following items in consultation with the appropriate Process Guide

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 (line 26), personal statement, (line 29) teaching evidence (line 49), publications (line 57), supporting materials (line 66), and addendum (line 70).	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).
8	All sections	Text recognition has been applied to the PDF portfolio.	We need to be able to search the PDF. 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.

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10	All sections	Documents within each section are bookmarked.	
11	All sections	Bookmarks are brief, labeled correctly, and there are no "sub-bookmarks."	
12	All sections	Bookmarks should be brief.	
13	All sections	All pages are readable upon initial view and when printed.	
14	All sections	PDF portfolio should open in Bookmark panel and page view.	
15	All sections	Portfolio sections use correct naming convention.	
16	01_APA Form	Candidate name matches name in PeopleSoft record.	
17	01_APA Form	Candidate ASU ID is correct.	
18	01_APA Form	Title, college, and unit are correct and spelled out.	
19	01_APA Form	Correct academic unit is listed.	

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Section	Check That:	Examples/Notes	Initial
20	01_APA Form	Tenure-track start date for probationary faculty 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 year of hire. Example: 2014-15 Hire
22	01_APA Form	Last academic personnel action date is accurate for promotion and tenure.	For promotion and tenure, the last action is typically the probationary review year. Examples: 2011-12 Probationary Review, 2013-14 Conditional Review, 2014-15 Regular Contract
23	01_APA Form	Last academic personnel action date is accurate for promotion to full professor.	For promotion to full professor, the last action is typically the year they were reviewed for tenure. Example: 2012-13 Promotion and Tenure Review
24	01_APA Form	Signer's name is printed and recommendation is clearly marked.	
25	01_APA Form	Signature and date included for each level of internal review.	Original signatures preferred, JPG image is also acceptable.
26	02_Curriculum Vitae	Last name and page number are indicated on every page.	
27	02_Curriculum Vitae	All pages included.	Make sure pages are in correct order and none are missing.
28	03_Personal Statement	Statement does not exceed four pages.	A citation page counts toward the four page limit.
29	03_Personal Statement	Last name and page number are indicated on every page.	

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30	04_Unit and College Criteria Each criteria document's first page lists the approval levels of the document.	We need to be able to see the status of the document. It does not have to be approved by the provost's office, but it should be posted on the provost's website.	
31	04_Unit and College Criteria Complete, approved criteria 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.	
32	04_Unit and College Criteria Unit and College criteria are bookmarked.	If criteria reside within a larger document, bookmark the beginning of document and the relevant criteria section; each such document should have 2 bookmarks.	
33	05_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"	
34	05_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.	
35	05_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).	

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36	05_ 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 Chair/Director letter followed by College Committee and Dean. Bookmarks should also follow this order.
37	05_ Internal Letters	Unit and College committee letters includes voting results and articulates any dissenting opinion. Do not phrase it as a double negative vote.	Example: "The faculty voted 17 in support of and 3 opposed to promotion and tenure. The minority opinion felt the candidate needed to have published in higher impact journals."
38	05_ Internal Letters	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, please note that in lieu of a signature or by way of a summary of the vote.
39	05_ 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 appear at the bottom of the letter, not on a separate page. If signature page is 'hanging', the hanging page must include name of candidate and summary outcome statement. Example: "This committee recommends that Assistant Professor Jane Smith be promoted to Associate Professor with tenure."
40	06_ External Letters	Sample invitation letter is included.	

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41	06_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 and sent a formal invitation (using the sample invitation included in the portfolio) to participate in the promotion and tenure process. Once formally invited, the reviewer's name remains on the External Reviewers Grid regardless of whether the reviewer actually submits an recommendation letter.
42	06_External Letters	Any conflicts of interest are noted on the on the External Reviewers Grid .	Chair/director and dean should also disclose and contextualize any conflicts of interest in the respective letter.
43	06_External Letters	All columns of the External Reviewers Grid have been completed and chair/director and dean 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 .
44	06_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.

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45	06_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 .	
46	06_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.	
47	06_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.	
48	07_Teaching Evidence	Completed Summary of Student Evaluation of Instruction table was reviewed with candidate.	
		Summary of Student Teaching Evaluation of Instruction must include a scale.	
49	07_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 (as well as the pdf page number).	
		This makes it easier for us to make sure that there are no missing pages.	
50	07_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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51	07_Teaching Evidence	First page of each teaching evidence section is bookmarked.	<p>Example: First bookmark will always be the Confirmation of Teaching Evidence form (bookmark labeled as TE 0), second bookmark will always be the Summary of Student Evaluation of Instruction (bookmark labeled as TE 1), third bookmark will start with the first document submitted as Evidence of Excellence in Teaching and Mentoring (bookmark labeled as TE 2) (See Step 2 in Process Guide) and is the next document listed on the Confirmation of Teaching Evidence form (e.g. “Peer Evaluation”, “Teaching Philosophy”, “Teaching Honors/Awards”, etc...) Bookmarks are labeled as TE 0, TE 1, TE 2, TE 3, etc. with no further description in the bookmark. Do not include subsection numbering or descriptions.</p>
52	08_Sponsored Project Activity	Sponsored Project Activity report is included.	If there is no expectation of external funding, include a page that states “No expectation of external funding”
53	08_Sponsored Project Activity	Candidate has reviewed the Sponsored Project Activity report.	If candidate questions the accuracy/completeness of the Sponsored Project Activity report 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.

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Section	Check That:	Examples/Notes	Initial	
54	09_Publications Creative Materials	Books have been scanned and scans are legible.	Be sure scanned publications open in the correct orientation upon initial view.	
55	09_Publications Creative Materials	Candidate signed and dated the Confirmation of Publications/ Creative Materials form.	Original signatures preferred, JPG image is also acceptable.	
56	09_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.	
57	09_Publications Creative Materials	Top right-hand corner of all pages of each publication is labeled with corresponding publication number (Pub #1, Pub #2, etc.) and PDF page number.	<p>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:</p> <p>Confirmation page labeled as 0 = Page 1 Publication #1 = PDF Pages 2-11 ("Pub #1, Page 2" in top right-hand corner of first page, "Pub #1, Page 3" in top right-hand corner of next page, etc.) Publication #2 = PDF Pages 12-21 ("Pub #2, Page 12" in top right-hand corner of first page, "Pub #2, Page 13" in top right-hand corner of next page, etc.) This format continues for Publication #3 and Publication #4.</p> <p>This numbering system ignores the published page number that appeared in the journal.</p>	
58	09_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.	

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59	09_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.	
60	09_Publications Creative Materials All publication pages are accounted for.	Make sure pages are in correct order and none are missing.	
61	10_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"...)	
62	10_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.	
63	10_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.	
64	11_Supporting Materials Candidate signed and dated the Confirmation of Supporting Materials form.	Original signatures preferred, JPG image is also acceptable.	
65	11_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.	

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Section	Check That:	Examples/Notes	Initial
66	11_Supporting Materials	Top right-hand corner of all pages of each unique document within the Supporting Materials section is labeled with the corresponding document number (as well as the pdf page number as noted on Confirmation of Supporting Materials form).	This section will always begin with the Confirmation of Supporting Materials which will serve as Page 1. Each subsequent document's first page will include a page number noting its position within the PDF. Example: Candidate has included a review of her book and the review is listed first on the Confirmation of Supporting Materials form. The first page of the book review should include "Page 2" in the top right-hand corner.
67	11_Supporting Materials	First page of each unique document within this section is bookmarked.	Confirmation page is first bookmark. Subsequent documents are bookmarked in the order they appear on the Confirmation page. Bookmark names should be Supp 1, Supp 2, Supp 3, etc. with no further description in the bookmark. Do not include subsection numbering or descriptions.
68	11_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.

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69	12_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").
70	12_Addendum	Top right-hand corner of all pages of each unique document within the Addendum section is labeled with the corresponding document number (as well as the pdf page number as noted on Confirmation of Addendum Materials form).	This section will always begin with the Confirmation of Addendum Materials which will serve as Page 1. Each subsequent page will include a page number noting its position within the PDF. Example: Candidate has included an updated curriculum vitae and it is listed first on the Confirmation of Addendum Materials form. The first page of the curriculum vitae should include "Page 2" in the top right-hand corner.

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

Printed Name

Signature

Date