

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. In the sections below, please initial or write "N/A" for each line. Checklists should be saved as PDFs with bookmarks (not PDF portfolios).

	Section	Check That:	Examples/Notes	Initial
1	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.	
2	All sections	No cursive fonts or Adobe EchoSign or Adobe Certificate signatures were used to sign forms or documents.	Original signatures preferred; JPG image is acceptable. Cursive fonts are <u>not</u> signatures.	
3	All sections	All PDFs are unprotected and unlocked.	We need to be able to edit and make notes.	
4	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.	
5	All sections	No blank pages between sections or documents.	Blank pages cause confusion. We'll wonder if a page is missing.	
6	All sections	All pages in each document are accounted for.	Make sure pages are in correct order and none are missing.	
7	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.	
8	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 <u>before</u> it is inserted into PDF portfolio. <u>All</u> pages in these sections should have page numbers.	

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	Section	Check That:	Examples/Notes	Initial
9	All sections	All portfolio documents are PDFs.	Word or Excel documents must be converted to PDF before insertion into the portfolio.	
10	All sections	No folders in PDF portfolio; each portfolio section is a single PDF.	Example: "External Reviewers Grid," sample invitation, all external reviewers letters are combined into one PDF (with bookmarks).	
11	All sections	Text recognition has been applied to every document in the PDF portfolio.	University committee members need to be able to cut and paste text into their reports.	
12	All sections	Documents within each section are bookmarked.	Example: the "External Reviewers" section has bookmarks for the "External Reviewers Grid," sample invitation, and each external reviewer letter.	
13	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.	
14	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.	
15	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.	

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	Section	Check That:	Examples/Notes	Initial
16	01_APA Form	The correct form is being used.	Use the newest version of the APA form for tenure-track and continuing track academic personnel.	
17	01_APA Form	Candidate name matches name in PeopleSoft record.	If candidate uses a nickname, you may include nickname in parentheses after full name. Example: Brown, John (Jack).	
18	01_APA Form	Candidate ASU ID is correct	Verify ASU ID in Peoplesoft	
19	01_APA Form	College and unit are correct and spelled out.	No abbreviations for college or unit. Names of units change, and in years to come, no one will remember what today's acronyms stand for. Do not list sub-specialties.	
20	01_APA Form	Correct academic rank is listed.	No administrative titles--just academic ranks. No working titles. Use ACD titles and whole words.	
21	01_APA Form	The chairs/directors/committee chairs/deans have signed on the correct line.		
22	01_APA Form	Signers' names are printed or typed and recommendations are clearly marked.		
23	01_APA Form	Signature and date are included for each level of internal review.	Original signatures preferred; JPG image is also acceptable.	

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	Section	Check That:	Examples/Notes	Initial
24	01_APA Form	Track start date is accurate.	Available in PeopleSoft. Review Workforce Development/Faculty Events/Calculate Tenure/Rank-Status History.	
25	01_APA Form	Last academic personnel action date is accurate.	For probationary review, use the academic or fiscal year of hire. Example: Hired 2014-15. For promotion and continuing status, the last action is typically the probationary review year. Example: Probationary Review 2013-14. 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.	
26	01_APA Form	If the individual is going up for promotion as well as continuing status, two forms are used and the "two actions" box is checked.	At the university level, promotion is not tied to continuing status the way it is for faculty.	
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.		

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	Section	Check That:	Examples/Notes	Initial
31	04_Position Description	Describes the position that the individual is currently performing.	This is usually a one-page document. It must be written by the unit--not the candidate. Don't laud the candidate here; just describe the duties.	
32	05_Unit and College Criteria	Each criteria document's first page lists name of the document, the unit and college, and 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 we need to know which levels (academic personnel/dean or university librarian/provost) have approved the document. It does have to be posted on the provost's website.	
33	05_Unit and College Criteria	Complete and posted criteria 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	The criteria document 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 .	

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Section		Check That:	Examples/Notes	Initial
35	05_Unit and College Criteria	Each unit and college criteria document are bookmarked in two places.	Bookmark the beginning of each document (so that we can see the title and approval levels) and bookmark the relevant criteria section for quick reference; each such document should have 2 bookmarks, no matter the size of the document.	
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.	Bookmark this page as "No Unit Criteria."	
37	06_Internal Letters	Internal letters are on the appropriate letterhead.		
38	06_Internal Letters	Internal letters address the correct administrator.	Ex: college committee letters address the dean; dean letters address someone at the university level.	
39	06_Internal Letters	Internal letters correctly identify the candidate's rank.	For example, "Academic Professional" is not a title, and "Instructional Professional, Sr." is not an ACD title--use "Instructional Professional" for the full rank. Send back letters to be redone when appropriate.	

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Section	Check That:	Examples/Notes	Initial
40 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.	
41 06_Internal Letters	Unit and College committee letters include voting results; the decision is not phrased as a double negative.	Example: "The committee voted 17 in support of and 3 opposed to promotion and continuing status." Each letter should have either a numerical vote or state that the vote was unanimous. Subjective phrases such as "the committee feels strongly" do not count as statements of unanimity. If the vote is unanimous, the letter must use the word "unanimous" or a synonym thereof. Any letters without clear votes will be kicked back to be rewritten.	
42 06_Internal Letters	Unit and college committee letters include dissenting opinions, if any.	Example: "The minority opinion felt the candidate needed to have published in higher impact journals." Send back letters to be redone as appropriate.	
43 06_Internal Letters	Committee letters list the names of all committee members.	Send back letters to be redone as appropriate.	
44 06_Internal Letters	Unit and college committee letters do <u>not</u> indicate how individual members voted.	How each individual committee member votes is confidential information.	

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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 <u>who were present</u> 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."	
46	06_Internal Letters	Recusers and those absent did not sign the letter.	Proxy voting is not allowed, as the absent committee member may have changed her mind, had she been present for the discussion.	
47	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."	

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Section	Check That:	Examples/Notes	Initial
48 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.	
49 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).	
50 07_External Letters	Sample invitation letter is included.		
51 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.	
52 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.	

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Section	Check That:	Examples/Notes	Initial
53 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."	
54 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.	
55 07_External Letters	All external letters are signed <u>or</u> 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."	
56 07_External Letters	New! Top right-hand corner of <u>all</u> pages of each external letter includes the "C" or "L" number, as well as the page number.	Example: All pages of C5's letter has "C5" and the page number in the top right-hand corner. This will help the committee keep track of which C or L said what.	

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	Section	Check That:	Examples/Notes	Initial
57	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.	
58	07_External Letters	External reviewer grid and sample letter are bookmarked.		
59	08_Teaching Evidence	Candidate signed and dated the "Confirmation of Teaching Evidence" form.	Original signatures preferred, JPG image is also acceptable.	
60	08_Teaching Evidence	Completed "Summary of Student Evaluation of Instruction" table was reviewed with candidate.		
61	08_Teaching Evidence	"Summary of Student Teaching Evaluation of Instruction" includes a scale.		
62	07_Teaching Evidence	The comparative data column is filled out.	For cases which require teaching evidence, must include data in this column.	
63	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.	
64	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	
65	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.	
66	08_Teaching Evidence	If there are no teaching materials, a page is added which indicates that teaching materials are not relevant for the candidate.		
67	09_Faculty Sponsored Activity Report	"Faculty Sponsored Activity Report" 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
68	09_Faculty Sponsored Activity Report	Candidate has reviewed the "Faculty Sponsored Activity Report."	If candidate questions the accuracy/completeness of the "Faculty Sponsored 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.	
69	10_Publications Creative Materials	Books have been scanned and scans are legible.	Be sure scanned publications open in the correct orientation upon initial view.	
70	10_Publications Creative Materials	Candidate signed and dated the "Confirmation of Publications/Creative Materials" form.	Original signatures preferred, JPG image is also acceptable. Cursive fonts are not signatures.	
71	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
72	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.	
73	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.	
74	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
75	10_Publications Creative Materials	All publication pages are accounted for.	Make sure pages are in correct order and none are missing.	
76	10_Publications Creative Materials	If there are no publications, a page is added which indicates that publications are not relevant for the candidate.		
77	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"...)	
78	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.	
79	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.	
80	12_(Optional) Supporting Materials	Candidate signed and dated the "Confirmation of Supporting Materials" form.	Original signatures preferred; JPG image is acceptable.	
81	10_Optional Supporting Materials	Pdf page numbers are noted on "Confirmation of Supporting Materials" form.	This section will always begin with the "Confirmation of Supporting Materials" which will serve as Page 1.	

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	Section	Check That:	Examples/Notes	Initial
82	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.	
83	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.	
84	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.	
85	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.	
86	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.	

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Section	Check That:	Examples/Notes	Initial
87	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.	
88	13_Addendum	The correct form is being used.	
89	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