2016-17 Portfolio Checklist for Promotion and Continuing Status Review

Candidate Name:

Instructions: For each case in the college, please check-off the following items in consultation with the appropriate Process Guide found at https://provost.asu.edu/promotion_tenure.

Section	Check That:	Examples/Notes	Initial
All sections	No font or Adobe EchoSign or Adobe Certificate signatures were used on signed documents.	Original signatures preferred, JPG image is also acceptable.	
All sections	Dates are supplied where requested.	Signature lines almost always request that the signer also date the document.	
All sections	No blank pages between sections or documents.		
All sections	All pages in each document are accounted for.	Make sure pages are in correct order and none are missing.	
All sections	Page numbers are added as instructed in the following sections: curriculum vitae, personal statement, teaching evidence, publications, supporting materials, and addendum.	Page numbers are added to each individual PDF document **before** it is inserted into PDF portfolio.	
All sections	All portfolio documents are PDFs.	Word or Excel documents must be converted to PDF before insertion into the portfolio.	
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).	
All sections	Text recognition has been applied to the PDF portfolio.		
All sections	All PDFs are unprotected and unlocked.		

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Section	Check That:	Examples/Notes	Initial
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.	
All sections	Bookmarks are labeled correctly.	Bookmarks should match order of PDF pages and the order on confirmation pages.	
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.	
All sections	PDF portfolio should open in Bookmark panel and page view.	Properties: Initial view tab: Drop down navigation tab to Bookmark panel and page.	
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.	
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).	
01_APA Form	Title and units are correct and spelled out.	No abbreviations for college or unit.	
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	
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	

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Section	Check That:	Examples/Notes	Initial
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. **Examples:** 2011-12 Probationary Review, 2013-14 Conditional Review, 2014-15 Regular Contract	
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:** 2012-13 Promotion and Continuing Status Review	
01_APA Form	Signer's name is printed and recommendation is clearly marked.		
01_APA Form	Signature and date included for each level of internal review.	Original signatures preferred, JPG image is also acceptable.	
02-_Curriculum Vitae	Last name and page number are indicated on every page.		
02-_Curriculum Vitae	All pages included.	Make sure pages are in correct order and none are missing.	
03_Personal Statement	Statement does not exceed four pages.	A citation page **counts** toward the four page limit.	
03_Personal Statement	Last name and page number are indicated on every page.		
04_Position Description	Describes the position that the individual is holding now.	This is usually a one-page document.	
05_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.	**Example:** Criteria exist within the unit bylaws. Unit includes the complete bylaws in the portfolio.	

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Section	Check That:	Examples/Notes	Initial
05_Unit and College Criteria	Unit and College criteria are bookmarked.	If criteria reside within a larger document, bookmark the beginning of document and the criteria section.	
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"	
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.	
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).	
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.	

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Section	Check That:	Examples/Notes	Initial
06_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 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."	
06_Internal Letters	All reviewers have signed their respective recommendation letter.	All unit and college committee members 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 Librarian Jane Smith be promoted to Associate Librarian with continuing status."	
07_External Letters	Sample invitation letter is included.		

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Candidate Name: [   ]

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Section	Check That:	Examples/Notes	Initial
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.	
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.	
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**.	
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.	

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Section	Check That:	Examples/Notes	Initial
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**.	
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.	
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.	
08_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.	
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
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 as 0), second bookmark will always be the **Summary of Student Evaluation of Instruction** (bookmark labeled as 1), third bookmark will start with the first document submitted as **Evidence of Excellence in Teaching and Mentoring** (bookmark labeled as 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 0,1, 2, 3, etc. with no further description in the bookmark. Do not include subsection numbering or descriptions.	
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
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.	
10_Publications Creative Materials	Books have been scanned and scans are legible.	Be sure scanned publications open in the correct orientation upon initial view.	
10_Publications Creative Materials	Candidate signed and dated the **Confirmation of Publications/ Creative Materials** form.	Original signatures preferred, JPG image is also acceptable.	

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Section	Check That:	Examples/Notes	Initial
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.) and 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: Confirmation page labeled as 0 = Page 1 Publication #1 = Pages 2-11 ("Pub #1, Page 2" in top right-hand corner of first page) Publication #2 = Pages 12-21 ("Pub #2, Page 12" in top right-hand corner of first page) Publication #3 = Pages 22-31 ("Pub #3, Page 22" in top right-hand corner of first page) Publication #4 = Pages 32-281 ("Pub #4, Page 32" in top right-hand corner of first page) You only have to number the first page of each publication. You do not need to number every page. This numbering system ignores the published page number that appeared in the journal.	
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.	

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Section	Check That:	Examples/Notes	Initial
10_Publications Creative Materials	First page of each publication/creative material is bookmarked.	**Bookmark should identify publications as Publication #1, Publication #2, etc.** Do not use the publication's title as your bookmark name. Do not include subsection numbering or descriptions.	
10_Publications Creative Materials	All publication pages are accounted for.	Make sure pages are in correct order and none are missing.	
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"…)	
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.	
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.	
12_(Optional) Supporting Materials	Candidate signed and dated the **Confirmation of Supporting Materials** form.	Original signatures preferred, JPG image is also acceptable.	

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Section	Check That:	Examples/Notes	Initial
12_(Optional) Supporting Materials	Top right-hand corner of the first page of each unique document within the Supporting Materials section is numbered and 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. Each subsequent document's first page will include a page number noting its positon 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.	
12_(Optional) 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 1, 2, 3, etc. with no further description in the bookmark.** Do not include subsection numbering or descriptions.	
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.	

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Section	Check That:	Examples/Notes	Initial
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