Guidelines for Preparation of the Working Personnel Action File (WPAF) for Retention, Tenure and Promotion

General Guidelines

Read Appendix J. Appendix J is available on the Academic Personnel Services website at: http://www.humboldt.edu/aps/faculty/retention.html. Instructions for preparing your file appear in Appendix J, Section V.E. The following guidelines highlight areas to which you will want to pay particular attention.

The WPAF contains evaluations of your activities and accomplishments related to teaching effectiveness, scholarly/creative activities, and service. Actual examples of materials supporting performance areas (i.e., manuscripts, publications, art work, syllabi, etc.) are retained in a supplemental section. (IUPC) level. An index to the contents of your supplemental section should be included in Section 1 of your WPAF (Appendix J, Section VII.B.2.(4)(a)).

It is important to have a well-organized file. You are encouraged to work with a mentor experienced in the retention, tenure and promotion (RTP) process to assist you as you begin the preparation of your file. Each personnel committee member and administrator who reviews your file has a limited amount of time. As your file increases in size and becomes more complex, an important misplaced document may not be found and read by evaluators. Maintaining an accurate and well-organized file will assist evaluators throughout your RTP process.

Explain the meaning and significance of each item that appears in your WPAF. Leave nothing to stand on its own merits. Organization and clarity are paramount.

Content of the WPAF (Appendix J, Section V.E.2.)

Materials in each section of the WPAF shall be in **reverse chronological order**, most recent material first.

The responsibility for providing WPAF materials is shared among RTP candidates, IUPCs and administrators. As a candidate, you must ensure that your WPAF contains supporting materials which address RTP performance criteria and standards (Appendix J, Section V.E.2.a)-b)).

Place your file materials in your packet in Interfolio. Please complete the cover page form provided in your Interfolio case file. The form should indicate the personnel action for which you are a candidate (e.g., Retention to a Third and Fourth Year, Promotion to Associate Professor and Tenure, etc.).

Your file should be organized into nine sections, following the outline provided in Appendix J. Material in each section shall be in **reverse chronological order** (i.e. most recent material first).

Section 1 – Index of materials submitted for evaluation (Supplemental Materials Only)

The Index should provide a clear guide to the organization and content of the supplemental section of your file. It should contain the candidate created sections of the WPAF, in the order they are to be found. The numbered sections of the index should match the supplemental sections in the case file. Samples of things to include in the supplemental section are syllabi, publications, documentation of creative activities such as slides, DVD's, CD's or print material.

All materials should be in **reverse chronological order**. Indexing should accurately reflect the content of your file.

Section 2 – Pertinent documents

This section must contain the following documents regarding the history of your employment at HSU **(in reverse chronological order**):

- Letters regarding original appointment
- Recommendation letters regarding subsequent retention, tenure and promotion and decisions from Committees and Administrators, from previous cycles (current year materials are placed in Section 5 by the college/committee chair)
- Reports and/or letters regarding leaves intended to count as time in academic rank (i.e. sabbaticals, DIPs, LWOPs)
- Clarification of terminal degree status, if not readily apparent

Note for Group VI (Promotion to Full Professor) Candidates: Tenured faculty need not include materials from before their last promotion (with exception of letter conferring tenure).

Section 3 – IUPC policies and procedures and Departmental RTP Criteria & Standards

Current and complete documents that should be included in this section are:

- One copy of the most recent Initiating Unit Personnel Committee policy and procedure (which should indicate that IUPC members are elected)
- Copy of approved Departmental RTP Criteria & Standards (posted on APS website)
- Announcements/email invitations for student and collegial testimony
- Department invitations for colleagues to observe classes

Section 4 – Personnel Data Sheet (PDS) and Professional Development Plan (PDP)

A template for the PDS, and Guidelines for Preparation of the PDS are available on the APS website at: https://hraps.humboldt.edu/evaluation-tenure-line-faculty.

The PDS is a summary form used in the RTP process by the candidate to present basic data on qualifications for RTP. The PDS is your opportunity to explain the significance of each entry or each item included in your WPAF. Information should be current, accurate, and complete. All data in the PDS is entered **in reverse chronological order**.

The PDP is a document that describes a program of professional development goals in each of the three

areas of performance for RTP (Appendix J, Section VI.C.). In consultation with your Department Chair and IUPC Chair, develop a PDP, prior to the Performance Review or Periodic Evaluation. The PDP is a flexible document that reflects the strengths of the candidate and her/his professional development goals. Goals should align with the department, College, University goals and serve as the guideline for professional growth and development. "Candidates are encouraged to discuss their professional development goals with the Department/IUPC Chair prior to a Performance Review or Periodic Evaluation. This discussion should include identifying strengths of the candidate, areas that may benefit from mentoring and professional development, and resources needed to achieve the stated goals. Any resources required or that might be anticipated as necessary to support the Professional Development Plan must remain consistent with what can reasonably be offered by the department, college or university" (Appendix J, Section VI.C.).

Section 5 – Evaluation materials from Committees and Administrators

Candidates should **not** upload any materials into Section 5. This section should remain empty upon submission. This section is where letters for the current evaluation cycle, from the IUPC, CPC, UFPC, Department Chair, Dean, and Provost, will be placed during the current review cycle.

You will have the opportunity to see and respond to every letter. A copy of your optional rebuttal/response received before the 10-day notification deadline, if any, will be placed in this section. Evaluation materials from Committees and Administrators from previous review cycles are placed in Section 2.

Section 6 – Evaluative letters that address areas of performance from faculty and professional colleagues, administrators, staff, and other relevant individuals (non- students)

Include in this section evaluative letters from HSU faculty, administrators and staff, as well as from colleagues and professionals at other institutions or organizations, that address one or more of the three areas of performance. Evaluative evidence speaks to the quality of the candidate work. Place letters in one of the three marked sections:

- 6A: Teaching
- 6B: Scholarship & Creative Activities
- 6C: Service

When a letter speaks to more than one area, name the file to reflect the relevant areas (e.g., 12-1-2019 Smith Letter - Teaching & Scholarship), then place in the primary area of the letter's content. Candidates may write a response to any letter in this section. Full Professors in the department are expected to write collegial letters (Appendix J, Section VIII.B.3.a).

Student letters are not included in this section: They should be in Section 7. Committee and administrator letters from past review cycles should in Section 2

Note: IUPCs should ensure that there is adequate peer evaluation of performance; however, it is the responsibility of the candidate to upload collegial letters before the file closes. "The effectiveness, relevance, and value of a candidate's accomplishments and activities in each performance area shall be determined primarily on the basis of written statements from colleagues within the university and, where appropriate, from peers outside the university" (Appendix J, Section VII.A.1.b). Evaluative statements from colleagues shall be based on and supported by direct observation of the candidate's performance.

Section 7 – Evidence of Effectiveness (teaching, librarianship, or counseling)

This section is divided into three types of evidence: student letters, course evaluations, and other relevant evidence.

Place materials in one of the three marked sections:

- 7A: Student Letters
- 7B: Course Evaluations
- 7C: Other Relevant Evidence

Letters from colleagues and teaching observation letters/memos should be included in Section 6.

7A) Student letters collected outside of the regular evaluation process must be identified by name and must be verified by the department. **University Senate policy disallows candidates from soliciting letters from current students** – Department Chairs and/or IUPC Chairs may solicit letters from current students.

7B) Student evaluation data collected as part of the classroom student evaluation process (anonymous and identified only by course and/or section). The IUPC is responsible for providing statistical summaries from anonymous student evaluations; however, candidates may provide their own analysis or statement for each set of student evaluations. If necessary, candidates can include a statement about any negative student evaluations or comments with each summary. It is also helpful to explain, if applicable, the circumstances resulting in a low percentage return rate of student evaluations. NOTE: "All classes taught by faculty shall be evaluated by students completing a quantitative or a combination of quantitative and qualitative written questionnaire …" (Appendix J. Section VII.A.2.a).

7C) Any other relevant evidence (i.e. professional development, teaching awards).

Section 8 – Non-evaluative Evidence of Scholarly/Creative Activities

Include in this section non-evaluative evidence of scholarship and/or creative activities.

Non-evaluative documentation evidences that work occurred, but it does not provide an assessment of given work. A candidate might link conference programs (direct reviewer to page #), book contracts, presentation flyers, invitations to speak or other forms of evidence. It is helpful to highlight where your name appears in programs, etc.

Create subcategories by adding sections to your file. Label each section with the section number and desired subcategory description (e.g., 8A: Peer Reviewed Journal Articles; 8B: Presentations; 8C: Grant Applications, etc.). List in **reverse chronological order** within subcategory mirroring your PDS (e.g. Books, Peer Reviewed Journal Articles, Reports, Films, Scripts, Directed Productions, Juried Exhibition). Add subcategory section labels to best reflect your work in this area.
Note: Subcategory sections will appear in the order created below the Supplemental Materials section, and **cannot be moved** after they are created.

Note: Letters evaluating your scholarly/creative activities are placed in Section 6. A list of those letters may be placed, as a cross-reference, in this section. Published evaluative reviews of your scholarly/creative activities may also be included in this section.

Section 9 – Non-evaluative Evidence of Service

In this section, include non-evaluative evidence of service. For example, include a certificate recognizing a volunteer activity, an appointment letter to a board or a letter acknowledging service on a committee. Do not link to actual policies or manuals authored by a candidate: These should be linked in the "supplemental" section below.

Create subcategories by adding sections to the file. Label each section with the section number and desired subcategory description (e.g., 9A: Service to the Department; 9B: Service to the University; 9C: Service to the Profession; 9D: Service to the Community, etc.). Add subcategory section labels to best reflect your work in this area.

Organize in reverse chronological order within subcategories. Subcategory sections will appear in the order created below the Supplemental Materials section, and **cannot be moved** after they are created.

It is helpful to divide this section by activities related to your academic discipline and those less related to your academic discipline.

Supplemental Section

In this section, include examples of materials which support performance areas. For example, include 2-3 samples of syllabi, a few selected assignments, published research, or research in progress. For video and audio recording evidence, confirm stable internet location and link to that location in a separate document, then upload the document into your file.

Create subcategories by adding sections to your file. Label each section with a section number and desired subcategory description (e.g., Supp A: Sample Syllabi; Supp B: Selected Assignments & Exercises; Supp C: Scholarship/Creative Activities (Presented/Published); Supp D: Scholarship/Creative Activities (In Progress), etc.)

Add subcategory section labels as needed to organize your supplemental materials and organize **in reverse chronological order**. Subcategory sections will appear in the order created below the Supplemental Materials section, and **cannot be moved** after they are created.

Keep in mind that its purpose is to enable your colleagues to review actual work products as they write their evaluative letters on your behalf. Additionally, the inclusion of this evidence helps the IUPC verify documentation in the PDS. Clear and logical organization will be appreciated.