



Retention, Tenure, and Promotion Process Workshop

April 6th, 2023

Kimberly N. White

Interim Associate Vice President of Faculty Affairs

Stephanie Vick

Office Manager of Academic Personnel Services



Goals and Outline

The goal of this sessions to provide best practices for completing retention and promotion eWPAFs

We will review:

- Terminology and acronyms
- Primary retention “groups” and timelines
- Tips from the UFPC
- The sections of the PDS
 - View examples of best practices for formatting information in the PDS sections
- PDS examples from prior years
- Answer questions

Definitions



- Appendix J –Faculty Handbook (*Contains all faculty personnel policies and procedures for retention, tenure and promotion*)
- PDP – Professional Development Plan
- PDS – Personnel Data Sheet
- WPAF- Working Personnel Action File (*Contains all required forms and documents, candidate generated materials, evaluative materials, and recommendations*)
- Interfolio (*File management software*)
- IUPC - Initiating Unit Personnel Committee
- CPC - College Personnel Committee
- UFPC - University Faculty Personnel Committee



Significant Retention Groups

- Faculty are assigned groups based on their year and what step of RTP process
- Can be seen on the personnel action dates document
 - Group III. RETENTION (REAPPOINTMENT) FOR PROBATIONARY FACULTY (PERFORMANCE REVIEW)
 - Group V. RETENTION WITH TENURE/PROMOTION – INCLUDES EARLY TENURE PERFORMANCE REVIEW

Timeline/ Important Dates for Retention



Group III. RETENTION (REAPPOINTMENT) FOR PROBATIONARY FACULTY PERFORMANCE REVIEW – Fall 2023 Semester Schedule

►► Refer to your previous retention/reappointment letter to determine whether you should undergo a periodic evaluation (short review) or a performance review (WPAF). For those undergoing a performance review, your letter will also state whether you are **required** to follow the Fall (**Group III**) or Spring (**Group IV**) retention schedule. ◀◀

Personnel Action: Retention -- Continuing probationary faculty on fall semester schedule (WPAF)

Department Personnel Committee (IUPC) receives file	TR	August 17
File closes	TR	August 24
Dept. Personnel Committee recommendation addressed to College Personnel Committee with copy to candidate Department Chair recommendation addressed to Dean with copy to candidate (optional)	TR	September 7
College Personnel Committee/Dean receives file	M	September 18
College Personnel Committee recommendation addressed to UFPC with copy to candidate Dean recommendation addressed to Vice President with copy to candidate	F	October 13
University Faculty Personnel Committee (UFPC) receives file	M	October 23
UFPC recommendation addressed to Vice President with copy to candidate	F	December 22 [†]
Vice President receives file	W	January 3
Vice President decision due to candidate	TR	February 15

[†] The 10-day rebuttal period is extended to January 3rd because of campus closure. If a meeting is requested and the recommending body is unable to meet due to the semester break, candidates may request further extension of the rebuttal period by contacting the UFPC Chair.

<https://pmc.humboldt.edu/portal/2023-2024-faculty-personnel-action-dates>



Timeline/ Important Dates for Retention

Group V. RETENTION WITH TENURE/PROMOTION – INCLUDES EARLY TENURE PERFORMANCE REVIEW

Personnel Action: Retention with Tenure/Promotion – includes Early Tenure (WPAF)[‡]

Department Personnel Committee (IUPC) receives file	T	September 19
File closes	T	September 26
Department Personnel Committee recommendation addressed to College Personnel Committee with copy to candidate Department Chair recommendation addressed to Dean with copy to candidate (optional)	T	October 10
College Personnel Committee/Dean receives file	F	October 20
College Personnel Committee recommendation addressed to UFPC with copy to candidate Dean recommendation addressed to Vice President with copy to candidate	T	November 28
University Faculty Personnel Committee (UFPC) receives file	F	December 8
UFPC recommendation addressed to President with copy to candidate	F	February 16
Vice President receives file	M	February 26
Vice President recommendation addressed to President with copy to candidate	TR	April 4
President receives file	M	April 15
President tenure decision to candidate President promotion decision to candidate	M	June 3

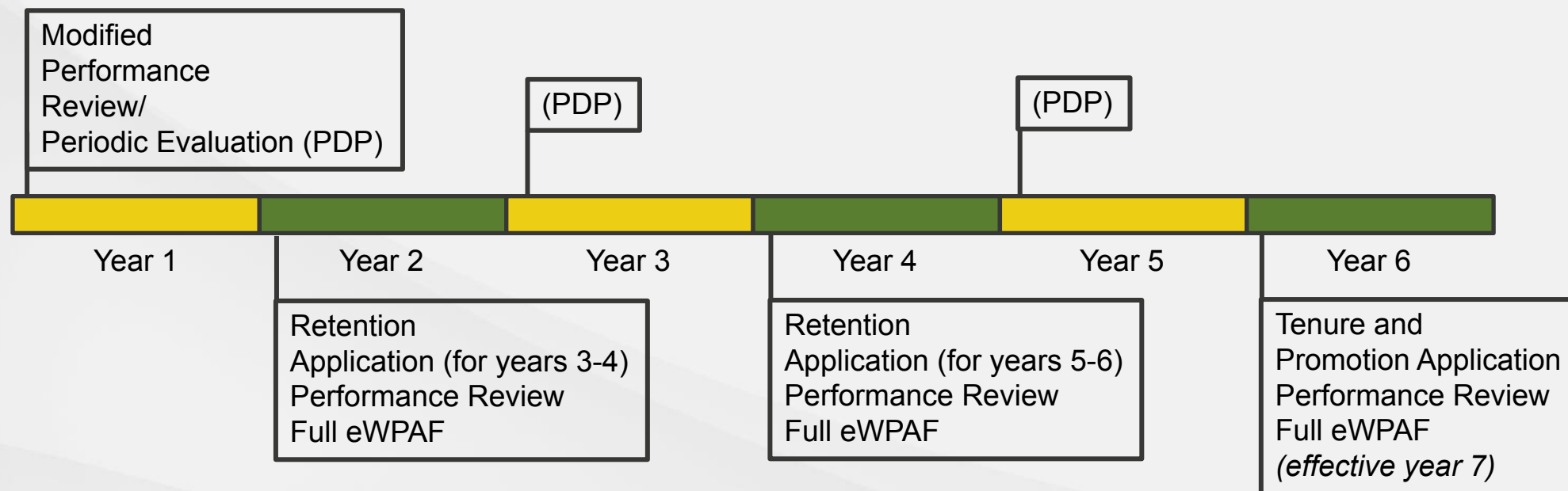
[‡] Faculty seeking an early tenure decision will be considered concurrently for retention; therefore only one file should be submitted following the Group V Retention with Tenure/Promotion – Includes Early Tenure schedule.

<https://pmc.humboldt.edu/portal/2023-2024-faculty-personnel-action-dates>

“Performance Review” At Humboldt Occurs Every Two Years



- An eWPAF is prepared in Interfolio
- Documentation for all Teaching, Scholarship and Service is included





The Electronic Working Personnel Action File (eWPAF)

- Each of the 9 sections of the WPAF are described in Appendix J
- Contains all required forms and documents, candidate generated material, evaluative materials, recommendations, and candidate's rebuttals, if any

UFPC Tips for Preparing a Successful WPAF



- Seek sufficient mentoring when preparing your file- if necessary go outside your department!
- Know your Department's RTP standards
- Self rank according to departmental standards and provide evidence
- Summarize accomplishments in tables; include criterion (e.g., Category I, Type I, etc.) from standards, what you did to meet criterion, and include totals (e.g., points, activities, hours, etc.) per standards
- Develop a system for tracking accomplishments according to WPAF Sections
- Work with IUPC to identify students to write letters and external reviewers
- Work with IUPC to ensure they arrange collegial observations
- Observe your colleagues' teaching/librarianship
- Do not collapse mean item scores for a class into a mean of means→ it is *meaningless!*)
- Focus your energy: you don't have to be excellent in both Scholarship/Creative Activities and Service

Sections of the eWPAF 1: Index of Material



Section 1. Index of Supplemental Materials (required by the CBA)

Section 2. Appointment, Promotion, and Leave Documentation (*appointment letter, retention documents, letters from previous performance reviews, periodic evaluations...*)

Section 3. IUPC Policies and Procedures and Departmental RTP Criteria and Standards

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

Section 5. Letters from Personnel Committees and Administrators (*empty*)

Section 6. Collegial Letters (*from faculty and professional contacts*)

Section 7. Student Letters and Course Evaluations

Section 8. Non-Evaluative Evidence of Scholarship or Creative Activities (*thank you letters, contracts, programs that include your name, etc.*)

Section 9. Non-Evaluative Evidence of Service (*thank you emails, certificates of participation, etc.*)



Personnel Data Sheet Tips

- Use the template and follow the directions (remove directions!)
- Cite accomplishments once but cross reference as appropriate
- Insert evidence in WPAF Sections 7, 8 or 9 as appropriate
- Always present in reverse chronological order
- Present data in tables

Sections of the PDS- Teaching Effectiveness



- **Teaching Effectiveness**
 - Table of courses taught with associated WTUs
 - Teaching philosophy
 - Comment on innovative teaching pedagogy
 - Demonstrate commitment to equity and inclusive teaching strategies
 - Ex: Equity outcomes for courses analyzed in reflections
 - Ex: Inclusive pedagogies described in Teaching Philosophy
 - Summary table of numerical scores from teaching evaluations (do not calculate means of means!)

Sections of the PDS- Teaching Effectiveness continued



- **Teaching Effectiveness**
 - Course descriptions and reflections
 - Only need to describe the course once
 - Reflect on student evaluations and course outcomes as appropriate, especially low numerical scores and constructive student and peer feedback
 - Table of departmental requirements and how you satisfy those requirements
 - Professional development activities
 - Summary of release time

Example of a Table of Departmental Requirements and Evidence of Meeting those Standards



Summary Table of Teaching Requirements for Tenure and Promotion to Professor as Described in the 5/29/2019 [REDACTED] Retention, Standards & Criteria

Criteria	Met	Description of How the Requirement Has Been Met
<i>Leadership in teaching excellence, specifically mentorship of other faculty</i>	X	[REDACTED] I educated fellow faculty on how to assess equity in courses and presented evidence-based teaching strategies and pedagogies designed to increase inclusivity and minimize equity gaps in courses at HSU (Section IV). Additionally, I researched, solicited quotes for, worked secure purchase orders for, and implemented virtual simulated labs for three Fall 2020 [REDACTED] courses and one [REDACTED] course so that our students would be ensured an effective and educational [REDACTED] experience while instruction was online.
<i>A pattern of excellence in teaching</i>	X	Evaluations by faculty and professional peers (WPAF section 6A) support consistent excellence in teaching. Written and numerical student evaluations from HSU and the service credit support consistent excellence in teaching (WPAF section 7B). Letters of support from past students describe experiences of excellence in my courses (WPAF section 7A).
<i>Maintaining participation in professional development activities related to teaching</i>	X	I have participated regularly in professional development in the area of teaching and have sought out professional development activities that best meet the needs of my students (e.g. Pivot to Online Learning course during the COVID-19 pandemic; Black Minds Matter course in response to the Black Lives Matter movement). A list of relevant activities may be found in the Other Evidence of Teaching Effectiveness and Professional Development section below.
<i>Evidence of reflection of upon student evaluations and faculty evaluative letters, including adaptations as appropriate</i>	X	As evidenced in the Couse Descriptions, Observations, and Reflections section below, I reflect upon student evaluations each semester with the goal of constant improvement. The significant increase in course mean evaluation scores from Fall 2018 to Spring 2019 seen in the Summary of Numerical Mean Scores from Student Evaluations tables are evidence of improvements made based on student feedback.

Examples of a Summary Table of Numerical Scores from Student evaluations



Table: Summary of Average Teaching Evaluations and Response Rates

**Pre-pandemic (2017-2019)*

Course	Fall 2017	Spring 2018	Summer 2018	Fall 2018	Spring 2019	Summer 2019	Fall 2019
PSYC 311	4.4 (32/44)	4.5 (19/48)	4.8 (7/24)	4.7 (31/46)	4.6 (27/51)	4.7 (12/26)	4.6 (18/46)
	4.7 (7/14)	4.8 (9/29)		4.7 (25/46)			
PSYC 414	4.8 (19/35)	--	--	4.7 (23/29)	--	--	4.8 (23/43)
PSYC 240	--	4.5 (9/37)	--	--	4.4 (23/36)	--	--
PSYC 311D	--	--	--	--	4.1 (18/26)	--	--
PSYC 640	--	--	--	--	4.6 (15/26)	--	--

**Pandemic (2020-2022)*

Course	Spring 2020	Summer 2020	Fall 2020	Spring 2021	Summer 2021	Fall 2021	Spring 2022	Summer 2022
PSYC 311	4.8 (31/47)	4.9 (12/21)	4.8 (23/49)	4.8 (28/46)	4.7 (18/28)	4.8 (18/47)	4.7 (32/49)	4.8 (9/25)
PSYC 414	--	--	4.8 (26/49)	--	--	4.8 (28/48)	--	--
PSYC 240	4.7 (12/35)	--	--	--	--	--	4.5 (8/16)	--
PSYC 311D	--	--	--	4.8 (13/24)	--	--	--	--
PSYC 640	--	--	--	4.7 (19/25)	--	--	--	--

Examples of a Summary Table of Numerical Scores from Student evaluations



Mean Scores from Lecture Course Evaluations⁵ by HSU Students, Fall 2017 – Spring 2020

Criteria:*	2	3	4	5	6	7	8	9	10	11	Enrolled	Response Rate
<u>Spring 2020</u>												
██████████	4.6	4.5	4.7	4.6	4.9	4.3	4.9	4.7	4.8	4.4	74	80%
<u>Fall 2019</u>												
██████████	4.8	4.4	4.8	4.7	4.8	4.2	5.0	4.7	4.8	4.6	80	95%
<u>Spring 2019</u>												
██████████	4.8	4.8	4.6	4.5	4.6	4.3	4.8	4.6	4.8	4.8	24	96%
<u>Fall 2018</u>												
██████████	4.4	4.4	4.2	3.9	4.1	3.7	4.5	4.2	4.4	4.4	29	97%
<u>Spring 2018</u>												
██████████ ██████████	4.5	4.5	4.9	4.3	4.9	4.5	5.0	4.5	4.8	4.6	33	88%
<u>Fall 2017</u>												
████████████████████	4.5	4.6	4.6	4.1	4.5	4.4	4.8	4.5	4.7	4.4	36	47%

*Lecture student evaluations criteria, scored on a scale of 1-5, where 1 is “hardly ever” and 5 is “almost always”

- (2) The activities used in class (like group work, discussions, presentations) helped me better understand the course content.
- (3) The materials used in class (like readings, articles, textbooks, videos) helped me better understand the course content.
- (4) The instructor clearly demonstrated how each topic fit into the course.
- (5) I received feedback on things like tests, assignments, and projects that helped me improve.
- (6) The instructor was available to help me when they said they would be.
- (7) I felt encouraged to explore materials outside of class to improve on what I was learning.
- (8) The instructor was able to create an atmosphere that was respectful of diversity (for example, diversity based on ethnic, racial, or gender identity).
- (9) The instructor set goals that challenged me to do my best work.
- (10) The course syllabus clearly outlined class objectives, policies, and expectations.
- (11) After taking this course, I am able to apply what I learned to improve on my thinking, problem solving, or decision making

Sections of the PDS- Scholarship and Creative Activities

- **Scholarly and Creative Works**
 - List all scholarly/creative activities, such as publications, professional presentations, exhibitions, recitals, demonstrations, etc
 - Table of departmental requirements and how you satisfy those requirements
 - optional- research philosophy, involvement of students in research and scholarly products



Example of a Table of Departmental Requirements and Evidence of Meeting those Standards

<i>Levels of Accomplishment in Scholarly/Creative Activities Necessary for Promotion to the Rank of Professor</i>			
<i>Requirement</i>	<i>Met</i>	<i>Description of How the Requirement Has Been Met</i>	<i>Level</i>
Involvement by undergraduate students in research activities	X	Undergraduate students have been involved in research projects throughout the review period and are listed in the research description sections.	Minimum Essential
A pattern of scholarly/creative activities	X	Research and scholarly activities have been sustained through the period under review.	
An average of at least one contribution from Category B for each review year	X	Products of the review period include three external grant proposals, two funded internal grants, one peer-reviewed poster, and evidence of collaboration with other individuals.	
One submission of an external or internal grant proposal that involves exposure to independent peer review process	X	Three external grant proposals were submitted and two internal grant proposals were funded in the review period.	
A minimum of one peer-reviewed item from Category A	X	Two-peer reviewed journal publications and one major external grant proposal resubmission occurred within the review period.	
All activities listed under the Minimum Essential	X	See minimum essential section above.	Good
Two submissions of external and/or internal grant proposals that involve exposure to independent peer review processes wherein one of these submissions must be for external funding	X	Three peer-reviewed external grant proposals were submitted within the review period.	
One peer-reviewed publication from Category A	X	The review period includes two peer-reviewed publications and one resubmission of a major external grant proposal.	
Documentation of positive critical collegial review of the candidate's efforts in the area of scholarship/creative activity as "characterized by clear goals, adequate preparation, appropriate methods, significant results, effective presentation, and reflective critique" [IX.B.2]	X	Four external letters providing collegial review of my efforts in the area of scholarship are included in WPAF Section 6C.	
All activities listed under the Minimum Essential heading	X	See minimum essential section above.	Excellent
Two funded external and/or internal grant proposals that involve exposure to an independent peer review process wherein one of these submissions must be for external funding and where the resubmission of a major external grant will satisfy one of these requirements	X	Two funded internal grant proposals and one resubmission of a major external grant proposal occurred during the review period.	
Two peer-reviewed publications from Category A	X	Two-peer reviewed journal publications and one major external grant proposal resubmission occurred within the review period.	
Documentation of positive critical collegial review of the candidate's efforts in the area of scholarship/creative activity as "characterized by clear goals, adequate preparation, appropriate methods, significant results, effective presentation, and	X	Four external letters providing collegial review of my efforts in the area of scholarship/creative activities are included in WPAF Section 6C.	



Sections of the PDS- Service

- **Service**
- **KNOW** how your department measures service! Hours? Category contributions? Points System?
- Description of service responsibilities (type/level of service (university, college, profession, community), the period of service, amount of time)
- Note intended audience
- **Always** include the duration of the service
- Table of departmental requirements and how you satisfy those requirements

Resources



- Faculty Handbook Appendix J: <http://www2.humboldt.edu/aavp/faculty-handbook>
- APS Faculty Evaluation Website (WPAF section descriptions, naming conventions, templates, etc) <http://hraps.humboldt.edu/evaluation-tenure-line-faculty>
 - Department RTP Criteria and Standards <https://hraps.humboldt.edu/departmentunit-rtp-criteria-and-standards>
 - Personnel Action Dates <http://hraps.humboldt.edu/aps-calendars>
- UFPC Website and Annual Letter <http://www2.humboldt.edu/senate/ufpc>



PDS Examples

These persons generously agreed to share their PDS documents. These should only be used for reference purposes. Nothing should copied from these documents.

Example 1

Example 2

Example 3