

Divider 1: Introduction to your Working Personnel Action File (WPAF):

The goal of the retention, tenure and promotion review (RTP) evaluation process is to inform faculty members of assessment criteria, standards of excellence, and institutional expectations; to apprise them of their strengths and weaknesses; and to recognize those who have earned tenure or promotion for their achievements. (Academic Senate Policy 526, Section II). As part of the RTP evaluation process, faculty members prepare their Working Personnel Action File (WPAF), which provides written support for their application for retention, tenure, and/or promotion.

What information goes into your WPAF?

“The Working Personnel Action File shall be defined as that file specifically generated for use in a given evaluation cycle. That file shall include all required forms and documents, all information specifically provided by the employee being evaluated, and information provided by faculty unit employees, students, and academic administrators. It shall also include all faculty and administrative level evaluation recommendations from the current cycle, and all rebuttal statements and responses submitted.” (CFA Collective Bargaining Agreement (CBA) for Unit 3, Article 15.8)

“Materials for evaluation submitted by a faculty unit employee shall be deemed incorporated by reference in the Personnel Action File, but need not be physically placed in the file. An index of those materials shall be prepared by the faculty unit employee at the beginning of the cycle and submitted with the materials. That index shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle.” (CBA Article 15.9)

The appropriate policy & procedure documents to consult regarding Retention, Tenure, and Promotion are:

- The *California State University & California Faculty Association Collective Bargaining Agreement (CBA) for Unit 3* employees, which can be found at http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/CFAtoc.shtml. In particular, refer to Article 11 (Personnel Files) and Article 15 (Evaluation). Additional information is located in Article 13 (Probation and Tenure) and Article 14 (Promotion).
- Cal Maritime’s “Academic Senate Policy 526, Retention, Tenure & Promotion” can be found at <http://www.csum.edu/> select “Faculty & Staff (near top of page), Academic Resources, Faculty Affairs, Senate Policy 526 – Retention, Tenure, and Promotion”. Should a conflict or inconsistency exist between Academic Senate RTP Policy 526 and the CBA, the CBA shall prevail.
- The Cal Maritime Faculty Handbook 2010-2011, which can be found at <http://www.csum.edu/> select “Faculty and Staff (near top of page), Academic Resources, Faculty Affairs, Faculty Handbook 2010-2011”. Should a conflict or inconsistency exist between the Faculty Handbook and the CBA, the CBA shall prevail.

Department Criteria: “Individual departments may issue supplementary guidelines or statements which relate the professional standards and/or the scope of activities within a particular discipline to the Academy-wide policy.” (Academic Senate Policy 526, Section I, Overview).

At the end of your current RTP review cycle, certain documents from your WPAF will be transferred to your Personnel Action File (PAF), which is kept as a permanent record in the Human Resources Office. The documents that will be transferred to your PAF are: the RTP Routing Sheet; Presidential Decision*; Vice Presidential Review*; Academic Dean or Appropriate Academic Administrator Review*; Senate RTP Committee Review*; Department RTP Committee Review*; and Department Chair Review*; *including any candidate response/rebuttal at each level. From the Supplementary Materials Prologue section, the following documents will also be transferred to the Personnel Action File at the end of the current RTP Cycle: The WPAF Index and the Curriculum Vitae. If Department Criteria &/or a Faculty Contract exist, they too may be placed in your PAF.

Divider 2: Prior Evaluations

Although personnel evaluations are not based upon the organization and format of your Working Personnel Action File (WPAF), your WPAF represents your case for retention, tenure and/or promotion as it goes through the review process. A well-organized and accurate WPAF serves your interests by making easily accessible to the reviewers the information and materials on which the evaluation is based.

“Prior to the beginning of the review process, the faculty unit employee subject to review shall be responsible for the identification of materials he/she wishes to be considered and for the submission of such materials as may be accessible to him/her. Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation not provided by the employee.” (CBA Article 15.12.a)

The WPAF is truly a collective endeavor encompassing:

- appropriate prior evaluative materials supplied by Human Resources (e.g., past review cycle decisions, reviews/recommendations, candidate responses/rebuttals; and other performance related reports and/or personnel actions),
- current RTP cycle evidence for evaluation (e.g., classroom visitation reviews) supplied by the Primary RTP Review Committee, and,
- “supplementary” materials supplied by the RTP candidate (usually in a loose leaf binder, which will serve as the physical WPAF), including a current Curriculum Vitae (C.V.), a Self-Study (minimally consisting of a statement of teaching philosophy) and a WPAF Index enumerating all items considered “supplementary.” Note that the supplementary materials must include “student evaluations of teaching” as outlined in the CBA.

In each RTP cycle where you receive a performance review for retention, tenure and/or promotion, the various prior and current materials come together in the Office of the VPAA/Provost no later than the WPAF “closing date” (established each year in the RTP Timeline). Once the final WPAF is assembled, the RTP review process begins as outlined in the Academic Senate Policy 526.

On occasion, other materials worthy of evaluation may surface and be considered important for inclusion in your WPAF. Please refer to Article 15.12.b of the CBA and Section VI.C.15 of the Academic Senate Policy 526 for specific details.

Throughout the RTP process, please remember that “Personnel recommendations or decisions relating to retention, tenure, or promotion or any other personnel action shall be based on the Personnel Action File.” (CBA Article 15.12.c)

What documents go into this section of your WPAF?

In the Prior Evaluation section, you should include complete packets for each previous RTP cycle including the routing sheet, presidential decision, reviews and recommendations at each level of evaluation along with your responses/rebuttals, as well as the WPAF Index and Curriculum Vitae supplied by you for each of those prior RTP cycles. Copies of the prior RTP materials gathered from the Personnel Action File are supplied by the Office of Human Resources at the Academic Senate Chair’s request unless the candidate provides prior written notification that s/he will be submitting their own complete copy sets to the VPAA/Provost Office prior to the “WPAF closing date.” The Office of Human Resources may also supply other appropriate prior evaluative and/or personnel action documents from the candidate’s Personnel Action File (PAF) deemed appropriate for inclusion in the WPAF. (CBA Articles 11.3 and 15.8)

Divider 3: Prologue to Supplementary Material

It is recommended that you include a Prologue to Supplementary Material. The Prologue serves as a transition point between the sections containing prior and current evaluative reviews, reports, recommendations and related documents. This material comes from your Personnel Action File and the Supplementary Materials assembled as a “culture of evidence” by you, which was returned at the conclusion of previous RTP cycle.

Three particular items should form the basis of your Prologue: **The WPAF Index**, your **Curriculum Vitae**, and your **Self-Study**. As part of, or an addendum to your Self-Study, the Prologue may also include any Departmental Criteria and/or Faculty “performance contract” approved by the President, if such item(s) exist. At the conclusion of the RTP cycle, the WPAF Index and your current Curriculum Vitae will accompany the RTP reviews/recommendations, responses/rebuttals and presidential decision as they become permanent additions to your Personnel Action File.

The WPAF Index

The WPAF Index should *itemize and identify by title and date* each document in the Supplemental Materials in the order in which they are included and in a way that serves to easily guide a reviewer to evidence. Though not mandatory, numbering each page of supplementary materials so that they coincide with numbering in the WPAF Index may be extremely helpful to reviewers.

Curriculum Vitae

Your Curriculum Vitae may be organized by Retention/Tenure & Promotion criteria. Your Curriculum Vitae may also be organized as follows:

1. Name
2. Education: Universities attended, dates, degrees, and academic major
3. Professional Experience: Academic and professional positions in chronological order and include dates, location, and title of position.
4. Honors and Awards: All honors and awards in chronological order and include name of honor/award, organization, location, and year.
5. Publications: (In chronological order) your research or scholarly works, publications (author/s), title, name of publication, location, date, volume, page), presentations (title, organization, location, date, juried/non-juried), creative works, and works in progress.
6. Professional & Civic Activities: All professional and community activities and accomplishments in organizations that are related to your field of expertise

Self-Study

Your Self-Study, or “WPAF Summary” with “Teaching Philosophy” (Academic Senate Policy 526, Section VII) serves to consolidate and synopsize the supplementary materials, in light of the established and approved criteria for RTP. When making self-evaluative statements within your Self-Study, you may want to reference evidence located in the supplementary materials or elsewhere in your WPAF.

“Materials for evaluation submitted by a faculty unit employee shall be deemed incorporated by reference in the Personnel Action File, but need not be physically placed in the file. An index of those materials shall be prepared by the faculty unit employee at the beginning of the cycle and submitted with the materials. That index shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle. Materials incorporated by reference in this manner shall be considered part of the Personnel Action File for the actions set forth in provision 15.12c of this Article...” (CBA Article 15.9.)

Divider 4: Effective Teaching

“The academic assignment of most members of the faculty consists primarily, but not exclusively, of teaching. For these members teaching effectiveness is the most important element to be considered during retention, tenure, or promotion evaluations completed at the Academy. Guidelines for evaluation effectiveness in one’s teaching and teaching related activities are defined by the Departmental Guidelines found in Appendix K or by the General Guidelines of Appendix J....” (Academic Senate Policy 526, Section IV. A.)

How can you demonstrate your teaching effectiveness?

“A faculty member's teaching effectiveness may be demonstrated by documentary evidence of the ability to select appropriate course materials, to present course content effectively, and to make significant demands upon the intelligence and industry of students”

“Such documentary evidence shall consist of impartially administered course and instructor evaluations (SUMMA) completed by students. Documentary evidence shall also include reports of classroom visits by other faculty members, samples of student work evaluated by the candidate, course syllabi, examinations, and supplementary materials. Additional evidence of teaching effectiveness may include, but is not limited to:

- a. Use of creative and/or innovative techniques to adapt course content to reflect changes and progress in the subject matter within an area.
 - b. Initiation of/participation in student-oriented seminars, colloquia, workshops, exhibitions, design projects, dramatic performances, debates, forums, etc.
 - c. The development and presentation of new courses and activities as demonstrated by:
 - (1) Specimen course outlines
 - (2) Preliminary investigations into necessary library sources and equipment.
 - (3) Acceptance of the new courses or activities by faculty colleagues, students, or the Curriculum Committee
 - d. Advising and counseling effectiveness.
 - e. Student achievement and the recognition thereof as demonstrated by awards, fellowships, publications, ex performances, vocational employment or entry into professional training or graduate programs, when the s achievement derives, in part, from the faculty's guidance and instructional effectiveness.
 - f. Supervision of students engaged in independent study as evidenced by program reports.”
- (Academic Senate Policy 526, Appendix J)

To demonstrate effective teaching and learning, assembled materials should show the outcomes and objectives of courses taught, as well as evidence that students are achieving those outcomes. The materials should include your “overview of teaching” addressing philosophy of education and teaching style as they apply to the various courses taught. You also may want to consider demonstrating how your scholarship and service have positively impacted your teaching effectiveness.

In addition, you can provide a reverse chronological list of all classes taught at CMA since appointment as a probationary tenure-track faculty or your last RTP review. Include course number, title of course, and enrollment and information regarding student advising. Most useful would be a summary of assessment methodology used to verify your effectiveness in teaching or, more importantly, facilitating learning.

Likewise, peer evaluations by identified RTP Committee members, department chairs, etc., including, perhaps, candidate reflections should be included.

Instructional materials in this section of your WPAF should include syllabi, media (e.g., PowerPoints, WebCT, etc.), and a comprehensive overview of any recently introduced or significantly modified courses.

Identified letters or other tangible evidence of support or recognition from within and beyond the campus’ professional community are important components of any evaluation.

Divider 5: Scholarly, Creative or Professional Achievement

As stated in Academic Senate Policy 526, IV. C. Scholarly, Creative and/or Professional Achievements:

“Academic assignments of the teaching faculty should also involve participation in scholarly, creative or professional pursuits. Accordingly, scholarly, creative, and/or professional achievement must also be demonstrated to justify positive retention, tenure, or promotion recommendations. When faculty members have made significant contributions to their discipline or to their professional community over a number of years, total contributions should be considered. Neither the existence of publications nor the lengths of any actual publications is, per se, a requirement for retention, tenure or promotion. ...”

What documents go into this section of your WPAF?

From Academic Senate Policy 526, Appendix J. C. Scholarly, Creative and/or Professional Achievement

1. **Scholarly Achievement:** Scholarly achievement may include, but is not limited to the following:
 - a. Publication in professional journals or in the form of works published by publishing houses of repute, together with any pertinent reviews of published works.
 - b. Contributions in the form of critiques such as reviews for national periodicals, newspapers, or other communication media.
 - c. Contributions at professional conferences, seminars, workshops, institutes, or special programs.
 - d. An active program of scholarly or creative work in progress, appropriate to the discipline.
 - e. Creation of software, appropriate to the discipline.
 - f. Development of curricula or curricular materials for one’s disciplinary field, such developments evidencing genuine scholarship.
 - g. Scholarly achievement in the course of supervising student research, such achievement reflective of genuine scholarship.
 - h. Receipt of awards, prizes, fellowships, or grants related to one’s academic role
 - i. Presentation of public lectures within a candidate’s discipline.

2. **Creative Achievement:** Creative achievement may include, but is not limited to the following:
 - a. Creation of an original work of fiction, drama, or poetry;
 - b. Performances in the performing arts;
 - c. Exhibitions in the graphic arts; or
 - d. Patented inventions or discoveries; within one's discipline.

3. **Professional Achievement:** Professional achievement may include, but is not limited to the following:
 - a. Selection for leadership rolls on behalf of professional associations, meetings, panels, activities or workshops
 - b. Acquisition of documented expertise in either the technical or academic aspects of a faculty member's discipline (licenses, certificates, college credit, etc.)
 - c. Consulting within areas tied to one's professional discipline
 - d. Selection for service on editorial boards or as editor of a professional journal or newsletter
 - e. Selection as reviewer for publishers or other agencies or associations
 - f. Receipt of honors and awards

In his work, *Scholarship reconsidered: Priorities for the professoriate*, Ernest L. Boyer asks the question,

“Is it possible to define the work of faculty in ways that reflect more realistically the full range of academic and civic mandates? ...the work of the scholar ...means stepping back from one’s investigation, looking for connections, building bridges between theory and practice, and communicating one’s knowledge effectively to students. ... the work of the professoriate (has) four separate, yet overlapping functions(:)...discovery;...integration,...application, and...teaching.”

(Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching)

Divider 6: Service to the Academy and Academic Community

“Academic assignments of the teaching faculty should also involve participation in Department and/or Academy governance. Accordingly, service to the Academy and its students must also be demonstrated to justify positive retention, tenure, or promotion recommendations. Guidelines for evaluating service on behalf of the students of the Academy, the Academy, and the greater academic community are defined by the Departmental Guidelines found in Appendix K (or by the General Guidelines of Appendix J in the case that Departmental Guidelines do not exist). (Academic Senate Policy 526, Section IV. B.)

As mentors, role models and examples to students, one’s service to the university, the profession, and to the community is critical to a student’s understanding of leadership and civic responsibilities. While opportunities for service abound in many areas, candidates for RTP may want to pay special attention to those types of activities that assist in our collective efforts to prepare “intentional” learners, that is, graduates who are informed, empowered, engaged and responsible.

While sharing your experiences of service, do not miss the opportunity to show how this service has increased your teaching effectiveness or contributed to your scholarly endeavors.

While not an RTP mandate, faculty desiring to expand their “service” portfolio may want to consider becoming involved in “community service learning.” Community Service Learning (CSL) is a teaching method that incorporates academic study and community service experiences. Students enrolled in a course offering a community service learning opportunity split their time between classroom instruction and service in the community. Students utilize the service experience as a course text for both academic learning and civic learning. Through service and guided self-reflection, students learn about themselves and their relationship to the community around them. Community service learning allows students to engage with real-world issues and social problems, and to work with community organizations to become “part of the solution.” CSL differs from academic internships because of its emphasis on student civic development. CSL also differs from volunteerism or community service because it ties the service experience back in to the academic content of a class. CSL benefits for your students include: “real life experience” and new job skills, academic knowledge and insights, development of skills to work with diverse populations; opportunities to learn from a community “teacher,” exploration of career options, and enhancement of critical thinking skills

What documents go into this section of your WPAF?

From Academic Senate Policy 526, Appendix J. B.:

B. Service to Students, the Academy, and the Greater Academic Community

Faculty members shall also be evaluated based upon their record of service on behalf of their students, their department, the Academy, and the greater academic community, at large. Such service may include, but is not limited to:

1. Career and academic student counseling, advising, and/or mentoring
2. Mentoring professional colleagues, related to their effectiveness within their academic or administrative assignments
3. Administrative activities such as scheduling, program coordination or other special assignments
4. Participation in the governance of the Institution (at the Department, Academy or system-wide level)
5. Service as a department chair
6. Service on committees, at the Department or Academy level
7. Operational activities (such mini-cruise)
8. Service to the community, state, nation, or international community in a capacity related to the faculty member’s discipline and requiring the application of the faculty member’s professional knowledge or skills, including, but not limited to:
 - a. Service on editorial boards or as editor of a professional journal or newsletter
 - b. Service on system-wide committees, task forces or intersegmental associations or groups
9. Activities that enhance the Academy’s ability to serve the needs of an ethnically diverse and nontraditional student body

Divider 7: Integrated Achievement

Throughout Academe, RTP policies and procedures often categorize academic professional undertakings along three avenues of activity: teaching, scholarship (traditional or reconsidered) and service. In one sense, The California State University has codified this tradition:

“The primary professional responsibilities of instructional faculty members are: teaching, research, scholarship, creative activity, and service to the University, profession and to the community.” (CBA Article 20.1.a)

Nonetheless, the complexity, interrelatedness and the “added value” benefits of integrating these activities, in organized ways as suggested by Boyer (1990) often leaves some RTP candidates perplexed over where to place such activities in the WPAF.

For the convenience of our Cal Maritime RTP candidates who consider one or more of the activities they deem achievements to be an “**integrated achievement**”, we have added this additional section for document filing. However, like this entire set of WPAF preprinted dividers, utilization of this organizational WPAF section model is not mandatory. Throughout the RTP Cycle, please remember that “Personnel recommendations or decisions relating to retention, tenure, or promotion or any other personnel action shall be based on the Personnel Action File.” (CBA Article 15.12.c) and not on a candidate’s utilization of any optional organizational constructs made available for the convenience of the candidate or the reviewer.

Candidates may also want to use this section to organize letters of support or recognition that cross several, or all, of the more traditional activity areas cited above. After all, in which category (teaching, scholarship, or service) would a candidate place a professional disciplinary organization’s “professor of the year” award or information regarding a grant or contract providing support for a comprehensive endeavor with teaching, scholarship and service components?

What documents go into this section of your WPAF?

Whatever evidence of **integrated achievement** you prefer to include as opposed to, or in addition to, placing it into other evidentiary sections set aside for the WPAF’s supplementary materials.

Divider 8: Professional Preparation

“Excellence in education is the Academy’s primary goal. Achieving this goal is dependent, above all, upon the quality of the faculty. The Academy can provide an education of high quality only with faculty of high quality who themselves are committed to disciplinary and pedagogical currency and who have the capacity to contribute to the mission of the Academy.” (Academic Senate Policy 526, II)

As is the case with most institutions of higher education, Cal Maritime maintains certain minimum expectations regarding professional preparation and/or experience. In fact, possessing, or acquiring (if identified as a condition of continued employment during tenure track probation) appropriate professional preparation (academic and/or practical) is a requirement for RTP candidates to achieve permanent employment status at Cal Maritime. Thus, as “conditions of employment,” Cal Maritime’s professional preparation requirements are summarized as follows:

The award of tenure normally requires the following:

1. Possession of the appropriate terminal qualifications and or terminal certification, unless an exception to this requirement has been granted and noted in the letter of hire.
 - A Ph.D. in an appropriate discipline is normally the terminal qualification for members of the Mechanical Engineering, Business Administration, Maritime Policy and Management, and Science and Math Departments.
 - A Master’s Degree in an appropriate discipline plus an unlimited license is normally the terminal qualification for the licensed members of the Engineering Technology and Maritime Transportation Departments.
 - A Bachelor’s Degree in an appropriate discipline plus an unlimited license is normally the terminal qualification for members of the Maritime Operations Department.

What documents go into this section of your WPAF?

- Copies of your academic degrees and certificates, mandatory or supplementary
- Copies of your professional licenses and professional registrations, mandatory or supplementary
- Statements of approved equivalency
- Evidence of continuing education required to maintain your professional licenses and professional registrations