



COLLEGE OF ARTS & LETTERS

COLLEGE OF ARTS & LETTERS

THE WORKING PERSONNEL ACTION FILE  
(WPAF) INSTRUCTION BOOKLET  
TENURE TRACK

2023-2024

*COVID-19 Edition for Digital WPAF*

Updated 9/14/23

**CALIFORNIA STATE UNIVERSITY, SACRAMENTO  
COLLEGE OF ARTS & LETTERS  
INFORMATION FOR PROBATIONARY FACULTY**

This guide is intended to provide information regarding the procedures and deadlines for tenure-track and tenured faculty who are taking part in the RTP (retention, tenure, promotion) process.

**WHEN WILL YOU BE REVIEWED?**

Ordinarily, faculty hired as Assistant Professors have a six (6) year probationary period, during which they will be reviewed for retention annually for the subsequent year. Each year during the probationary period, faculty will submit a Working Personnel Action File (WPAF) for review. In the first probationary year, faculty will undergo an informal review with their Department Chair. In each subsequent year, faculty will submit their WPAF during the fall semester for retention review. After receiving tenure and promotion to Associate Professor, faculty will be reviewed in five (5) year cycles (Post-Tenure Review, or PTR). The first of these cycles is the review for promotion to Full Professor.

For faculty hired with credit toward tenure and promotion, the probationary period is shortened accordingly. Those with one (1) year of credit are effectively in their second probationary year. Those who arrive with two (2) years' credit are in their third probationary year. In both of these cases, the first year involves an informal review by the chair.

**WHO EVALUATES THE WPAF?**

After the first year, the WPAF is evaluated by:

- Your Department's Primary ARTP Committee
- Your Department Chair (if specified in your department's ARTP policy)
- College of Arts and Letters Secondary ARTP Committee, which is elected by the College faculty
- College Dean

Additionally, in the 4<sup>th</sup> and 6<sup>th</sup> probationary years, the Provost conducts an independent review.

**THE EVALUATION:**

Each level of review results in a written evaluation, which becomes a permanent part of the WPAF.

For each written evaluation, the faculty member under review will have ten (10) calendar days to provide an optional written response. This rebuttal will also become a permanent part of the WPAF.

For each review cycle, the highest-level official makes the final decision regarding retention and/or promotion.

**PROBATIONARY FACULTY CLASSIFICATION**

Ordinarily, the probationary period is six years.

- P-1: This classification designates newly hired probationary faculty members without credit toward tenure. These faculty members will receive an informal periodic evaluation by the Department in the spring semester.
- P-2: This classification designates probationary faculty in their second year. At this level, WPAFs are typically reviewed beginning in the fall. This classification also designates faculty members who were given one (1) year of credit toward tenure at the time of appointment. Faculty members with one (1) year of credit towards tenure will receive an informal periodic evaluation by the Department in the spring semester.

- P-3: This classification designates probationary faculty in their third year. At this level, WPAFs are typically reviewed beginning in the Fall semester. This classification also designates faculty members who were given two (2) years of credit toward tenure at the time of appointment. Faculty members with two (2) years of credit towards tenure will receive an informal periodic evaluation by the Department in the spring semester.
- P-4: This classification designates probationary faculty in their fourth year. At this level, WPAFs are typically reviewed beginning in the fall semester. **Final decisions for retention at this level rest with the Provost.**
- P-5: This classification designates probationary faculty in their fifth year. At this level, WPAFs are typically reviewed beginning in the fall semester. Faculty in this classification may request consideration for early tenure and promotion by providing written notice to the Department's primary committee and/or chair according to the RTP calendar of deadlines.
- P-6: This classification designates probationary faculty in their sixth year. At this level, WPAFs are Typically reviewed beginning in the fall. **Faculty in this classification must be reviewed for tenure and promotion.** This marks the final pre-tenure review. Final decisions for tenure and promotion rest with the Provost.

## WEB LINKS TO ARTP POLICIES

- The Collective Bargaining Agreement (CBA) for Unit 3 faculty <https://www.calstate.edu/csu-system/faculty-staff/labor-and-employee-relations/Documents/unit3-cfa/article15.pdf>
- The University Appointment, Retention, tenure and Promotion Policy (UARTP) <https://sacramentostate.policystat.com/policy/11444962/latest>
- The College of Arts and Letters ARTP Policy <https://www.csus.edu/college/arts-letters/internal/artp-process.html>
- The Department ARTP Policy (see Department Chair or primary committee) <https://www.csus.edu/college/arts-letters/internal/artp-process.html>

## PREPARING THE WORKING PERSONNEL ACTION FILE (WPAF)

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**\*\*SINCE THE 2020-2021 REVIEW CYCLE, WPAFS HAVE BEEN AND WILL BE ASSEMBLED, SUBMITTED AND REVIEWED DIGITALLY. FOR THE COLLEGE OF ARTS & LETTERS, THE WORKING PERSONNEL ACTION FILE (WPAF) WILL BE ACCESSIBLE VIA ONEDRIVE:**

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### Faculty Folder

Name	Modified
Lecturers-3Yr Contracts	August 25
Tenure Track	August 25

## Folder Contents for Uploading Files, etc.

Name
01. Attestation
02. Curriculum Vitae
03. Current ARTP Evaluations
04. ARTP History
05. Faculty Development Plan
06. Index
07.1 Teaching Effectiveness-Student Evaluati...
07.2 Teaching Effectiveness-Peer Evaluations
07.3 Teaching Effectiveness-Syllabi
07.4 Teaching Effectiveness-Supporting Docs
08. Scholarly and Creative Activities-Support...
09. University Service-Supporting Docs
10. Community Service-Supporting Docs
11. Other-Supporting Docs
12. WPAF Access Logs

- **Attestation** form sent via Adobe Sign for candidate and chair to sign at the time the WPAF is finalized for review.
  - **Curriculum Vitae** – A current complete CV consistent with the discipline’s professional standards.
  - **Current ARTP Evaluations** – This includes the written evaluations generated during this review cycle (i.e., reviews from the Primary Committee, Department Chair, Secondary Committee, and the College Dean, as applicable) These will be uploaded at the completion of each level of review. The Dean’s Office will upload any faculty rebuttals submitted after each level of review.
  - **ARTP History** – All preceding reviews from all levels, including the faculty member’s rebuttals (if any). The faculty member’s letter of appointment is included here as the first item.
  - **Faculty Development Plan** – A brief reflective statement providing narrative context to your professional endeavors during the period of review, including a brief projection of professional commitments, projects, and plans.
  - **Index** – An itemized listing, by major category of activities and accomplishments, for the current and previous review cycles.
  - **Teaching Effectiveness –Student Evaluations** – Student course evaluations from all courses taught (in current review cycle)
  - **Teaching Effectiveness-Peer Evaluations** – Evaluations of teaching by colleagues if conducted per Departmental ARTP policies.
  - **Teaching Effectiveness-Syllabi** One syllabus/course taught
  - **Teaching Effectiveness-Supporting Documents**
  - **Scholarly and Creative Activities Supporting Documents**
  - **University Service Supporting Documents**
  - **Community Service Supporting Documents**
- Each “Supporting Documents” folder includes select materials demonstrative of achievements and contributions in each respective area of review.

## THE WPAF IS CREATED AT THE BEGINNING OF THE REVIEW CYCLE

1. The Dean’s Office sends a list to the Departments of their faculty eligible for review and the level of review. The Department Chair and primary committee review the list of faculty for accuracy. Probationary faculty requesting early tenure and promotion must inform the Office of Faculty Advancement and the Department’s Chair in writing at this time prior to the beginning of the evaluation process with the primary committee.

Faculty on non-protected leave during their fifth year must prepare their WPAF accordingly.

Faculty on protected leave (FMLA, Sick Leave, Disability leave, etc.) at any point during the review period should consult with their Department Chair and Dean’s Office during this phase of the review cycle for clarification of the review process.

2. The Department announces to its faculty the deadline for compiling the WPAF's content. It is the responsibility of the candidate (not the Department Chair or Coordinator) to prepare the following materials for review:
  - Current Curriculum Vitae
  - Faculty Development Plan
  - Outlined Index of all the achievements a faculty member wishes to bring to the reviewers' attention. The most recent entries are to be listed first. The Index must be subdivided as follows (see also attached sample):
    - Achievements relating to **Teaching Effectiveness** (Examples: Lab manuals; letters of support from students, colleagues, etc.). Additional pages should be labeled Teaching Effectiveness, Page 2, etc.
    - Activities relating to **Scholarly and Creative Achievements** (Examples: published books, papers, and chapters, conference presentations, exhibitions, showings, performances, concerts, etc.). Additional pages should be labeled Scholarly & Creative Achievements, Page 2, etc.
    - Achievements relating to **Department/College/University Service** (Examples: committee membership, special assignments, program review, student organization advising, etc.), Additional pages should be labeled D/C/U Service, Page 2, etc.
    - Activities relating to **Community Service** (Examples: voluntary professional offices, volunteer/paid consultant, participation in national, state, or local agencies/organizations, mass media interviews or contributions, public honors/awards, etc.). Additional pages should be labeled Community Service, Page 2, etc.
    - **OTHER**: While it is the faculty member's right to include any material they believe demonstrates their professional achievement, they should be mindful of the difference between proving work done and demonstrating the quality/contribution of the work with well-chosen evidence. That is, choose to include material that most effectively conveys the nature and value of your work. At any level of review, reviewers may request evidence of activities and accomplishments listed in the indices.
    - For each index, the candidate should asterisk those entries for which supporting material is submitted.
  - Supporting Documents, i.e., the select materials described above listed in the Index, for each area of review.
3. The faculty member will upload the materials above to their designated OneDrive folder. The department chair will upload Student Course Evaluations and Peer Evaluations if conducted per departmental ARTP Policy.
  - All Student Evaluations conducted during the period under review must be included.
  - If the upcoming evaluation is for purposes of retention, tenure, or first promotion, then all Student Evaluations gathered since the initial appointment to probationary status must be submitted.
  - If the upcoming evaluation is for a subsequent promotion, then all Student Evaluations gathered since the last promotion must be submitted.
  - Student Evaluations must be filed in chronological order with the most recent semester first.

The WPAF is now completely assembled and ready to be closed and submitted electronically for the next level of review. Once closed, the WPAF cannot be modified. At this point, the faculty member and the chair sign the Verification of WPAF Contents certifying that the WPAF is complete and ready to be submitted to the Primary Committee (and, if appropriate, the Department Chair) for review. Should the need arise to re-open the WPAF, please refer to the UARTP document 4.03 (F) for guidelines.

4. The Department Chair or Committee Chair will resend access to the faculty member.
5. After the Primary Committee has conducted their evaluation of the content in the WPAF and completed their deliberation, their conclusions and recommendations shall be submitted as a written document. The chair of the Primary Committee must sign and date this document certifying that the departmental ARTP procedures were followed.

Where required, the Department Chair shall conduct an independent evaluation and produce a separate written document of their conclusions and recommendations. The chair shall sign and date this document certifying that the departmental ARTP procedures were followed.

Each of these written documents shall be entitled with the current academic year cycle, for example, 2023-2024 RETENTION EVALUATIONS AND RECOMMENDATIONS. The Dean's Office will supply letter templates.

6. At this juncture, the college dean's office will rescind the Department Chair and or Committee Chair's access to the digital WPAF and grant access to the next level of review, the Secondary Committee, when appropriate.
7. Each faculty member will receive a copy of their primary level recommendation(s) via email with a notice that the faculty member has ten (10) calendar days to submit a response or rebuttal statement (see page 7). **The Primary Committee does not send their evaluation to the faculty member; it must come through the Dean's Office.**
8. After the ten calendar (10) days have expired, all of these documents are uploaded to the "Current ARTP Evaluations" digital file by the Dean's Office.

### **IMPORTANT**

**The Index becomes a permanent part of the WPAF. With the exception of faculty members being reviewed for tenure and promotion, the faculty member will not have access to either the traditional black binder or previous supporting documents there within. Subsequently, the asterisks in the Index that reference supporting documents from previous review cycles need to be deleted.**

### **FACULTY DEVELOPMENT PLAN**

A Faculty Development Plan is a narrative, summary, or reflective statement of the candidate's accomplishments and a plan of action for each area of review. This plan should result from consultation between the candidate and the Department Chair per the Departmental ARTP Policy.

The College of Arts & Letters recommends that the Faculty Development Plan begins with a one-page reflection on the candidate's teaching philosophy and their teaching experience from the previous review cycle, but defer to Departmental ARTP requirements for guidance. Additionally, the plan must review and outline a professional plan of action for each area of evaluation not to exceed two pages.

The Faculty Development Plan is neither a formal agreement nor a contract, but rather a set of academic goals and objectives that the candidate intends to pursue in meeting his/her professional responsibilities, consistent with the department's performance expectations. It should be understood that meeting the goals and expectations of the Faculty Development Plan does not guarantee retention, tenure, or promotion.

## **SUPPORTING DOCUMENTS**

Each area of review, i.e., Teaching Effectiveness, Scholarly and Creative Achievements, Contributions to Department/College/University, and Contributions to the Community, includes Supporting Documents that exemplify achievements in each area. Supporting Documents should, whenever possible, be titled and uploaded as one PDF document with a distinct range of asterisked items corresponding with the Index in consecutive order. Files requiring a different format, distinction, or “break” in the Index resulting from a live URL may contain one item or begin a new file. Anything listed in the index must be available for review if requested by any reviewer at any level of review.

The digital WPAF should have files uploaded into the respective evaluation area’s supporting documents folder. The university and college recommend uploading files as PDFs; however, files can also be in other formats (jpeg, mp4, etc.) as needed/appropriate. The recommendation is to also limit PDF documents to no more than 30 pages.

## **TEN (10) DAY REBUTTAL PERIOD**

For each level of review, the faculty member will have ten (10) calendar days to consider and submit an optional rebuttal or response to the content of the review. This ten (10) calendar day period begins from the time of receipt of the review document. Section 9.010X of the University ARTP (CBA 15.5) should be kept in mind:

At all levels of review, before recommendations are forwarded to subsequent review level, faculty unit employees shall be given a copy of the recommendation and the written reason therefore. The faculty unit employees may submit a rebuttal statement or response in writing and/or request a meeting to be held to discuss the recommendation within **ten (10) days** following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File and also be sent to all previous levels of review. This section shall not require the evaluation timelines be extended.

Please also note the following important information:

- At the department level, independent reviews by the primary committee and the Department Chair may be conducted simultaneously. To ensure these reviews are independent, neither should consider the evaluation statement of the other.
- At the department level, where Department Chairs conduct a subsequent review – taking into account the primary committee’s evaluation – then the faculty member’s ten (10) calendar day period of rebuttal must be factored into the determination of timelines and deadlines. Both the primary committee’s evaluation and the faculty member’s rebuttal/response must be considered by the Department Chair.

## **WHAT TO INCLUDE WHEN**

- **PROBATIONARY PERIOD:** For each year of retention review include samples of work and contributions made during the period of evaluation, i.e., the previous academic year.
- **TENURE AND PROMOTION TO ASSOCIATE:** Samples of work and contributions made since the date of initial probationary appointment.
- **PROMOTION TO FULL:** Samples of work and contributions made since the closing of the tenure WPAF.
- **PERIODIC REVIEW OF TENURED FACULTY (FIVE-YEAR POST-TENURE REVIEW):** Samples of work and contributions made since the closing of the file for the previous review.



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STATE

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**WORKING PERSONNEL ACTION FILE VERIFICATION**  
**AND CERTIFICATION**  
**Choose AY REVIEW CYCLE**

Candidate's Name: \_\_\_\_\_

Department: Choose an item.

By signing below, I certify that my Working Personnel Action File has been satisfactorily completed and is ready to be closed. I understand it will be released to the assigned review committees, and if applicable to the Chair, Dean, and/or Provost for evaluation and appropriate recommendations. I also certify that items, documents, and or materials that are referenced in the Index but not included are readily available should the material be requested for at any review level.

\_\_\_\_\_  
Candidate Signature Click or tap to enter a date.  
Date

.....

Department Chair signature certifying WPAF file format compliance:

\_\_\_\_\_  
Department Chair Signature Click or tap to enter a date.  
Date

Revised 09/07/2023



## FORMAT FOR PRIMARY EVALUATIONS AND RECOMMENDATIONS

T I T L E

2020-2021 Retention Cycle - Performance Evaluation and Recommendation for Retention (or Tenure or Promotion to Assistant/Associate Professor) of Professor X submitted by the Primary ARTP Committee (or, if appropriate, by the Department Chair).

Primary Level please note:

Your evaluation must address the candidate's performance in each of the four criteria:

Teaching Effectiveness  
Scholarly and Creative Achievements  
Contributions to the Department/College/University  
Contributions to the Community

If the candidate does not possess a terminal degree, a degree equivalency statement must be included.

If your departmental ARTP procedures call for the ranking of promotion candidates, the rank order must be spelled out without, however, mentioning other candidates by name.

FINAL STATEMENTS:

I hereby certify that the departmental ARTP procedures were followed.

Signed  
Primary Committee Chair (or Department Chair, if appropriate)

Date \_\_\_\_\_

## **SAMPLE INDEXES**

*Index sample for faculty in 2<sup>nd</sup> year of appointment, i.e., a faculty who began teaching at Sacramento State in 2019-2020.*

### **TEACHING EFFECTIVENESS, Page 1**

#### **2020-2021 Retention Cycle** *(Include material from fall 19 and spring 20)*

1. Courses taught during the period being evaluated: Subject 1A, 50, 100A, 249
2. Developed Lab exercises for Subject 100A
3. \*Student comments on a field trip in Subject 100A (must be signed)

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Subsequent pages are to be marked

### **TEACHING EFFECTIVENESS, Page 2, etc.**

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*Index sample for faculty in 3<sup>rd</sup> year of appointment, i.e., a faculty member who began teaching at Sacramento State in 2018-19. This instructor has completed two years of their appointment. These two years provide the period of review. The review occurs during their third year.*

**TEACHING EFFECTIVENESS, Page 1**

**2020-2021 Retention Cycle** *(Include material from Fall 19 and Spring 20.)*

1. Courses taught during the period being evaluated: Subject 1A, 50, 100A, 249
2. Developed Lab exercises for Subject 100A
3. \*Student comments on a field trip in Subject 100A (must be signed)

**2019-2020 Retention Cycle** *(Include material from Fall 18 and Spring 19.)*

4. Courses taught during the period being evaluated (Fall 2018/Spring 2019/Summer 2019):  
Subject 7A, 50, 150, 222
5. Sample Lab exercise developed for Subject 7A

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Subsequent pages are to be marked

**TEACHING EFFECTIVENESS, Page 2, etc.**

*Index Sample for faculty in 4<sup>th</sup> year of appointment, i.e., a faculty member who began teaching at Sacramento State in 2017-18. This instructor has completed three years of their appointment. These three years provide the period of review. The review occurs during their fourth year. There will also be a review from the Provost.*

**TEACHING EFFECTIVENESS, Page 1**

**2020-2021 Retention Cycle** *(Include material from Fall 19 and Spring 20)*

1. Courses taught during the period being evaluated: Subject 1A, 50, 100A, 249
2. Developed Lab exercises for Subject 100A
3. \*Student comments on a field trip in Subject 100A (must be signed)

**2019-2020 Retention Cycle** *(Include material from Fall 18 and Spring 19)*

4. Courses taught during the period being evaluated: Subject 7A, 50, 150, 222
5. Sample Lab exercise developed for Subject 7A

**2018-2019 Retention Cycle** *(Include material from Fall 17 and Spring 18)*

6. Courses taught during the period being evaluated: Subject 7A, 50, 150, 222
7. Sample Lab exercise developed for Subject 7A

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Subsequent pages are to be marked

**TEACHING EFFECTIVENESS, Page 2, etc.**

*Index sample for faculty in 6<sup>th</sup> year of appointment – Applying for Tenure/Promotion. This index sample is for a faculty member who began teaching at Sacramento State in 2015-16. They have completed five years of their appointment. These five years provide the period of review. The review occurs during their sixth year of appointment including years granted for service credit. This is the 2<sup>nd</sup> time the Provost also conducts a review.*

### **TEACHING EFFECTIVENESS, Page 1**

#### **2020-2021 Retention Cycle for Tenure & Promotion** *(Include material from Fall 19 and Spring 20)*

1. Courses taught during the period being evaluated: Subject 1A, 50, 100A, 249
2. Developed Lab exercises for Subject 100A
3. \*Student comments on a field trip in Subject 100A (must be signed)

#### **2019-2020 Retention Cycle** *(Include material from Fall 17 and Spring 18)*

4. Courses taught during the period being evaluated (Fall 2017/Spring 2018/Summer 2018):  
Subject 1B, 75, 125, 204
5. Sample Lab exercise developed for Subject 75

#### **2018-2019 Retention Cycle** *(Include material from Fall 16 and Spring 17.)*

6. Courses taught during the period being evaluated: Subject 1B, 75, 125, 204
7. Sample Lab exercise developed for Subject 125

#### **2017-2018 Retention Cycle** *(Include material from Fall 16 and Spring 17.)*

8. Courses taught during the period being evaluated: Subject 3B, 65, 135, 206
9. \*Letter of support from graduating senior John Doe.

#### **2016-2017 Retention Cycle** *(Include material from Fall 15 and Spring 16.)*

10. Courses taught during the period being evaluated: Subject 7A, 50, 150, 222
11. Sample Lab exercise developed for Subject 7A

*Index Sample for faculty applying for promotion to Full Professor, i.e. who received tenure and promotion to Associate Professor beginning Fall 2015 (Reviewed during 2014-15 review cycle). The index should reference all relevant activities for the complete period under review – namely from the time the WPAF was closed (in Fall 2015) to the end of the five-year period. The WPAF is constructed, closed, and submitted in Fall 2020.*

### **TEACHING EFFECTIVENESS, Page 1**

#### **2020-21 Retention Cycle** (Include material from Fall 19 and Spring 20)

1. Courses taught during the period being evaluated: Subject 1A, 50, 100A, 249
2. Developed Lab exercises for Subject 100A
3. \*Student comments on a field trip in Subject 100A (must be signed)

#### **2019-20 Retention Cycle** (Include material from Fall 18 and Spring 19)

4. Courses taught during the period being evaluated: Subject 1B, 75, 125, 204
5. \*Sample Lab exercise developed for Subject 75

#### **2018-19 Retention Cycle** (Include material from Fall 17 and Spring 18)

6. Courses taught during the period being evaluated: Subject 3B, 65, 135, 206

#### **2017-18 Retention Cycle** (Include material from Fall 16 and Spring 17)

7. Courses taught during the period being evaluated: Subject 7A, 50, 150, 222
8. \*Sample Lab exercise developed for Subject 7A

#### **2016-17 Retention Cycle** (Include material from Fall 15 and Spring 16)

9. \*Courses taught during period being evaluated: Subject 5A, 45, 110, 200

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***For each sample Index provided above/each Index for a review cycle, there must be a subsequent index using the same format for each area of evaluation:***

- 1) Teaching Effectiveness**
- 2) Scholarly and Creative Achievements**
- 3) Contributions to Department/College/University**
- 4) Contributions to the Community**

Simultaneous Independent Reviews by the Department Chair and Primary Committee

