



Faculty Record File Manual

Revised April 2003

On-line version:

<http://faculty.ucc.edu/handbook/FRFmanual.pdf>



Introduction

A full-time member of the faculty at Union County College must maintain a Faculty Record File (FRF) according to the procedures specified in the Agreement (contract). For purposes of reappointment, tenure, and promotion, it is the responsibility of each faculty member to establish and *periodically update* a FRF. The recommendations and policies stated in the Agreement should be read and fully understood. The responsibility for obtaining documentation for the FRF rests with the faculty member.

According to the Agreement, your FRF will be examined in the following order:

- 1) Your Department Evaluation Committee (DEC)
- 2) The Peer Evaluation Committee (PEC)
- 3) The President or his/her designee.

Check the Agreement for specific dates.

Read this document in conjunction with the Agreement. **Pay special attention to dates.** The Faculty Handbook is another good source to consult. You should also consult the other full-time members of your department and your department chair for advice on what to include in your file.

The Peer Evaluation Committee's (PEC) role

The PEC evaluates FRFs for reappointment, tenure, and promotion. It is important to bear in mind that the PEC will have only the FRF with which to evaluate faculty. The PEC does not have access to any other files or sources of information. In other words, you will be evaluated according to what you put in your file.

You will receive a memo from the PEC stating when your file will be reviewed.

Figure 1

SAMPLE M E M O R A N D U M

TO: YOUR NAME
FROM: Chair, Peer Evaluation Committee (PEC)
DATE:
RE: Reappointment, 3rd Year Faculty

This is to notify you that the PEC will review your Faculty Record File (FRF) to consider your reappointment as **RANK** between October 1 and October 15, 2002, as directed by the current Agreement, Art. XII, Part A, Section 4a. Notification is hereby given, in accordance with Section 5a of the same Article, that the PEC will meet on **DATE, TIME** in the **PLACE**. Please make certain that your FRF is current and ready for Department Evaluation Committee (DEC) review, which is scheduled between **DATES** according to the Agreement, Art. XII, Part A, Section 1a.

The evaluation of your record file will be in accordance with Art. XII (Faculty Reappointments and Promotions) pages 23-31; Art. XIII (Professional Evaluation) pages 32-36; and Art. XIV (Faculty Record File) pages 42-45 of the Agreement. Further clarification and guidance may be obtained from your Department Chairperson.

In accordance with Article XII Section A, 4c, the Committee may hear oral testimony from you or from others. Please indicate (by completing the bottom portion of this letter and returning a copy of the letter to me promptly) whether you wish to be heard by the Committee on your own behalf.

I wish to be present during the PEC testimony by others. **(For more information on this section, see page)**

Yes _____ No _____

I wish to be heard in my own behalf.

Yes _____ No _____

Signed _____ Date _____

On behalf of the PEC, I wish you the best as you continue in the reappointment/promotion/ process for the academic year 2003-2004.

To maintain accessibility, the PEC is requesting the following information; please be as specific as possible:

OFFICE HOURS: _____ CAMPUS _____
PHONE _____ HOME PHONE: _____
TIMES AVAILABLE AT HOME _____

I. Starting your FRF

1) To place documents into the FRF, make an appointment with the designee of the Vice President of Academic Affairs (at present, Cathy Tunstall, x7517). Check the Agreement for the correct time frame. Your file will close **three days prior** to the initial review at the Department level. Your department chair will notify you of these dates.

The Vice President's designee will provide you with a folder according to your current rank:

Instructor and Librarian I -	Red
Asst. Professor & Asst. Librarian -	Black
Assoc. Professor & Assoc. Librarian -	Blue
Professor and Librarian -	Green
Senior Professor and Senior Librarian -	Green

2) Each FRF consists of labeled folder subdivisions. These materials are provided by the VPAA's designee when you request your folder. You will also need a three-hole puncher, which will be made available if you put your file together in MacDonald Hall.

3) Suggestion: Spend some time arranging your materials *before* your appointment with the designee. It is a good idea to prepare a copy of each item for your own records. This will facilitate organization of the FRF as you add documentation in future years. Your FRF copy should be kept in a safe place.

II. The Folder Sections:

1) Place each item behind its divider, in chronological order. (Most recent additions should be at the bottom of the section.)

2) **Important! Number and date each item that you place in your folder.** Put this information in the upper right corner.

Example: A Peer Evaluation is the 25th item added.

It is numbered 4 -25 11/14/02

4 = section; 25 = item number

* Correctly numbering the file helps your Department and the PEC members to more easily understand your file. If your file is not numbered correctly, it is more difficult to understand what is new and what has already been seen.

The Sections:

Section 1. Item Listening (Faculty Record File Register) - See below.

Write the item number, the date placed, a description of the item, and your signature. The designee will verify each item. Then, you will sign again with the designee as your witness.

Figure 2

Union COUNTY COLLEGE		FACULTY RECORD FILE REGISTER			
ITEM NO.	DATE PLACED	DESCRIPTION OF ITEM	PLACED BY	ADMINISTRATION VERIFICATION	FACULTY VERIFICATION
4-1	4/12/93	PEER EVALUATION FROM R.E. TORD, BIO-105 FALL 1992, LETTER #11/1/92	[Signature]	ACE	[Signature]
6-2	4/12/93	LET: 1992 - END OF YEAR TRAVEL COPIES OF ACADEMIC EVAL. COPIES: JARA PLUCK 4/1/93 FOR 1992-93	[Signature]	ACE	[Signature]
3-3AB	4/12/93	STUDENT EVALUATION SUMMER 1992 (S) AND CURRENT SUMMER (S) FOR BIO-101-102 LETTER - FALL 1992	[Signature]	ACE	[Signature]
3-4AB	4/14/93	STUDENT EVALUATION SUMMER 1992 (S) AND CURRENT SUMMER (S) FOR BIO-102-103 FALL 1992	[Signature]	ACE	[Signature]
9-5	4/12/93	LETTER OF APPOINTMENT FOR WORKING AT THE BUSH MUSEUM FROM N.S. DAVIS 5/10/93	[Signature]	ACE	[Signature]
10-6	5/18/93	TRANSCRIPT OF COURSE WORK DONE AT F.R.U. IN FALL 1992 - BIOLOGICAL CHEMISTRY	[Signature]	ACE	[Signature]
12-7	5/14/93	REPORT + WORK PART OF SUMMER ATTENDANCE AT BIOLOGICAL CHEMISTRY, RD on 12/10/92 IN NY	[Signature]	ACE	[Signature]

Suggestion: If you make a few copies of the Faculty Record File Register, you can complete your register before you meet with the designee. You'll only have to do the signatures.

Section 2. Summary

This section includes: Undergraduate and graduate degrees and transcripts; evidence of on-going coursework transcripts; letters of appointment and reappointment, tenure, and promotion. You may also include an updated curriculum vitae and annual lists of your **major** accomplishments.

After a promotion, move this section into your Current Rank Folder.

Section 3. Student Evaluations and Teaching Schedule

Include a copy of your individual faculty teaching schedule for **each semester** with validation (signature) by your department chairperson (or other faculty member).

Figure 3

3

3-157
EPW
10/11/94

INDIVIDUAL FULL TIME FACULTY SCHEDULE SHEET

NAME NEBLETT, ELIZABETH DEPT. Institute for Intensive English SEMESTER FALL 1992

(A) List Course # and Lab #s separately (Incl. Teaching Overload) (Course/Lab & Section)	Days & Times	Campus	# of Credits/Contact Hours
Eng 030-21 / 031-41	MTWR 8:25-10:55	El	12
Eng 063-51	MW 6:30-9:00	El	6
Eng 091-75	R 6:30-9:20	EO	3
7/94 -			
REC 8/94	6/30-9:20		
Total # of Credits/Contact Hours (Total A)			21
(B) Release Time (Reason)			# Equiv. Credits
	S, 94		
Total # of Equivalent Credits (Total B)			

The student evaluations follow your teaching schedules in the FRF. There must be a **summary sheet** of student evaluations for every course taught. Also, include the comments, which are typed by department secretaries. **Do not include all of the evaluations - only the summary showing the total responses.**

Summer session courses are not considered part of a yearly teaching load; however, these evaluations could be included in this section.

Figure 4

UNION COUNTY COLLEGE **STANDARD FACULTY EVALUATION FORM**

SECTION: _____ INSTRUCTOR: _____
 CATALOG NUMBER: _____ TEACHING COURSE: _____

INSTRUCTIONS

- Print instructor's name to the right.
- Complete course identification information to the left.
- Respond to the questions below. Only one response per question.
- Use reverse side if you have additional comments, if you feel you would like to add something or if the statements have not covered the way the instructor has conducted the course.

USE NO PENCILS ONLY

MAKE SURE ALL ERASURES ARE COMPLETE.

The statements below ask you to evaluate various aspects of your instructor's effectiveness as a teacher. When responding to the statements, use the following criteria for evaluation:

- I strongly agree with this statement.
- I agree with this statement.
- While the statement describes the actions of the instructor some of the time, improvement is desired.
- I strongly disagree with this statement.
- The statement is not applicable, or you don't feel qualified to answer.

CORRECT MARKS ● ● ● ● ● **INCORRECT MARKS** ⊗ ⊗ ⊗ ⊗ ⊗

1. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor gave adequate information regarding student progress through quizzes, tests, or other forms of feedback.	22. This course is a: <input type="radio"/> required course in my major field. <input type="radio"/> required course, but not in my major field. <input type="radio"/> an elective in my major field. <input type="radio"/> a general elective.
2. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor graded fairly.	23. The age group I am in is: <input type="radio"/> Under 20. <input type="radio"/> 20-25. <input type="radio"/> 26-35. <input type="radio"/> over 35.
3. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Students were given sufficient notice of special assignments, test, and readings.	24. I believe my grade in this course at this point is a (an): <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C <input type="radio"/> D or below.
4. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The exchange of ideas and opinions was encouraged.	25. This semester I am enrolled for _____ credits. <input type="radio"/> 1-6 <input type="radio"/> 7-11 <input type="radio"/> 12-15 <input type="radio"/> over 15
5. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor gave clear explanations of questions asked by students.	26. This is my _____ semester. <input type="radio"/> first <input type="radio"/> second <input type="radio"/> third <input type="radio"/> fourth (or more)
6. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor seemed willing to help when students had difficulty understanding subject matter.	OPTIONAL QUESTIONS
7. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor seemed well prepared for class.	27. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 31. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5
8. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor stimulated my interest in the subject matter.	28. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 32. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5
9. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor presented material clearly.	29. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 33. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5
10. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Tests were returned promptly by the instructor.	30. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 34. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5
11. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Papers were returned promptly by the instructor.	
12. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor increased my knowledge of this subject.	
13. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor made helpful comments on papers.	
14. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor told students how they would be evaluated in this course.	
15. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor raised interesting questions or problems for class discussion.	
16. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor helped me better understand the subject matter of this course.	
17. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Overall, I would say the instructor is an effective teacher.	
18. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Overall, I would rate the quality of class discussion highly.	
19. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 The instructor's objectives for the course were made clear.	
20. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 Examinations reflected important aspects of the course.	
21. <input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5 In this class I felt free to ask questions.	

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This form, or a similar form from your department, should be given out to students during the last quarter of each semester. You may not administer the evaluations yourself; you may, however, ask another faculty member to give the evaluations for you. A student may also be assigned to collect and submit the completed forms to the appropriate department secretary for processing by the computer center. See the following for suggested protocols in administering this instrument.

The **Student Evaluation Form (SEF)** can be distributed beginning at the 10th week of the semester. This is helpful for 2nd year faculty members whose files close early in the fall semester. Following are some suggested guidelines:

1. Make certain that the form is completed in pencil only. Ask your department secretary for pencils.
2. Remind the students to print the instructor's name at the top where indicated.
3. Inform students to evaluate only the class that they are now in. For example, a student evaluating a **laboratory course** should not comment on the **lecture** portion of that course, and vice versa.
4. Make sure that the students understand the grid code circles:
 - 1 - strongly agree with this statement
 - 2 - agree with this statement
 - 3 - agree, but improvement is desired
 - 4 - strongly disagree with this statement
 - 5 - not applicable, or you don't feel qualified to answer
5. Inform the students that:
 - a. They will have only ____ minutes to complete the form.
 - b. They are to do their own analysis; they should not evaluate in "blocks".
 - c. They must not identify themselves. The evaluations are anonymous.
 - d. They should make comments on the REVERSE side of the SEF.
6. When time has ended, the proctor should collect all forms and combine them with the cover form. The cover form is a sheet of paper that indicates the following information:

COURSE NAME
COURSE NUMBER
DAY / TIME OF MEETING

This form should be verified with two signatures. One being that of the proctor (collector) and the other being that of the faculty member whose class is being evaluated. The form should also have the date that the evaluation was conducted.

Section 4. Peer Evaluations

In the Agreement, it is suggested that non-tenured faculty have two peer evaluations done each academic year, and that tenured faculty have one peer evaluation per academic year. It is the responsibility of the faculty member to request peer evaluations from the department chair or other full-time faculty. To strengthen your file, a variety of evaluators is recommended. Peer evaluations from adjunct faculty or faculty from other departments cannot be listed in this section, **but** can be placed in Section 5 (Other Evidence of Teaching Effectiveness.).

Note: An increasing number of faculty are using a computerized form for the peer evaluations. Everyone should remember that each evaluation should be different (It is not a *form* evaluation.); this could be embarrassing if the same person has done more than one evaluation.

Figure 5

Sample Peer Evaluation Form

UNION COUNTY COLLEGE
FACULTY EVALUATION AND IMPROVEMENT

CLASSROOM VISIT FORM

Instructor		Department
Date Of Classroom Visit	Room No.	Hour
Title Of Class Visited		
Objective Of Class		

General comments of the Evaluator on the teaching effectiveness of the instructor:

Evaluator's Signature

Date of Evaluator's Signature

FACULTY MEMBER'S RESPONSE: (IF ANY)

Faculty Member's Signature

Date of Faculty Member's Signature

Page 2

	Comments and/or suggestions for Improvement
1. Instructor's Preparation For This Class	
2. Degree Of Knowledge Evidenced By The Instructor	
3. Organization Of The Subject Matter	
4. Quality Of Instructor's Articulation (I.E. Spoke Clearly, Slowly And Sufficiently Loud To Be Understood By All)	
5. Instructor's Explanation Of structural, vocabulary, or cultural points	
6. Instructor's Enthusiasm For His/Her Subject	
7. Instructor's presentation of subject matter in a matter that encouraged relevant student involvement	
8. Instructor's response to student questions (i.e., patient, proficient, direct).	
9. Instructor's reaction to student viewpoints different from his / her own.	
10. Instructor's success At meeting the stated objectives of the class	

Section 5. Other Evidence of Teaching Effectiveness and Related Student Contacts

This section includes: A wide range of evidence; teaching awards, certificates, copies of plaques, licenses, evaluations of additional teaching at UCC or at other institutions; or letters from students or faculty.

Section 6. Committee Work

This section includes: Evidence of your participation in either College-wide or departmental committees. **The most credible evidence** is a memo from the committee chairperson noting your contribution. It is your responsibility to request a letter if you do not receive one at the end of the academic year.

Suggestion: Minutes of meetings should not be included unless they indicate some type of service other than mere attendance. A memo from the committee chairperson is sufficient evidence.

Section 7. Course and/or Program Development

This section includes: 1) Pilot courses that you have developed; 2) new course syllabi that you have created; 3) innovative testing / teaching procedures that you are using in your courses; 4) grant proposals that you have written; 5) new programs that you have developed and/or implemented

Suggestion: It is not necessary to include the entire program if it is a large document (e.g. 20 or more pages of PowerPoint printouts); include **a few** samples to show what you have done.

Section 8. Community Work

This section includes: Any active voluntary involvement in the community at the local, county, state, national or international level is appropriate evidence. Individual donations to non-profit organizations is not strong evidence. Membership alone in an organization is not as strong.

Section 9. Other Evidence of Service to the College and/or Community

This section includes: Service for fund-raising; advisorship of a College club, or serving as a department chair.

Section 10. Professional Development

This section includes: Formal course work, attendance (with verification such as a letter from the Professional Development Committee) at workshops, symposia, conferences, and/or conventions. This is also an appropriate section for publications and presentations.

Overlap - Many items can be placed in more than one category; however, do **not** place an item in more than one category. Choose the best category for the item.

Please use some judgment to exclude inappropriate items. For example, teaching overloads are not normally considered evidence of contributions to the College or extra teaching effectiveness. In addition, the service of evaluating adjunct faculty might be documented in the FRF, but the actual evaluations should not be included. This compromises a faculty member's right to privacy.

III. Previous Rank Folder

After a faculty member has received a promotion, FRF materials dated **prior** to the time of promotion are moved to the Previous Rank Folder. All materials subsequent to the time of promotion will be placed in the Current Rank Folder. When evaluating candidates for promotion, the PEC looks **only** at the Current Rank Folder, not Previous Rank Folders. You may place a summary of prior accomplishments in **Section 2 - Summary**.

IV. Access to the FRF

It is important to remember that there are specific time frames specified in the Agreement for accessing the FRF. Your file will "close" three days prior to the date set for your departmental evaluation and will remain closed until the review process has been completed by the Administration. You will be notified when your FRF will officially "close" by your Chair.

If you have items to place in your file that were not available at the time of the department evaluation, you may contact the chair of the PEC, who will determine if these constitute "extraordinary evidence" as indicated in the Agreement. Similarly, after the PEC evaluation has concluded, you may petition the VPAA to approve items for the FRF as "extraordinary evidence" if these were not previously available.

Note: Faculty being considered for reappointment and promotion in the same year should note that these evaluations are conducted separately. Thus, the FRF will "close" for the reappointment process and "open" again before the promotion evaluations begin. Consult your department chair and the Agreement for these dates. You will receive a letter about your reappointment long before the letter arrives with the results of your promotion request.

V. Promotions

Be sure to read this section of the Agreement carefully to determine the criteria for promotions. The prudent candidate should become familiar with Art. XII (Faculty Promotion) pages 23 - 31; Art. XIII (Professional Evaluation) pages 32 - 38; and Art. XIV. (Faculty Record File) pages 42 - 45. Further clarification and guidance may be obtained from your Department Chairperson.

If you have met the time in rank requirements, in order to apply for a promotion, you must notify the VPAA **in writing by September 20th** of the year prior to when your promotion will go into effect. Thus, if your promotion were to go into effect in September of 2004, you would have to have notified the VPAA by September 20, 2003. (This date of September 20th is based upon the current Agreement and is subject to change in future Agreements.)

At a later date, you will receive notification by the PEC indicating the time frame of your promotion review (See Figure 1, pg. 3).

Suggestion: Plan ahead for promotions by updating your FRF regularly. Sorting through years of old material stuffed in drawers is a time-consuming process.

VI. Appearances Before the PEC

You have the right to appear in person at a meeting of the PEC at the time of your evaluation, whether for reappointment and/or promotion. You will be notified of this date by the chair of the PEC. If you wish to appear, contact the chair through written notification (See Figure 1).

Acknowledgements

This FRF Handbook is a revision of the version designed by a subcommittee of the 1993/1994 Peer Evaluation Committee: Professors Richard Cohen, Pushpa Doshi, Josefina Mark, Lynn Meng, and Carl Cuttita.

The 2002/2003 Peer Evaluation Committee decided that it was time to put the manual on line. In addition, copies are available at the libraries on each campus. The 2002/2003 PEC members consisted of Professors Liz Neblett (Chair), Bert Atsma, Susan Bissett, Alison Brown, Paola Salvini-Capasso, Litsa Georgiou, Mushtaq Khan, Bohdan Lukaschewsky, Robert St. Amand, Anthony Signorelli, and Wen Yao Zhang.

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