The University of Iowa Office of the Provost

HR Transactions - Faculty Review Form Instructions

This document provides instructions for using the HR Transaction System to record and upload review documents related to: 1) Probationary and Non-Tenure-Track Annual and Reappointment Reviews, and 2) Tenured Faculty Annual and Five-year Peer Reviews. Reviews of other faculty members (e.g., adjunct, fixed-term) should continue to be monitored within the colleges.

A) Getting Started: The Faculty Review Form is available in the online HR Transaction System.
   o Log in to Employee Self-Service using your Hawk ID and password. At the top of the page select the “Administration” tab.
   o Scroll down to “Systems” and select “HR Transaction System.”
   o Scroll down to “Faculty Review” and select “Faculty Review Form.”

B) Initiating a Faculty Review Form for a faculty member:
   o Once you have selected “Faculty Review Form,” enter the faculty member’s HR Employee ID, University ID or Name (in most cases it will be simplest to enter the name). This information will be used to auto-populate the faculty member’s Current Jobcode (FR, FS, FQ, or FT (>0%)) and determine the appropriate faculty review form.
   o Enter the Effective Date. This should be the date the review was completed; it will be used to auto-populate the Academic Year in which the review was conducted.
**C) Faculty Review Form Options:** The faculty member’s Current Jobcode will pull in the appropriate form type based on whether the faculty member is probationary, non-tenure-track, or tenured. Please note: an error message will appear if a faculty member’s appointment is different than an FR, FS, FQ, or FT (>0%) Jobcodes (e.g., FH, FA, FV, FM). These reviews will need to be monitored with a local system.

**D) Faculty Review Form:**
- **Date of Review:** Enter date review was completed. The Review Year field is auto-populated based on information given on the initial screen.
- **Confirm HRIS Information:** The faculty reviewee’s General Information (Name/Employee ID), Org/Department (Primary/Secondary appointments), and Job/Position Information will auto-populate. Please confirm its accuracy.

![Transaction System](image)

**E) Probationary and Non-Tenure-Track Annual and Reappointment Reviews:** For FR, FS, FQ Jobcodes, the “Probationary and Non-Tenure-Track Review Form” will appear on the next screen for Annual or Reappointment Reviews. To enter information about a probationary or non-tenure-track faculty review, follow these steps:
- Select if the review was **Conducted** or **Exempt**.
- If **exempt**, specify reason from a drop-down list of specified exemptions (e.g., Promotion Review, Within One Year of Announced Retirement, Leave of Absence, Resigned/Terminated, Other). If “Other” is selected a note must be entered in the “Remarks” section of the Faculty Review workflow form. Data entered into these fields will be transferred to the Provost Office’s Faculty Status File in order to establish the due date of the faculty member’s next review.
Next select Yes or No for Terminal Appointment.

Press Finalize. Please note that attachments can be uploaded on an upcoming screen.

**F) Tenured Faculty Reviews:** For the FT Jobcode, the “Tenured Faculty Review Form” will appear on the next screen and can be used for either an Annual or Five-year Peer Review. To enter information about a tenured faculty review, follow these steps:
- Select either Annual Review or Five-Year Peer Review.
- Next select if the review was Conducted or Exempt.
- If exempt, specify reason from a drop-down list of policy-specified exemptions (e.g., Administrative Deferral, Promotion Review, Phased Retirement, Within One Year of Announced Retirement, Leave of Absence). Data entered into these fields will be transferred to the Provost Office’s Faculty Status File in order to establish the due date of the faculty member’s next review.
- If **conducted**, please select name of **UI employee** who either conducted the Annual Review (i.e., DEO or equivalent) or the name of the Chair of the Five-year Peer Review Committee.

![Image of UI interface for selecting Annual Review or Five-year Peer Review](image)

- Press **Finalize.** Please note that attachments can be uploaded on an upcoming screen.

**G) Initiate Workflow Process**

- Select the appropriate workflow path from the options given. The workflow path for tenured faculty reviews is the same as for probationary and non-tenure-track faculty reviews, **except tenured faculty reviews do not require Provost Office approval unless determined by the Dean’s level to require Provost Office review.** If Provost Office review is required, the Dean’s level approver should ad hoc the form to Diane Finnerty (diane-finnerty@uiowa.edu).

- Select **“Continue.”** Attachments can be added on the next screen, before sending it on to the faculty reviewee for approval.

- Please note: the Faculty Reviewee must approve the form after initiated. The faculty member’s “approval” does not imply agreement with the outcome of the review.
**H) Workflow Routing:**

- Before sending on to the next approval level, which in most cases will be the faculty member being reviewed, the Initiator must ensure the review record is complete by adding **attachments before sending it on**. Once you press **Continue** on this screen, the form will go on to the next level.

- **Attach Documents:** Review documents may be uploaded on this screen, by clicking on the “Attach Documents” link. See your collegiate guidelines for required attachments. All approvers on the workflow path may upload attachments, but they cannot make revisions to existing ones. The Initiator will receive an email alert that a document has been uploaded and available to be reviewed for appropriateness. Recommended attachments include:
  - **CV** *(e.g., CV used to conduct review),*
  - **Evaluation Documents** *(e.g., Review Summary), and*
  - **Correspondence** *(e.g., DEO letter, Faculty/Reviewee Response).*

  *will auto-upload to ePersonnel file upon finalization of the transaction.*
I) **Completion Timeline:** Colleges will conduct faculty reviews according to their internal timelines. All probationary and non-tenure-track faculty reviews must be received in the Office of the Provost by April 15th of each year, and tenured faculty reviews must be finalized in UI Workflow by June 30th of each year. To ensure that tenured faculty members with academic year appointments are able to view/approve their review documents while on campus, workflow forms should be initiated no later than mid-April, unless otherwise noted in departmental procedures.

*Please note:* If a workflow form is left unapproved by the faculty member for longer than ten days, an automated message will be sent on Friday evenings to the person who has not yet approved the form. If, after 14 days, a form has not been approved by the reviewee, the department may contact their faculty HR Rep to discuss options. If it is determined that the workflow path should be overrode and the form is returned to the previous level without the faculty member’s electronic signature, all documents should be forwarded to the faculty reviewee’s email address as attachments and personal confirmation should be documented that the email was received. *A note to this effect should be made in the “Remarks” section of a Faculty Review workflow form that is returned to the previous level (e.g., “Form moved on from reviewee after [____] days of inaction. All review documents sent to reviewee via email by [name]”).*

J) **Monitoring Compliance:** Online “Faculty Review Compliance Reports” through the HR Transaction System to allow departments and colleges to monitor review completion through the following reports available through UI Self-Service:

**Tenured Faculty Review Reports**
- Review Completed for Individual Faculty Member (Five Year),
- Review Completed for Individual Faculty Member (Annual),
- Review Compliance Report by Org/Department, and
- Next Five-Year Tenured Faculty Review Due by Org/Department.

**Probationary and Non-Tenure-Track Review Reports**
- Review Completed for Individual Faculty Member, and
- Review Compliance Report by Org/Department.

The Office of the Provost will also use the reports to monitor the completion of all faculty reviews, including tenured faculty reviews.

K) **Faculty Status File:** If a faculty member’s record is inaccurate (e.g., shows that someone is due for a five-year review at a time that is different than collegiate records), please contact Debbie Millsap (deborah-millsap@uiowa.edu) in the Office of the Provost to confirm and/or update the Faculty Status File.

*For more information* about the Faculty Review Form or process, please contact Debbie Millsap, Office of the Provost via email: deborah-millsap@uiowa.edu or phone: 319.335.1187
The following is a screenshot of the full Probationary and Non-Tenure-Track Review Form for reference:

![Probationary and Non-Tenure-Track Review Form](image-url)
The following is a screenshot of the full Tenured Faculty Review Form for reference: