

# Office of the Provost

## Faculty Review Application Guidelines

This document provides instructions for using the Faculty Review Application for:

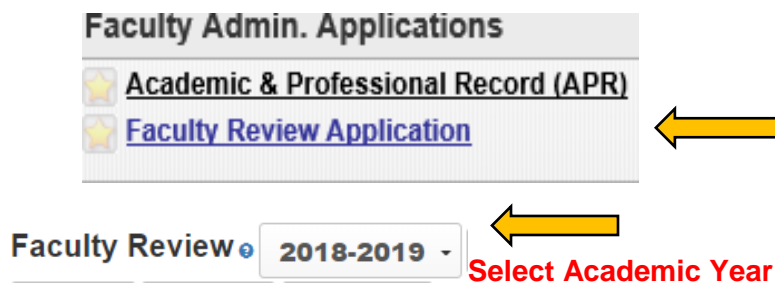
- Probationary and Non-Tenure-Track Annual and Reappointment Reviews, and
- Tenured Faculty Annual and Five-year Peer Reviews.

*Reviews of other faculty members (e.g., adjunct, fixed-term) should continue to be monitored within the colleges.*

### Getting Started:

#### Log into Self Service:

- Click on the “**Administration**” tab, and
- Click on the “**Faculty Review Application**” tab.



### Definition of Filters and Column Headers:

College Department

Job Code Appt. Type Review Type Secondary Appts. Only Secondary Include Unpaid Show Differences New Comment Terminal? Exemption Workflow Status Name or Employee Id Search Clear Filters

- **College:** College Name.
- **Department:** Options to display by department, departments or all.
- **Job Code:** (FT, FS, FN, FB, FQ or FR) > than 0%. Those required a review (annual tenured, 5-year peer, annual probationary or non-tenure track).
- **Appt. Type:** Tenured, Tenure-, Clinical-, Research-, and Instructional-track.
- **Review Type:** 5-year Peer Review, Annual, Reappointment, Promotion & Tenure, and No Review Due.
- **Secondary Appts.:** The default includes secondary, tertiary etc. appointments. Unclick this filter if you chose not to view these appointment types.
- **Only Secondary:** Displays secondary appointments only.
- **Include Unpaid:** Displays all unpaid faculty appointments.
- **Show Differences:** Displays differences (only for collegiate Faculty HR Reps with exception of the Carver College of Medicine). Office of the Provost staff will review these differences and will correct the faculty member’s record, if necessary.

- **New Comment:** Add a new comment.
- **Terminal?** Displays terminal appointments.
- **Exemptions:** **If exempt, no review is required. Select the reason from the drop down box, which will display in the dashboard.**

- ✓ Administrative Deferral
- ✓ Promotion Review
- ✓ Phased Retirement
- ✓ Within 1 Year of Retirement
- ✓ Leave of Absence
- ✓ Resigned/Terminated
- ✓ Discretionary as Approved by the Provost Office (requires Provost Office approval in writing)
- ✓ **CCOM** included in 5 Year Peer (based on collegiate procedures)
- ✓ **TCOB** included in 5 Year Peer Review (based on collegiate procedures)
- ✓ **CPUB** included in 5 Year Peer Review (based on collegiate procedures)

- **Name or Employee ID#:** Displays faculty members name or ID#.

**Note:** Each time you change a field or fields to display you must then click on the “search” button.






- **Clear Filters:** Select  to clear display.

## Dashboard:

Name :	Emplid :	Org-Dept :	Primary Dept. :	Appt. % :	Appt. # :	Job Code :	Title :	Appt. Type :	Review Year :	Prob. Dec. Year :	Curr. End Date :	Type :	C Rev. Type :	Exempt :	Comments :	Workflow Status :
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- **Name:** Faculty member’s name.
- **EmpID:** Employee I.D.
- **Org-Dept.:** Org and Department.
- **Primary Dept:** Faculty member’s primary department.
- **Appt%:** Percent effort.
- **Appt #:** Number of current appointments the faculty member holds. With the mouse hover over the number. This will display all current paid and unpaid appointments.
- **Job Code:** Rank and Status the faculty member holds.
- **Title:** Current title.
- **Appt. Type:** Tenured, Tenure-, Clinical, Research-, or Instructional-Track.
- **Review Year:** Academic year.
- **Prob. Dec. Year:** Academic year the probationary faculty member is up for promotion.
- **Current End Date:** Date in which the faculty member appointment ends. Only for probationary Tenure-, Clinical-, Research-, and Instructional-Track faculty.

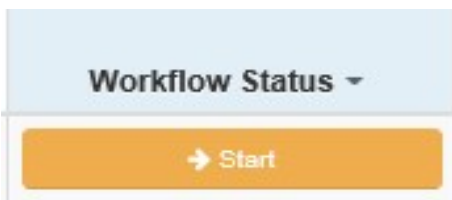
- **Type:** Annual, Reappointment, 5-Year Peer, or Promotion and Tenure.
- **C Rev. Type:** Review due based on collegiate data. Only collegiate Faculty HR Reps. have the option to view/edit this field with the exception of the Carver College of Medicine. **Note: To indicate that a faculty member is being reviewed for promotion, please change the “C. Rev Type” field to “Promotion and Tenure.” If you are changing this for an Annual Review, the Provost Office will add a new row to reflect the “Promotion Review.”**
- **Exempt:** If an exemption is selected, you will not see the “Start Review” button.
- **Comments:** This field allows you to type in comment. Click on the blue box  to add a comment. To save a comment, click on the green box . To remove or delete a comment click on the red box .
- **Details:** Displays data from Faculty Status. Only collegiate Faculty HR Reps. have the option to edit this field with the exception of the Carver College of Medicine.
- **Workflow Status:**

Key: Not Initiated Routing Completed Will Not Complete

- **Will Not Complete Review** – select this option if the review will not be completed.

### Start Review Form:

- **Workflow Status:** Click the “Start Review” to begin the workflow process. Once initiated, this column will display “Routing” or “Completed.”



“Start” will not be displayed for “no review due,” “exemptions,” or if the review “Type” conflicts with the “C Review Type.”

Note: Once you start a review, you can save it as a draft and complete it later.

### Annual Review – Probationary and Non-Tenure Track Faculty Review

Faculty Name / Employee #	<input type="text"/>	Title / Job Code	Clinical Professor / FQ11
Appointments	%	Department	Ind.
	100	11-1240 Clas-Music	P
Review Year	16-17	Review Type	Annual
Review Conducted *	02/01/2017	<input type="checkbox"/> Terminal	<b>Annual Required</b>
New Faculty End Date *	02/06/2017		
Remarks	<b>Remarks added should be applicable to the current review year.</b>		
Attachments	Upload an attachment by clicking one of the following types: <a href="#">CV</a> <a href="#">Evaluation Documents</a> <a href="#">Correspondence</a>		
* Fields are required before you can initiate workflow.			
			<a href="#">Start Workflow</a>
			<a href="#">Cancel</a>

**Note: the Faculty Reviewee must approved the form after initiated. The faculty member's "Approval" does not imply agreement with the outcome of the review.**

## Reappointment Probationary and Non-Tenure Track

### Reappointment

Reappointment 16-17

Faculty Name / Employee # [ ] / 100 Title / Job Code Clinical Professor / FQ11

Appointments	%	Department	Ind.
	100	11-1240 Clas-Music	P

Review Year 16-17 Review Type Reappointment Review Department 11-1240

Review Conducted \* 02/01/2017  Terminal Year?

New Faculty End Date \* 02/06/2017

Remarks **Remarks added should be applicable to the current review year.**

Attachments Upload an attachment by clicking one of the following types: CV Evaluation Documents Correspondence

\* Fields are required before you can initiate workflow. Start Workflow

Cancel

## 5 Year Peer Tenured Faculty Review

### 5 yr. Peer Review

Faculty Name / Employee # [ ] Title / Job Code Professor / FT11

Appointments	%	Department	Ind.
	100	17-3215 Academic Medicine	P
	0	[ ]	S

Review Year 16-17 Review Type 5 Year Peer Review Review Department 17-3215

Review Conducted \* 02/08/2017

Review Conducted By [ ]

Remarks **Remarks added should be applicable to the current review year.**


Attachments Upload an attachment by clicking one of the following types: CV Evaluation Documents Correspondence

\* Fields are required before you can initiate workflow. Start Workflow

Cancel

**Comments:** add comments in this section.

Workflow History & Options Workflow ID #10513073

Workflow Routing Comments 0  Attachments 0 Package Details

### Workflow Routing History

Stop #:	Status	Name	Context & Rights	Action Date
--	Initiated			Initiated on 01/10/2017 12:55 AM
1	In Inbox ■ Signature Required		Faculty Approval ■ Signature Required	--

^ Hide Routing, Comments & Attachments

**If you make a change to the workflow form while routing, you can notify others on the workflow path of your change by clicking on the Comments link.**

## **Terminal Year:**

For Faculty members who are receiving a one-year terminal appointment, the collegiate dean must provide each faculty member a written notice of intent to terminate no later than one year prior to the termination date. Such written notice must be given prior to the Deadline for Notice and Non-renewal. See “Notice of Nonrenewal” in section III 12.2 of the [Operations Manual](#). The transaction form does not constitute notice of non-renewal.

## **Attachments:**

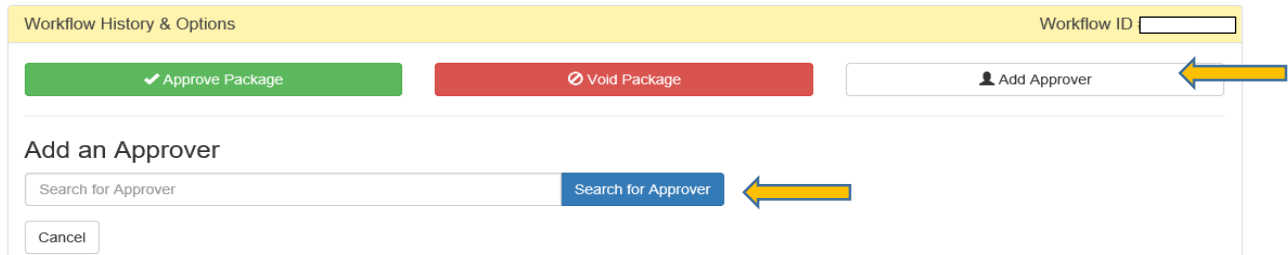
- Individuals on the workflow path can add or change attachments (faculty can only add attachments).
- e-Personnel File: Documents that will auto-upload to the faculty member’s e-Personnel: CV and Evaluation Documents.
- For additional information about this process, please see: “Attachment Requirements for Faculty HR Forms”: <http://provost.uiowa.edu/attachment-requirements-faculty-hr-forms>

## **Workflow Path:**

- Select the appropriate path from the options given. The 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 Angie Johnson ([angelique-johnson@uiowa.edu](mailto:angelique-johnson@uiowa.edu)).

## Returning, Adding an Approver or Voiding:

- If you need to return, add an approver, or void a form, these options are displayed at the bottom of the form.



The screenshot shows a yellow header bar with 'Workflow History & Options' on the left and 'Workflow ID' with a text input field on the right. Below the header are three buttons: a green 'Approve Package' button with a checkmark, a red 'Void Package' button with a trash icon, and a white 'Add Approver' button with a person icon. A yellow arrow points to the 'Add Approver' button. Below these buttons is a white box titled 'Add an Approver'. Inside this box is a search input field with the placeholder text 'Search for Approver', a blue 'Search for Approver' button, and a 'Cancel' button. A yellow arrow points to the 'Search for Approver' button.

- **Workflow Routing History:**

Routing History allows you to view where the form is in workflow. Includes:

Workflow Routing History

[View Summary Routing](#)

**Note: If a form needs to be changed once it has been finalized in workflow, contact Debbie Millsap at [deborah-millsap@uiowa.edu](mailto:deborah-millsap@uiowa.edu) or call 335-1187.**

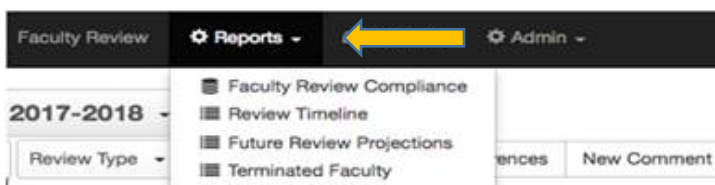
- If the review form is unapproved by the faculty member for longer than 7 days, an automated message will be sent. If, after 14 days, the reviewee has not approved a form, the department may contact their Faculty HR Rep to discuss options. If it is determined that the workflow path should be overrode 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 the 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]”).

## Monitoring Compliance:

- To run customized compliance reports, you can click on the drop down box to filter workflow forms that are “Not Initiated,” “Routing,” or “Completed.”

## Reports:

- The reports listed below provide you with review compliance, review timeline, review projections and terminated faculty. **Note: You have the option to download reports to Excel.**



The screenshot shows a dark navigation bar with 'Faculty Review', 'Reports', and 'Admin' menus. The 'Reports' menu is open, showing a list of report options: 'Faculty Review Compliance', 'Review Timeline', 'Future Review Projections', and 'Terminated Faculty'. A yellow arrow points to the 'Reports' menu. Below the navigation bar, there is a '2017-2018' dropdown menu and a 'Review Type' dropdown menu. To the right of the 'Review Type' menu are buttons for 'References' and 'New Comment'.

## Completion Timeline:

### **Probationary and Non-Tenure Track Faculty Reviews:**

- Deadline: A completed Faculty Review workflow form must be received in the Office of the Provost by **April 15<sup>th</sup>** of each year.

### **Tenured – Annual and Five-Year Peer Reviews:**

- Deadline: All tenured faculty reviews must be completed and processed through the workflow system by **June 30<sup>th</sup>** of each year. Faculty Review workflow forms must be completed for each scheduled review – whether or not the review was conducted.
- **Faculty Status Report:** The Faculty Status [Report](#), from which the review list is drawn, is available electronically (see: [Faculty Status Report](#)). Deans, DEOs, and most collegiate administrators have access to this report using their Hawk ID and password. Access for other individuals may be requested by contacting Kris Yows, Office of the Provost, at [kristina-yows@uiowa.edu](mailto:kristina-yows@uiowa.edu).

## Related Policy:

- ✓ III-10.1 Tenure and Non-Tenure Appointments policy: <https://opsmanual.uiowa.edu/human-resources/faculty/tenure-and-non-tenure-appointments>
- ✓ III-10.7 Review of Tenured Faculty members: <https://opsmanual.uiowa.edu/human-resources/faculty/review-tenured-faculty-members>
- ✓ III-10.9 Clinical Track Policy: <https://opsmanual.uiowa.edu/human-resources/faculty/clinical-track-policy>
- ✓ III-10.10 Research Track Policy: <https://opsmanual.uiowa.edu/human-resources/faculty/research-track-policy>
- ✓ III-10.11 Instructional Track Policy: <https://opsmanual.uiowa.edu/human-resources/faculty/instructional-faculty-policy>

## Important Facts:

- ✓ If you can view the review form, you can edit the form at any time.
- ✓ If you attached a document after the form has been initiated, the faculty member will receive notification.
- ✓ If you add a comment, those on the workflow path will receive notification.

Thank you for your efforts to ensure the effective and efficient review of the faculty. Please contact Angelique Johnson ([angelique-johnson@uiowa.edu](mailto:angelique-johnson@uiowa.edu)) or Debbie Millsap ([deborah-millsap@uiowa.edu](mailto:deborah-millsap@uiowa.edu)) in the Office of the Provost with any additional questions.