UI FACULTY-STAFF HANDBOOK
CHAPTER THREE:
EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

ANNUAL PERFORMANCE EVALUATIONS AND SALARY DETERMINATION
OF FACULTY MEMBERS

PREAMBLE: This section contains those policies and their attendant procedures for those periodic reviews of performance that affect faculty members and academic administrators. Policies concerning performance evaluation were part of the original 1979 Handbook, but were completely rewritten in July 2002 and further refined in 2003. In July 2007 Form 1 underwent substantial revisions to address enforcement and accountability issues in the UI promotion and tenure process as well as align the form with the Strategic Action Plan. In January 2008 Form 1 was again revised to include a Disclosure of Conflicts statement to comply with FSH 6240. In 2009 this section was again revised to reflect recent changes to the faculty position description and evaluation forms to better integrate faculty interdisciplinary activities. In July 2010 Form 1 was again revised to reflect recent changes to the faculty position description and evaluation forms to better integrate faculty interdisciplinary activities. In July 2014 changes were incorporated to ensure all faculty go through a review by their peers. In January 2017 a temporary fix to this policy was put in place to allow for a pilot narrative evaluation process for 2016 and ensure that existing policy would apply. Further information may be obtained from the Provost’s Office (208-885-6448. [ed. 7-03, rev. 7-07, 1-08, 7-09, 7-10, 7-14, 1-17]

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A. ANNUAL PERFORMANCE EVALUATION AND SALARY DETERMINATION FOR FACULTY MEMBERS.

A-1. PERFORMANCE EVALUATION. Annual evaluation of the performance of each member of the faculty is primarily the responsibility of the faculty member and his-unit administrator. Each unit will develop criteria in its bylaws for third-year and periodic reviews of its faculty (FSH 1520 II Section 1). The committee for all reviews will be defined in unit bylaws and will include tenure-track faculty (see FSH 3560 E-2 c). The materials listed in FSH 3560 E-2 a and b are critical and used by review committees when considering progress towards promotion (FSH 3560) and/or tenure (FSH 3520). The provost is responsible for preparing supplementary instructions each year, including the schedule for completion of the annual performance evaluation process. Personnel on international assignment see FSH 3380 C. [rev. 7-03, 7-07, 1-14, ed. 7-10, 1-17]

a. Forms Distributed. The Annual Performance Evaluation Form is available below. The form may not be altered without following the appropriate governance process (see FSH 1460). The unit administrator immediate administrative officer is responsible for ensuring that each faculty member uses the proper form together with a copy of the supplementary instructions as provided by the Provost Office. [rev. 7-01, 1-17]

Approach during Pilot Study: While the pilot narrative Annual Performance Evaluation form is being used, the specific references to performance and ratings found in this section are not in effect. Checking the “not meeting expectations box” on the pilot form triggers section B-1 for non-tenured faculty and section C for tenured faculty. The evaluator must document the areas of concern that warrant checking the “not meeting expectations” box in the narrative review. If there are areas of concern that warrant attention, but do not rise to the level of “not meeting expectations” these too should be documented in the written narrative. [add. 1-17]
b. Performance expectations levels for each criterion are described below. The narrative in the evaluation form shall provide evidence to support the evaluation as follows: [ed. 7-10]

   i. Exceptional—Performance that Meets or Exceeds Expectations (5) is at least satisfactory extraordinary performance during the review period of a faculty member well beyond that required relative to the position description.

   ii. Performance that does not Meet Above Expectations (4) denotes represents performance during the review period that is less better than expected of a faculty member relative to the position description and means improvement is necessary. An evaluation of not meeting expectations in one or more responsibility areas triggers procedures outlined in FSH 3320 B below. [ed. 7-09, 7-10]

   iii. Meets Expectations (3) is the performance expected of a faculty member relative to the position description.

   iv. Below Expectations (2) denotes performance that is less than expected of a faculty member relative to the position description and means improvement is necessary. A rating of below expectations in one or more criteria triggers procedures outlined in FSH 3320 B or C. [rev. 7-09, 7-10]

   v. Unacceptable Performance (1) is performance that is not acceptable relative to the position description and/or is inconsistent with the conditions for continued employment with the institution. Failure to meet these standards in any of the following ways will result in a rating of unacceptable performance [rev. 7-09]:

      a) received a “1” rating the previous period but did not make the improvements required;

      b) consistently violated one or more of the institution’s standards for meeting the expectations of the position;

      c) violated one or more standards of conduct as specified in the Faculty-Staff Handbook.

   [rev. 7-09, ed. 7-10]

c. Annual Report of Efforts and Accomplishments by Faculty Member. Each faculty member shall provide his or her unit administrator with the following materials in preparation for use in the annual performance evaluation:

   1) Current Curriculum Vitae
   2) UI Faculty Position Description for Annual Performance Review
   3) Written detailed summary report of faculty activity for the period of the annual performance review that compares accomplishments to expectations in the Position Description for the review period under review. [rev. 7-09]

     This report may be in the form of a self-evaluation using the annual evaluation form included in this policy. [rev. 7-09]

   4) Other materials necessary to document efforts and accomplishments for the period under review. [add. 7-01, ed. 7-10]

   [ed. 7-09]

d. Evaluation of Faculty by Unit Administrators. Unit administrators evaluate their faculty members in their unit. The performance of each faculty member during the review period is judged on the basis of the position description(s) in effect during that period. In the case of a faculty member holding joint appointments and/or involved in interdisciplinary activities, as described in the position description, in two or more academic or administrative units, it is the responsibility of the administrator in the faculty member’s primary academic discipline to solicit and consider relevant information on job performance from other administrators with responsibility for the faculty member’s work. [See also 3080 E-3.] [rev. 7-09, ed. 7-10]

   Ratings are: Whether a faculty member’s performance meets expectations is determined by comparing the faculty member’s performance to the position description for the review period. The results of the student evaluation of teaching are carefully weighed and used as a factor in this evaluation. For each area of responsibility, the unit administrator shall describe the basis for her/his evaluation of assessing the faculty member’s performance. [rev. 7-09]. The ratings and narrative are entered as indicated on the form. The annual evaluation score for a faculty member in Form 1 relates to the faculty member’s performance evaluation.

   [rev. 7-09, ed. 7-10]
relative to his/her position description. The overall unit average is provided to the faculty member upon request so that each faculty member can gauge his/her performance relative to other faculty members within the unit. After the unit administrator has completed ratings and the narrative evaluations for all faculty for the review period, the unit administrator or she shall provide the following items to each reviewed individual as they become available: [rev. 7-03, 7-09]

1) a copy of the individual’s annual evaluation form and narrative [rev. 7-09]
2) if requested, comparative information to help assess performance evaluation and numerical ratings, including, but not limited too: [rev. 7-09]
   (a) Frequency distribution for overall ratings for the unit
   (b) Frequency distribution for overall ratings for the college [rev. 7-07, rev. and rev. 7-01]

The unit administrator shall also include comments and recommendations for the faculty member’s progress toward tenure, promotion or continued satisfactory performance in the appropriate place on the annual evaluation form.

e. Self-Evaluation and Conference. Each faculty member is given an opportunity to use the evaluation form (FSH 3320 Form 1) to make an evaluation of his or her own performance. It is strongly recommended that the unit administrator meet with each faculty member. The unit administrator shall provide each faculty member with the opportunity to meet to discuss the unit administrator’s evaluation. (Suitable alternate arrangements shall be made for off-campus personnel.) The purpose of this meeting is to review and discuss the administrator’s evaluation and the faculty member’s detailed report of activities, self-evaluation, if any. The unit administrator should explain the basis of the ratings and narrative providing a formative assessment on progress towards tenure, promotion, and/or continued satisfactory performance related to the faculty member’s performance during the year and any revisions in professional goals and objectives for the coming year. The faculty member and the unit administrator should work to identify strategies to help the faculty member improve performance. The ratings narrative evaluation may be modified as a result of the discussion. At the conclusion of the review process, each faculty member shall sign the evaluation form indicating that she/he has had the opportunity to read the evaluation report and to discuss it with the unit administrator. If the faculty member wishes to respond to the contents of the review, he/she shall be permitted to append a report response to the unit administrator’s evaluation, detailing the nature of the dissent. A copy of the administrator’s final evaluation shall be given to the faculty member. [ren. and rev. 7-01, rev. 7-09, ed. 7-10]

f. College-Level Action. Copies of the performance evaluation materials forwarded by the unit administrator to the appropriate dean(s), for evaluation at the college(s) level, shall include: [rev. 7-09]

1) the narrative evaluation form with the complete narrative and the including comments and recommendations on progress towards tenure, promotion, and/or continued satisfactory performance, and [rev. 7-09]
2) any evaluative comments provided by interdisciplinary/center administrators or from those administrators of faculty holding joint appointments provided pursuant to subsection A-1. d., above, and [rev. 7-09]

h. If the unit administrator fails to include the required narrative and comments regarding whether the faculty member met expectations and comments/recommendations on the faculty member’s progress toward tenure, promotion or continued satisfactory performance, evaluation and evaluative comments, the college shall return the materials to the unit administrator. [add. 7-09, rev. 7-10]

h. If the faculty member has attached a report response to the evaluation file a dissent from the unit administrator’s evaluation, the unit report response shall be provided a copy to the dean with the annual evaluation form. The dean shall arrange a meeting with the unit administrator and the faculty member to attempt to resolve the relevant issues. The dean enters an evaluation in the space provided on the evaluation form. A copy of that form is given to the faculty member and the original is forwarded to the Provost’s Office for permanent filing (see FSH 1470 and APM 65.02). A copy of the evaluation form is retained in the college.
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office. If the dean concurs with the overall evaluation and rating of the faculty member by the unit
administrator, no additional signature is required from the faculty member.  [Rev. 7-09, 7-10]

1. If there are any differences in any rating between the unit administrator and college dean disagrees with the
unit administrator’s evaluation, the dean shall attach a narrative stating the reasons for the disagreements.
A copy of the dean’s narrative shall be provided to the faculty member. The faculty member may
respond to the dean’s evaluation before the evaluation is forwarded to the provost. The faculty member, unit
administrator, and dean are encouraged to resolve the disagreement before forwarding the evaluation to the
provost. If the matter remains unresolved at the college level, the provost shall be notified of the disagreement.

[Rev. and rev. 7-01, rev. 12-06, 7-09, 7-10]

A-2. Relationship to Promotion and Tenure Process. The faculty annual performance evaluation is an
administrative review. Annual evaluations are one component of the independent promotion and tenure process.
See FSH 3520 and FSH 3560 for details on the promotion and tenure process.

A-2. SALARY DETERMINATION. This process is carried out at the departmental and higher levels of
academic administration. [See FSH 3420.]

B. FACULTY PERFORMANCE THAT DOES NOT MEET BELOW EXPECTATIONS OF NON-
TENURED FACULTY MEMBERS. [Add. 7-10]

B-1. If the unit administrator determines that a non-tenured faculty member is not meeting below
expectations, the unit administrator should consider the reasons for and explanations of the performance
variety of possible causes, other than inadequate effort on the faculty member’s part, that might be responsible for the
performance. (See FSH 3190) [Ed. 7-09, Rev. 7-10]

The unit administrator, in consultation with the faculty member, should address the possible causes of the problem,
should suggest appropriate resources and encourage the employee to seek such help. Faculty members and unit
administrators may obtain referral information and advice from the University Ombuds, and Human Resources, or
the Provost’s Office. [Ed. 12-06, 7-09, 7-14, Rev. 7-16]

C-1B-2. ANNUAL ASSESSMENT OF BELOW EXPECTATIONS PROVOST INVOLVEMENT. In the
event of an overall evaluation of “does not meet expectations” where the faculty member’s performance is so far
below expectations that it is not acceptable in relation to the position description, [See 4-1, the provost may in
consultation with the dean and unit administrator, determine that further review of the faculty member’s
performance is required pursuant to. This review will be conducted in accordance with the procedures prescribed
in FSH 3320 B-5 below C-2, [Rev. and Ed. 7-09, Rev. 7-16]

B-32. FIRST ANNUAL OCCURRENCE.
Section 3320: Annual Performance Evaluations and Salary Determination of Faculty Members
and Performance Evaluation of Academic Administrators

**A. Performance Below Expectations**

In the event that a non-tenured faculty member receives an annual evaluation concluding that he or she has performed below expectations overall or within one or more areas of responsibility, the unit administrator shall, at the same time he or she delivers the performance evaluation, offer to meet with the faculty member to identify the reasons for the performance below expectations. At this meeting, the faculty member and the unit administrator shall review the faculty member’s current Position Description and examine strategies that would permit the faculty member to improve his or her performance. A mentoring committee shall be formed upon the request of either the faculty member or the unit administrator. The committee shall be composed of two or more faculty members agreed upon by the unit administrator and faculty member. (rev. 7-09, 7-10)

In the event that a non-tenured faculty member receives an annual evaluation concluding that he or she has performed below expectations (2 or below) in the overall score, the unit administrator will, at the same time he or she delivers the performance evaluation, offer to meet with the faculty member to identify the reasons for evaluating the performance as below expectations. At this meeting, the unit administrator will appoint a mentoring committee by selecting three individuals from a list of five faculty members nominated by the faculty member, or if the faculty member makes no nominations, will appoint three faculty members of his or her choosing. The mentoring committee’s purpose is to help the faculty member improve performance. The members of the committee need not be drawn from the same unit as the faculty member. The faculty member or unit administrator may request that the University Ombuds attend meetings of the mentoring committee and faculty member. (ed. 12-06, rev. 7-09, 7-10)

In the event of two consecutive annual evaluations within three years concluding that the non-tenured faculty member has not met expectations overall or within one or more areas of responsibility (2 or lower), the unit administrator shall, at the same time he or she delivers the performance evaluation, arrange a meeting of the faculty member, the unit administrator and, in the unit administrator’s discretion, the college dean. The faculty member or the unit administrator may request that the University Ombuds attend the meeting. (ed. 12-06, rev. 7-10)

The intent of the meeting is to review:

- the current position description and revise it if necessary to address the issues identified during the discussion. (ed. 7-09)
- the strategies implemented in the previous year(s) and to identify why the strategies did not result in the faculty member meeting expectations. The parties should re-examine strategies that would support improved performance by permit the faculty member to improve his or her performance. (ed. 7-09)

**C. Performance Below Expectations of Tenured Faculty Members.** Tenured faculty will follow the same process as described in B-1 through B-3 above. In addition, to identify and address specific problems early on, a tenured faculty member may be subject to a review as described in C-1 and C-2 below. The purpose of C-1 and C-2 is to assist the faculty member with getting back on track. (add. 7-16)

**C-1. Annual Assessment of Below Expectations.** In the event of an overall score of 1, the provost may determine that further review of the faculty member’s performance is required. This review will be conducted in accordance with the procedures prescribed in 3320 C-2, (ren. and ed. 7-09, rev. 7-16)

**C-2. Three Occurrences Within Five Consecutive Annual Evaluations of Below Expectations.** In the event of three consecutive annual evaluations of “does not meet below expectations” overall or within a five-year period, either overall or within one or more areas of responsibility, or a pattern of below expectations evaluations over five years (a summary score of 2 or lower), the dean shall initiate a formal peer review. (rev. 7-09, ren. 7-10)

- Composition of the Review Committee. The Review Committee shall consist of at least four (4) members, appointed as follows:
(1) The faculty member may submit to the unit administrator a list of the names of three faculty members from within the unit and at least one tenured faculty member from outside of the unit. If the faculty member is tenured or on the tenure track, faculty on the committee should be tenured faculty unless no tenured faculty are available. The unit administrator shall appoint the committee, including at least two names from the faculty member’s list, and submit a similar list to the faculty member. From the list given to the faculty member, he/she shall select one person from inside of the unit and one from outside the unit. From the list given to the unit administrator, he/she shall select one person from inside of the unit and one from outside the unit.

(2) The committee members shall select as chair another faculty member from within the unit.

(3) The Ombuds or his/her designee shall be an ex-officio member of the committee.

b. Report and Timing of the Review. The committee report includes the review and possible recommendation(s), and shall be completed within sixty days of the annual evaluation.

c. The Review. The purpose of the review is to assess the level of performance of the faculty member, and the unit administrator’s evaluation of that performance. To that end, the committee shall assess the reasonableness of the previous evaluations, and the appropriateness of the development plans, as well as any material submitted by strategies put in place to assist the faculty member and the unit.

The faculty member and chair the unit administrator shall provide the following materials for the review period under review to the committee:
1) Updated Curriculum Vitae of the faculty member,
2) Position Descriptions, for the past four years,
3) Annual evaluation materials submitted by the faculty member, for the past three years,
4) Annual Evaluations of the faculty member by the unit administrator and the Dean, for the past three years,
5) A summary of the strategies put in place to assist the faculty member,
6) A self-evaluation of teaching,
7) A self-assessment summary of each area of the faculty member’s responsibility and what the faculty member has learned and achieved during the review period under review, for the past four years, including contributions to the department, university, state, nation, and field (about 2 pages).

The faculty member may submit any additional information he or she desires, and the committee may request additional materials as it deems necessary.

d. Responses to Committee Report. The committee chair shall submit the report to the faculty member, unit administrator, chair, and dean. Each recipient shall have fifteen days from the date of the report to submit written responses to the review committee. The review committee chair shall send the report and all responses to the provost.

e. Provost. The Provost shall be responsible for determining the appropriate resolution, which may include:
1) Continuing the status quo;
2) Mentoring to address area(s) of concern;
3) Termination for cause;
4) Consideration of other recommended resolution(s). [1-4 add. 7-09]

B-6. Non-Tenured Faculty. Pursuant to Regent’s policy, non-tenured faculty do not have an expectation of contract renewal beyond that stated in FSH 3900 B, absent a specific written multi-year contract. The process set forth in FSH 3320 B does not require the University to renew a non-tenured faculty contract. The process set forth in FSH 3320 B shall not be required for a non-tenured faculty member who has been given notice of non-renewal.
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DC. PERFORMANCE EVALUATION OF ACADEMIC ADMINISTRATORS.--[ed. 7-09, ren. 7-10]

DC-1. EVALUATION BY FACULTY MEMBERS. Opportunity is provided for an annual performance evaluation of college deans, assistant and associate deans, and administrators of academic departments and other intracollege units by the faculty members of the respective units. The provost sends each faculty member an appropriate number of copies of the form, “Annual Faculty Evaluation of Academic Administrators” [form 2 appended to this section] to be used for evaluation of the unit or center administrator, one to be used for evaluation of the dean, and one to be used for evaluation of each assistant or associate dean in the college. [ren. & ed. 7-10, 10-10]

CD-2. EVALUATION OF UNIT AND CENTER ADMINISTRATORS AND ASSISTANT AND ASSOCIATE DEANS. The review and evaluation of unit and center administrators, and assistant and associate deans, require consideration of their responsibilities as faculty members and as administrators as defined by percentage allocations in the Annual Position Description. All administrators are entitled to a review and evaluation of their performance as faculty members. Further, all administrators are entitled to a review of their performance as administrators. (Forms to be used in the evaluation of administrators are found in Form 1 and 2. [rev. 7-99, ed. 3-07, rev. & ren. 7-10 (incorporated 1420 E-6 into this entire section CD-2 through DC-4)]

1. Evaluation as a Faculty Member.

a. Annual Evaluation. The annual evaluation of an administrator’s performance as a faculty member shall be conducted by the dean of the college in accordance with the provisions of FSH 3320 A above.

b. Third Year Review. If the administrator is untenured, there shall be a third-year review in accordance with the procedures outlined in FSH 3520 G-4.

2. Evaluation as an Administrator.

a. Annual Evaluation. The dean shall conduct an annual evaluation of each administrator’s performance in accordance with the responsibilities specified in FSH 1420 E-1 and in the Annual Position Description. The dean and administrator will negotiate the administrator’s Annual Position Description on the basis of the unit’s needs, and make it available to the faculty for annual evaluation purposes. The administrator will present his or her annual goals for the unit at the beginning of the review year and report on his/her effectiveness in meeting last year’s goals. Annual goals should be based on the unit action plan, needs of the unit, and discussion with the dean. The dean will make a conscientious effort to solicit input from unit faculty through evaluation form 2. [rev. 7-99, ed. 6-09, 10-10]

Unit faculty must send completed copies of form 2 directly to the dean. The dean furnishes the administrator a summary of the faculty evaluations in such a way that the confidentiality of individual evaluations is preserved. The dean may arrange a conference with the administrator to discuss the summary. After these steps have been completed, the dean shall destroy the individual faculty members’ evaluations and shall file the written summary in the dean’s office. The dean then submits a summary of conclusions and recommendations resulting from the review to the provost, who in turn makes his or her review and forwards recommendations to the president. The dean will then provide feedback to faculty who have submitted form 2, as appropriate. [ed. 10-10]

CD-3. EVALUATION OF DEANS. The provost shall conduct an annual evaluation of each dean's performance in accordance with the dean’s responsibilities specified in FSH 1420 D-2 and in the Annual Position Description. The provost and dean will negotiate the Annual Position Description for the dean on the basis of the college’s needs and make it available to the faculty for annual evaluation purposes. The dean will present his or her annual goals for the college at the beginning of the review year and report on his or her effectiveness in meeting last year’s goals. Annual goals should be based on the college’s action plan, needs of
the college, and discussion with the provost. The provost will make a conscientious effort to solicit input from
college faculty through evaluation form 2. [ed. 10-10]

College faculty will send completed copies of form 2 directly to the provost. The provost will summarize the
faculty responses and share that summary with the dean. In preparing and conveying that summary, the provost
has the responsibility to ensure that faculty comments are confidential. This includes, but is not limited to,
avoiding the use of any phrases that can identify the faculty member making the comments. The provost may
arrange a conference with the dean to discuss the summary. After these steps have been completed, the provost
shall destroy individual faculty members’ evaluations and file the written summary in the Office of Academic
Affairs. The provost must then submit a summary of conclusions and recommendations resulting from the
review to the president. The provost will then provide feedback to faculty who have submitted form 2, as
appropriate. [ed. 10-10]

CD-4. PERIODIC REVIEW OF ADMINISTRATORS. Each administrator is formally reviewed at least six
months before the end of each appointment term, or, if there is not a fixed appointment term, at least every five
years.——The Provost appoints an ad hoc review committee to include faculty, department chairs, and
experienced administrators of other units. The periodic review will be conducted at the request of the Provost
and Executive Vice President and in accordance with the mechanisms of formal review, which must provide for
the following:

1. Opportunity for the dean, center administrator, or unit administrator to prepare a report/portfolio
   summarizing his or her administrative achievements for the period, including annual reviews; [rev.
   and ren. 7-99]

2. Opportunity for all faculty and staff of the college/unit to participate in the review;

3. Solicitation of input by the committee from appropriate constituencies of the college/unit.
   Confidentiality of all individual evaluations will be ensured; [add. 7-99]

4. Preparation by the review committee of a written report summarizing the findings and
   recommendations of the review, which will be forwarded to the Provost and the dean/center or
   unit administrator; [ed. and ren. 7-99]

5. The provost will submit the written report along with any additional comments and
   recommendations to the president and provide appropriate feedback to the administrator. [rev. and
   ren. 7-99]

a. Additional Review. The provost and/or college dean may initiate a review at any time he or she
determines a review is needed.——The dean shall submit to the provost a summary of conclusions and
recommendations resulting from this additional review. If the review is conducted by the provost, he or she
shall submit a summary of conclusions and recommendations to the president.

The faculty of the unit may also initiate, by majority vote, a formal review (as outlined above) of the unit
administrator. The tenured faculty of a college may also initiate, by majority vote, a formal review (as
outlined above) of the college dean.
will be communicated to the persons evaluated after their recommendations on faculty salary, promotion, and tenure have been transmitted to the provost. [ren. & rev. 7-10]

(Forms on next few pages)

*NOTE: In October of 2010 it was determined that elimination of Form 2A was possible with minor edits to Form 1 (addition of reference FSH 1420 E to box 4). As such, Form 1 may be used in lieu of Form 2A by administrators, if desired. Given this change, form 2B becomes Form 2 (see the UI Policy website for redline versions or contact the Faculty Secretary's Office or Provost's Office for further clarification).