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8 **Document Key**

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11 **ARTICLE 19. CAREER FACULTY REVIEW AND PROMOTION**

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13 **Preamble.** Career appointments are either Career instructional or Career research for the
14 purposes of this Article.

15
16 Career instructional faculty are those with appointments in the Career classification in the
17 following categories: Instructor, Lecturer, Librarian, Clinical Professor (when an instructional
18 appointment), Professor of Practice, and Teaching Professor.

19
20 Career research faculty are those with appointments in the Career classification in the following
21 categories: Research Professor, Clinical Professor (when a research appointment), Research
22 Assistant, Research Associate, Research Scientist, Research Engineer, and Principal Research
23 Scientist.

24
25 **Career Faculty Review and Promotion**

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27 **Section 1.** Reviews for Career faculty will include reviews associated with performance,
28 promotion, and continuous employment. A performance review will not be required in the year a
29 bargaining unit faculty member has a promotion or continuous employment review.

30
31 **Section 2. Policies and Procedures.** Each department or unit that employs Career faculty will
32 maintain unit-level policies for Career faculty review and promotion in accordance with Article
33 4.

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36 **Career Faculty Performance Reviews**

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38 **Section 3. Performance Reviews.** Performance reviews for Career faculty are for the purpose of
39 determining if the faculty member is meeting the standard of excellence appropriate to a Career
40 instructional or Career research faculty member at an AAU institution based on their job duties.
41 Performance reviews should be designed to help Career faculty members grow as educators,
42 scholars, and researchers, as appropriate; identify areas of strength; and identify areas that need
43 improvement associated with their position. Career performance reviews should include a stage-
44 appropriate assessment of the likelihood of success in a subsequent promotion review.

45 Performance reviews also allow supervisors of Career faculty members with a position
46 description to collaborate on keeping the position description up to date as an accurate reflection
47 of the position. Performance reviews shall consider any lack of resources necessary to the

48 performance of professional responsibilities that were identified in previous workload
49 discussions (Article 17, Section 3). ~~account for any lack of support and services necessary to the~~
50 ~~performance of professional responsibilities. Bargaining unit faculty members who have not~~
51 ~~received from the University the material support and services to perform their professional~~
52 ~~responsibilities shall be held harmless for those particular professional responsibilities in~~
53 ~~performance review and promotion processes.~~

54
55 **Section 4. Performance Review Timing.**

- 56
- 57 a. Career instructional faculty will have a performance review each year for the first three
58 years of their employment and at least once every three years thereafter (academic years
59 for 9-month appointments and fiscal years for 12-month appointments). The three-year
60 schedule is reset after a successful promotion or continuous employment review.
 - 61
 - 62 b. Career research faculty will have a performance review annually, which will also serve as
63 the basis for distributions if a merit pool is agreed to in Article 26.
 - 64
 - 65 c. Performance reviews may take place out of cycle when a department or unit head has
66 identified or become aware of performance problems. The department or unit head shall
67 meet with the Career faculty member to discuss areas of concern and evaluate whether a
68 formal out-of-cycle performance review or performance improvement plan (Section 6.e)
69 is warranted. Nothing in this Article changes the process for addressing poor performance
70 for funding-contingent faculty set forth in Article 16, Section 18.
 - 71

72 **Section 5. Performance Review Period and Criteria.** Reviews will consider the Career
73 bargaining unit faculty member's performance since their last review. Career faculty members
74 will be evaluated only by the criteria approved and made available to them. If the criteria have
75 changed since their previous review, the faculty member must choose either the earlier or current
76 set of criteria.

77
78 **Section 6. Performance Review Process.**

- 79
- 80 a. As part of each performance review, a Career faculty member will have an opportunity to
81 submit a ~~brief~~ personal statement (~~no more than three pages~~) containing information
82 relevant to their performance of assigned duties and responsibilities.
 - 83
 - 84 b. The review process will include an opportunity for the Career faculty member to discuss
85 their efforts, performance, and goals or improvement opportunities with an appropriate
86 supervisor, department, or unit head at least once during each review period.
 - 87
 - 88 c. Performance reviews must include a determination ~~whether~~ the Career faculty member
89 meets, ~~exceeds~~ or does not meet expectations in each of their assigned duties. ~~as follows:~~
 - 90
 - 91 ~~i. When the review is used in conjunction with a salary determination (i.e., merit),~~
92 ~~the performance review must include a determination whether of if the Career~~
93 ~~faculty member meets, exceeds, or does not meet expectations in each of their~~

94 ~~assigned duties.~~

95
96 ~~ii.—When the review is not in conjunction with a salary determination, the~~
97 ~~performance review must include a determination whether of if the Career faculty~~
98 ~~member meets, exceeds, or does not meet expectations in each of their assigned~~
99 ~~duties. If any salary increases not contemplated at the time of the performance~~
100 ~~review require a differentiation between meets and exceeds expectations, the~~
101 ~~determination will default to exceeds expectations.~~

- 102
- 103 d. The supervisor, department, or unit head will summarize, in writing, any committee or
- 104 peer review along with their own assessment and will communicate the results of the
- 105 review and provide a copy of their summary in writing to the bargaining unit faculty
- 106 member. The faculty member will have 10 days from the date of the receipt of the report
- 107 to provide a response, which shall be appended to the completed performance review.
- 108
- 109 e. If the determination of the performance review is that the Career faculty member does not
- 110 meet expectations in one or more of their assigned duties, the supervisor, department, or
- 111 unit head will meet with the faculty member to discuss a performance improvement plan,
- 112 which will include written documentation of the areas for improvement, instructions to
- 113 meet expectations in those areas, a timeline to carry out those instructions, and an explicit
- 114 timeframe for assessing progress. The performance improvement plan will be signed by
- 115 the supervisor, faculty member, and vice president, vice provost, dean, or director.

116

117 If that follow-up progress assessment, which may be a performance review, determines

118 that the Career faculty member still does not meet expectations in one or more of the

119 assigned duties previously identified as areas of concern, that Career faculty member may

120 be subject to layoff (Article 16, Section 12.a.).

121

122 **Career Promotion Reviews**

123 **General Career Promotion Review Considerations**

124

125 **Section 7. Accelerated Review.** An accelerated promotion review may occur in particularly

126 meritorious cases as determined by the Office of the Provost in consultation with the appropriate

127 vice president, vice provost, dean, department or unit head, and the bargaining unit faculty

128 member.

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132 **Section 8. Credit for Prior Service.** ~~Bargaining unit faculty members reclassified from Pro Tem~~
133 ~~to Career positions may shall receive credit towards promotion when appropriate. to the same~~
134 ~~extent that they would have received credit had they been classified as Career faculty. for the~~
135 ~~number of years employed as Pro Tem faculty.~~ When a bargaining unit faculty member receives
136 credit for prior service is agreed upon, the terms of hire or reclassification will state the number
137 of years of credit granted for comparable work, specific review considerations, and the earliest
138 date for promotion eligibility. ~~Bargaining unit faculty members reclassified from Pro Tem to~~
139 ~~Career positions will receive credit towards promotion for the number of years employed as Pro~~

140 ~~Tenure~~ faculty-

141

142 **Section 9. Reapplication for Promotion.** An unsuccessful candidate for promotion may
143 continue employment at their current rank as long as eligible to do so under this Agreement.
144 Career faculty bargaining unit members who are denied promotion may reapply for promotion
145 after having been employed by the university for an additional three years or longer at an average
146 of 0.5 annualized FTE per year, accrued at no greater than three terms per academic year for
147 bargaining unit faculty on 9-month appointments, and at four terms per year for bargaining unit
148 faculty on 12-month appointments.

149

150 **Section 10. Appeal of Promotion Denial.** Faculty who are denied promotion may appeal the
151 decision through the procedures in Article 21, Tenure and Promotion Denial Appeal.

152

153 **Section 11. Withdrawal of Application.** A candidate may withdraw an application for
154 promotion in writing to the Provost and the dean at any time before the Provost's decision.

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157 **Career Instructional Promotion Reviews**

158

159 **Section 12. Eligibility for Promotion.** Career instructional faculty may elect to initiate the
160 promotion process when eligible to do so. Career faculty members will be eligible for promotion
161 after accumulating six years of employment less any credit for prior service granted (Section 8)
162 as a faculty member at or above an average of 0.5 annualized FTE over ~~the~~ six years, accrued at
163 no greater than three terms per academic year for bargaining unit faculty with 9-month
164 appointments, and at four terms per year for bargaining unit faculty with 12-month
165 appointments. The six years of employment do not have to be consecutive.

166

167 a. Career instructional faculty members who will have completed five years of employment
168 as a Career faculty member at or above 0.5 annualized FTE per year may initiate the
169 promotion process in the Spring term of the fifth year if they have an expected
170 appointment of 0.5 annualized FTE or greater for the sixth year.

171

172 b. Career instructional faculty members who have completed more than five years of
173 employment as a Career faculty member at or above 0.5 annualized FTE per year may
174 initiate the promotion process in the Spring term of any year.

175

176 c. Cases involving positions or terms of service below 0.5 FTE may be considered for
177 promotion by the Office of the Provost in accordance with the principles set forth in this
178 Article.

179

180 d. Career instructional faculty members who have achieved promotion must wait at least
181 ~~five~~ ~~six~~ years before initiating the promotion process again (for a promotion review in the
182 subsequent year), regardless of the number of accumulated years of employment.

183

184 **Section 13. Review Period and Election of Criteria.** The promotion review period for a Career
185 instructional bargaining unit faculty member will be the time in their current classification and

186 rank, with emphasis on the six most recent years.

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188 The bargaining unit faculty member will be reviewed for promotion relative to the criteria in
189 effect when the review period began. If the criteria have changed since their hire or previous
190 review, the faculty member must choose either the earlier or current set of criteria.

191

192 **Section 14. Initiating the Promotion Process.** Career instructional faculty wishing to be
193 considered for promotion should notify the appropriate department or unit head in the Spring
194 term prior to the year when promotion is sought, and must provide the following materials by
195 Fall of the review year:

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197 ● **Curriculum vitae:** A comprehensive and current curriculum vitae that includes the
198 bargaining unit faculty member's current teaching, professional development, research,
199 scholarly, and creative activities and accomplishments, including publications,
200 appointments, presentations, and similar activities and accomplishments as applicable.

201

202 ● **Personal statement:** A 2–6-page personal statement developed by the bargaining unit
203 faculty member evaluating their performance measured against the applicable criteria for
204 promotion. The personal statement should expressly address the subjects of teaching;
205 scholarship, research and creative activity, as applicable; and service contributions to the
206 academic department, center or institute, school or college, university, profession, and the
207 community. The statement should also include discussion of contributions to diversity,
208 equity, and inclusion.

209

210 ● **Teaching portfolio (if applicable):** Representative examples of course syllabi or
211 equivalent descriptions of course content and instructional expectations for courses taught
212 by the bargaining unit faculty member, examples of student work and exams, and similar
213 material; information from student experience surveys, which will be considered in light
214 of the response rate; information on the development of new courses and curriculum
215 development; information on contributions to university-wide teaching practices (if
216 applicable).

217

218 ● **Scholarship portfolio (if applicable):** A comprehensive portfolio of scholarship,
219 research, and creative activity; and appropriate evidence of national or international
220 recognition or impact.

221

222 ● **Service portfolio (if applicable):** Evidence of the bargaining unit faculty member's
223 service contributions to their academic department, center or institute, school or college,
224 university, profession, and the community, such as op ed pieces, white papers authored or
225 co-authored by the faculty member, commendations, awards, or letters of appreciation.
226 The service portfolio may also include a short narrative elaborating on the faculty
227 member's unique service experiences or obligations.

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229 ● **Professional development statement (if applicable):** A statement that provides a short
230 narrative elaborating on the professional development activities of the bargaining unit
231 faculty member related to their job duties.

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- **Professional activities portfolio (if applicable):** A comprehensive portfolio of professional or consulting activities related to their discipline.
- **Internal and/or external reviewers (if applicable):** A list of qualified internal and/or external reviewers provided by the bargaining unit faculty member.

Section 15. Waiver of Access to Materials. Bargaining unit faculty members may choose to waive in advance in writing their access to see any or all of the evaluative materials. Such waivers, however, shall not preclude the use of redacted versions of these documents in a denial review process. The redacted versions are intended to protect the identity of the reviewer. If redactions are insufficient to do so, the University may prepare a suitable summary. A waiver will be included in the promotion file.

Section 16. Notice of Meetings. A bargaining unit faculty member will receive at least three business days’ notice of any meeting or hearing which the member is invited or required to attend, with a dean, vice provost, or the Office of the Provost regarding recommendations or decisions on promotion. The bargaining unit faculty member may have a colleague or Union representative present at the meeting as an observer.

Section 17. Evaluation file. The promotion review file should generally include the following information:

- Statement of duties and responsibilities
- Curriculum vitae
- Conditions of appointment
- Criteria for promotion
- Personal statement
- Supervisors’ letters of evaluation
- Professional activities portfolio (if applicable)
- Teaching portfolio (if applicable)
- Scholarship portfolio (if applicable)
- Service portfolio (if applicable)
- Professional development statement (if applicable)
- Internal and/or external reviews (if applicable)
- Department or unit committee recommendation
- Department, unit, center, or institute head’s recommendation (if applicable)
- Vice president’s, dean’s, or director’s recommendation
- Waiver of access to materials (if applicable)

Section 18. Review by Department or Unit. The department or unit head or designee should solicit any internal and/or external reviews, as applicable. A department or unit committee will review the file and make a recommendation to the department or unit head. The department or unit head will then prepare an explanation of the merits of the promotion case and a recommendation on the case. The report will include the department or unit-level promotion committee report and recommendation and a voting summary, and the department or unit head’s

278 own independent recommendation. The file will then be sent to the appropriate vice president,
279 vice provost, dean, or director for review.

280
281 **Section 19. Review by Vice President, Vice Provost, Dean, or Director.** The vice president,
282 vice provost, dean, or director, as appropriate, will review the file, and may consult with
283 appropriate persons and ~~may~~ ask for and document additional non-confidential information.
284 Once the vice president, vice provost, Provost, dean, or director deems the file complete, they
285 will prepare a separate memorandum and recommendation.

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287 The vice president, vice provost, Provost, dean, or director will share their memorandum and
288 recommendation with the candidate and notify the candidate that they may provide responsive
289 material for the file within 10 days from the date of receipt of the memorandum; this response
290 shall be included in the evaluation file. If the assessment of the dean or vice provost above
291 differs from that of the department or unit head or the school- or college-level personnel
292 committee, they will provide an explanation of the reasons underlying their judgment. The vice
293 president, vice provost, dean, or director then will submit the complete evaluation file to the
294 Office of the Provost.

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296 **Section 20. Review by the Office of the Provost.** By June 1, the Office of the Provost will
297 review the file and decide whether to grant or deny promotion. The candidate will be notified of
298 the decision in writing. If the Office of the Provost decides the review is unsuccessful, the
299 decision letter will contain an explanation of the reasons underlying their decision **and any**
300 **determinations that differ from the previous review levels.** ~~In the case of a decision to deny~~
301 ~~promotion that is contrary to a recommendation of a vice president, vice provost, dean, or~~
302 ~~director, the decision letter of the Office of the Provost shall include a detailed explanation of~~
303 ~~reasons for rejecting the recommendation, which shall identify any assessments of merit and~~
304 ~~representations of fact contained in the recommendation with which the Office of the Provost~~
305 ~~disagrees.~~

306
307 **Section 21. Assumption of New Rank.** Successful candidates for promotion will assume their
308 new rank beginning with the next academic or fiscal year or the nearest next term of employment
309 should their appointment not begin with fall term.

310 311 312 **Career Research Promotion Reviews**

313
314 **Section 22. Eligibility for Promotion.** Career research faculty may elect to initiate the
315 promotion process when eligible to do so. Career faculty members will be eligible for promotion
316 after accumulating six years of employment as a Career faculty member less any credit for prior
317 service granted (Section 8) at or above an average of 0.5 annualized FTE over six years. The six
318 years of employment do not have to be consecutive.

319
320 Career research faculty members who have achieved promotion must wait at least **five** ~~six~~ years
321 before initiating the promotion process again **(for a promotion review in the subsequent year),**
322 regardless of the number of accumulated years of employment.

323
324 **Section 23. Review Period and Election of Criteria.** The promotion review period for a Career

325 research bargaining unit faculty member will be the time in their current classification and rank.

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327 The bargaining unit faculty member will be reviewed for promotion relative to the criteria in
328 effect when the review period began. If the criteria have changed since their hire or previous
329 review, the faculty member must choose either the earlier or current set of criteria.

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331 **Section 24. Initiating the Promotion Process for Career Research Faculty.** Candidates
332 wishing to be considered for promotion should notify the appropriate department or unit head in
333 the Spring term prior to the year when promotion is sought, and must provide the following
334 materials by Fall of the review year:

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336 ● **Curriculum vitae or resume:** A comprehensive and current curriculum vitae or resume
337 that includes the bargaining unit faculty member's current research, scholarly, and
338 creative activities ~~and accomplishments~~, including publications, appointments,
339 presentations, and similar activities and accomplishments, as applicable.

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341 ● **Personal statement:** A 2-6-page personal statement developed by the bargaining unit
342 faculty member evaluating their performance measured against the applicable criteria for
343 promotion. The personal statement should expressly address their impact and
344 contribution to research excellence relative to their job duties. This statement should also
345 include discussion of contributions to diversity, equity, and inclusion.

346

347 ● **Scholarship portfolio (if applicable):** A comprehensive portfolio of scholarship,
348 research, and creative activity; and appropriate evidence of national or international
349 recognition or impact.

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351 ● **Service portfolio (if applicable):** Evidence of the bargaining unit faculty member's
352 service contributions to their academic department, center or institute, school or college,
353 university, profession, and the community, such as op ed pieces, white papers authored or
354 co-authored by the faculty member, commendations, awards, or letters of appreciation.
355 The portfolio may also include a short narrative elaborating on the faculty member's
356 unique service experiences or obligations.

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358 ● **Professional activities portfolio (if applicable):** A comprehensive portfolio of
359 professional or consulting activities related to their discipline.

360

361 ● **List of reviewers (if applicable):** A list of qualified internal and/or external reviewers
362 provided by the bargaining unit faculty member. Normally, external reviews are not
363 expected for those in the research assistant ranks.

364

365 **Section 25. Waiver of Access to Materials.** Bargaining unit faculty members may choose to
366 waive in advance in writing their access to see any or all of the evaluative materials. Such
367 waivers, however, shall not preclude the use of redacted versions of these documents in a denial
368 review process. The redacted versions are intended to protect the identity of the reviewer. If
369 redactions are insufficient to do so, the University may prepare a suitable summary. A waiver
370 will be included in the promotion file.

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Section 26. Notice of Meetings. A bargaining unit faculty member will receive at least three business days' notice of any meeting or hearing which the member is invited or required to attend, with a dean, vice provost, or the Office of the Provost regarding recommendations or decisions on promotion. The bargaining unit faculty member may have a colleague or Union representative present at the meeting as an observer.

Section 27. Evaluation file. The promotion review file should generally include the following information:

- Statement of duties and responsibilities
- Curriculum vitae
- Conditions of appointment
- Criteria for promotion
- Personal statement
- Supervisors' letters of evaluation
- Professional activities portfolio (if applicable)
- Scholarship portfolio (if applicable)
- Service portfolio (if applicable)
- Internal and/or external reviews (if applicable)
- Department, unit, center, or institute head's recommendation
- Vice president's, dean's, or director's recommendation
- Waiver of access to materials (if applicable)

Section 28. Review by Department Head or Unit Director or Manager. The department or unit head or designee should solicit any internal and/or external reviews, as applicable. The department or unit head will then review the file, including any internal or external reviews, and prepare a recommendation and an explanation of the merits of the promotion case. The file will then be sent to the appropriate vice president, vice provost, or dean for review. In the event that the unit head is the faculty member's supervisor/director/manager, the supervisor letter of evaluation and the unit head review may be combined into a single recommendation.

Section 29. Review by Vice President, Vice Provost, Dean, or Director. The vice president or dean, as appropriate, will review the file, and may consult with appropriate persons and may ask for and document additional non-confidential information. Once the vice president or dean deems the file complete, they will prepare a separate memorandum with a recommendation.

If the vice president, vice provost, dean, or director's assessment differs from that of the department or unit committee or the department or unit head, the memorandum and recommendation will provide an explanation of the reasons underlying their judgment.

The vice president, vice provost, dean, or director will share their memorandum and recommendation with the candidate and notify the candidate that they may provide responsive material for the file within 10 days from the date of receipt of the memorandum. This response shall be included in the evaluation file. The vice president, vice provost, dean, or director then will submit the complete evaluation file to the Office of the Provost.

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418 **Section 30. Review by the Office of the Provost.** By June 1, the Office of the Provost will
419 review the file, with appropriate input, and decide whether to grant or deny promotion. The
420 candidate will be notified of the decision in writing. If the Provost decides the review is
421 unsuccessful, the decision letter will contain an explanation of the reasons underlying their
422 decision and any determinations that differ from the previous review levels. ~~In the case of a~~
423 ~~decision to deny promotion that is contrary to a recommendation of a vice president, vice~~
424 ~~provost, dean, or director, the decision letter of the Office of the Provost shall include a detailed~~
425 ~~explanation of reasons for rejecting the recommendation, which shall identify any assessments of~~
426 ~~merit and representations of fact contained in the recommendation with which the Office of the~~
427 ~~Provost disagrees.~~

428

429 **Section 31. Assumption of New Rank.** Successful candidates for promotion will assume their
430 new rank beginning with the fiscal year following notification of their promotion, or other date
431 as approved, by the Office of the Provost, whichever comes first.

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434 **Career Continuous Employment Reviews**

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436 **Section 32. Purpose.** The primary function of Career Continuous Employment Reviews is to
437 foster continued professional growth and reward excellence. Career Continuous Employment
438 Reviews are optional.

439

440 **Section 33. Eligibility.** To be eligible for a Career Continuous Employment Review, a
441 bargaining member must satisfy the following:

- 442 a. Must have a Career appointment in a single-rank category or at the highest rank in their
443 category; and,
- 444 b. Must have an annualized 0.5 FTE or greater; and,
- 445 c. Must have accumulated six years of service at 0.5 FTE or greater, as measured from their
446 appointment in the single-rank category, since achieving promotion to the highest rank in
447 their category, or since their most recent Career Continuous Employment Review.

448

449 **Section 34. Process.** To initiate the Career Continuous Employment Review, the eligible
450 bargaining unit faculty member must notify their department or unit head consistent with Section
451 14 or 24, as appropriate. Continuous employment reviews for Career faculty will generally
452 mirror the scope and process for Career instructional or Career research promotion reviews to the
453 highest rank. If the final 'Review by the Office of the Provost' (Section 20 or 30 equivalent) in a
454 Continuous Employment Review determines that the bargaining unit faculty member's
455 performance in all categories meets ~~or exceeds~~ expectations, the bargaining unit faculty member
456 will receive an increase to their base salary per Article 26. ~~Senior Instructor IIs and Senior~~
457 ~~Lecturer IIs that exceed expectations in all categories on a Career Continuous Employment~~
458 ~~Review may be nominated by their dean to be considered by the Provost for the Distinguished~~
459 ~~Teaching Professor award under Appendix 4.~~