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

11
12 **Preamble.** Career appointments are either Career instructional or Career research for the
13 purposes of this Article.
14

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

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

24 **Career Faculty Review and Promotion**

25
26 **Section 1.** Reviews for Career faculty will include reviews associated with performance,
27 promotion, and continuous employment. A performance review will not be required in the year a
28 bargaining unit faculty member has a promotion or continuous employment review.
29

30 **Section 2. Policies and Procedures.** Each department or unit that employs Career faculty will
31 maintain unit-level policies for Career faculty review and promotion in accordance with Article
32 4.
33
34

35 **Career Faculty Performance Reviews**

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37 **Section 3. Performance Reviews.** Performance reviews for Career faculty are for the purpose of
38 determining if the faculty member is meeting the standard of excellence appropriate to a Career
39 instructional or Career research faculty member at an AAU institution based on their job duties.
40 Performance reviews should be designed to help Career faculty members grow as educators,
41 scholars, and researchers, as appropriate; identify areas of strength; and identify areas that need
42 improvement associated with their position. Career performance reviews should include a stage-
43 appropriate assessment of the likelihood of success in a subsequent promotion review. **As part of**
44 **performance reviews, ~~also allow~~ supervisors of Career faculty members with a position**
45 **description ~~to shall collaborate with those Career faculty members on-keeping to keep the~~**
46 **position description up to date as an accurate reflection of the position. Performance reviews**
47 **shall consider any lack of resources necessary to the performance of professional responsibilities**

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

53 54 **Section 4. Performance Review Timing.**

- 55
- 56 a. Career instructional faculty will have a performance review each year for the first three
57 years of their employment and at least once every three years thereafter (academic years
58 for 9-month appointments and fiscal years for 12-month appointments). The three-year
59 schedule is reset after a successful promotion or continuous employment review.
60
 - 61 b. Career research faculty will have a performance review annually, which will also serve as
62 the basis for distributions if a merit pool is agreed to in Article 26.
63
 - 64 c. Performance reviews may take place out of cycle when a department or unit head has
65 identified or become aware of performance problems. The department or unit head shall
66 meet with the Career faculty member to discuss areas of concern and evaluate whether a
67 formal out-of-cycle performance review or performance improvement plan (Section 6.e)
68 is warranted. Nothing in this Article changes the process for addressing poor performance
69 for funding-contingent faculty set forth in Article 16, Section 18.
70

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

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

- 78
- 79 a. As part of each performance review, a Career faculty member will have an opportunity to
80 submit a ~~brief~~ personal statement (~~no more than three pages~~) containing information
81 relevant to their performance of assigned duties and responsibilities.
82
 - 83 b. The review process will include an opportunity for the Career faculty member to discuss
84 their efforts, performance, and goals or improvement opportunities with an appropriate
85 supervisor, department, or unit head at least once during each review period.
86
 - 87 c. Performance reviews must include a determination ~~whether~~ the Career faculty member
88 meets, ~~exceeds~~ or does not meet expectations in each of their assigned duties. ~~as follows:~~
89

90 [We are postponing discussion on this provision until we come to an agreement regarding merit
91 review provision]

- 92
- 93 i. ~~When the review is used in conjunction with a salary determination (i.e., merit),~~

94 ~~the performance review must include a determination whether of if the Career~~
95 ~~faculty member meets, exceeds, or does not meet expectations in each of their~~
96 ~~assigned duties.~~

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

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

118
119 If that follow-up progress assessment, which may be a performance review, determines
120 that the Career faculty member still does not meet expectations in one or more of the
121 assigned duties previously identified as areas of concern, that Career faculty member may
122 be subject to layoff (Article 16, Section 12.a.).
123

124 125 **Career Promotion Reviews**

126 127 **General Career Promotion Review Considerations**

128
129 **Section 7. Accelerated Review.** An accelerated promotion review may occur in particularly
130 meritorious cases as determined by the Office of the Provost in consultation with the appropriate
131 vice president, vice provost, dean, department or unit head, and the bargaining unit faculty
132 member.
133

134 **Section 8. Credit for Prior Service.** Bargaining unit faculty members at 0.5 annualized FTE or
135 greater reclassified from Pro Tem to Career positions may shall receive credit towards promotion
136 when appropriate. ~~to the same extent that they would have received credit had they been~~
137 ~~classified as Career faculty. for the number of years employed as Pro Tem faculty.~~ When a
138 bargaining unit faculty member receives credit for prior service is agreed upon, the terms of hire
139 or reclassification will state the number of years of credit granted for comparable work, specific

140 review considerations, and the earliest date for promotion eligibility. ~~Bargaining unit faculty~~
141 ~~members reclassified from Pro Tem to Career positions will receive credit towards promotion for~~
142 ~~the number of years employed as Pro Tem faculty.~~

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

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

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

157 158 159 **Career Instructional Promotion Reviews**

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

- 168
- 169 a. Career instructional faculty members who will have completed five years of employment
170 as a Career faculty member at or above 0.5 annualized FTE per year may initiate the
171 promotion process in the Spring term of the fifth year if they have an expected
172 appointment of 0.5 annualized FTE or greater for the sixth year.
 - 173
174 b. Career instructional faculty members who have completed more than five years of
175 employment as a Career faculty member at or above 0.5 annualized FTE per year may
176 initiate the promotion process in the Spring term of any year.
 - 177
178 c. Cases involving positions or terms of service below 0.5 FTE may be considered for
179 promotion by the Office of the Provost in accordance with the principles set forth in this
180 Article.
 - 181
182 d. Career instructional faculty members who have achieved promotion must wait at least
183 ~~five six~~ years before initiating the promotion process again (for a promotion review in the
184 subsequent year), regardless of the number of accumulated years of employment.
- 185

186 **Section 13. Review Period and Election of Criteria.** The promotion review period for a Career
187 instructional bargaining unit faculty member will be the time in their current classification and
188 rank, with emphasis on the six most recent years.

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

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

- 198
199 ● **Curriculum vitae:** A comprehensive and current curriculum vitae that includes the
200 bargaining unit faculty member’s current teaching, professional development, research,
201 scholarly, and creative activities and accomplishments, including publications,
202 appointments, presentations, and similar activities and accomplishments as applicable.
203
- 204 ● **Personal statement:** A 2–6-page personal statement developed by the bargaining unit
205 faculty member evaluating their performance measured against the applicable criteria for
206 promotion. The personal statement should expressly address the subjects of teaching;
207 scholarship, research and creative activity, as applicable; and service contributions to the
208 academic department, center or institute, school or college, university, profession, and the
209 community. The statement should also include discussion of contributions to diversity,
210 equity, and inclusion.
211
- 212 ● **Teaching portfolio (if applicable):** Representative examples of course syllabi or
213 equivalent descriptions of course content and instructional expectations for courses taught
214 by the bargaining unit faculty member, examples of student work and exams, and similar
215 material; information from student experience surveys, which will be considered in light
216 of the response rate; information on the development of new courses and curriculum
217 development; information on contributions to university-wide teaching practices (if
218 applicable).
219
- 220 ● **Scholarship portfolio (if applicable):** A comprehensive portfolio of scholarship,
221 research, and creative activity; and appropriate evidence of national or international
222 recognition or impact.
223
- 224 ● **Service portfolio (if applicable):** Evidence of the bargaining unit faculty member’s
225 service contributions to their academic department, center or institute, school or college,
226 university, profession, and the community, such as op ed pieces, white papers authored or
227 co-authored by the faculty member, commendations, awards, or letters of appreciation.
228 The service portfolio may also include a short narrative elaborating on the faculty
229 member’s unique service experiences or obligations.
230
- 231 ● **Professional development statement (if applicable):** A statement that provides a short

232 narrative elaborating on the professional development activities of the bargaining unit
233 faculty member related to their job duties.

- 234
- 235 ● **Professional activities portfolio (if applicable):** A comprehensive portfolio of
236 professional or consulting activities related to their discipline.
- 237
- 238 ● **Internal and/or external reviewers (if applicable):** A list of qualified internal and/or
239 external reviewers provided by the bargaining unit faculty member.
- 240

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

247

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

253

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

- 256
- 257 ● Statement of duties and responsibilities
- 258 ● Curriculum vitae
- 259 ● Conditions of appointment
- 260 ● Criteria for promotion
- 261 ● Personal statement
- 262 ● Supervisors' letters of evaluation
- 263 ● Professional activities portfolio (if applicable)
- 264 ● Teaching portfolio (if applicable)
- 265 ● Scholarship portfolio (if applicable)
- 266 ● Service portfolio (if applicable)
- 267 ● Professional development statement (if applicable)
- 268 ● Internal and/or external reviews (if applicable)
- 269 ● Department or unit committee recommendation
- 270 ● Department, unit, center, or institute head's recommendation (if applicable)
- 271 ● Vice president's, dean's, or director's recommendation
- 272 ● Waiver of access to materials (if applicable)
- 273

274 **Section 18. Review by Department or Unit.** The department or unit head or designee should
275 solicit any internal and/or external reviews, as applicable. A department or unit committee will
276 review the file and make a recommendation to the department or unit head. The department or
277 unit head will then prepare an explanation of the merits of the promotion case and a

278 recommendation on the case. The report will include the department or unit-level promotion
279 committee report and recommendation and a voting summary, and the department or unit head's
280 own independent recommendation. The file will then be sent to the appropriate vice president,
281 vice provost, dean, or director for review.

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

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

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

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

312
313

314 **Career Research Promotion Reviews**

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

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

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Section 23. Review Period and Election of Criteria. The promotion review period for a Career research bargaining unit faculty member will be the time in their current classification and rank.

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

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

- **Curriculum vitae or resume:** A comprehensive and current curriculum vitae or resume that includes the bargaining unit faculty member’s current research, scholarly, and creative activities ~~and accomplishments~~, including publications, appointments, presentations, and similar activities and accomplishments, ~~as applicable~~.
- **Personal statement:** A 2-6-page personal statement developed by the bargaining unit faculty member evaluating their performance measured against the applicable criteria for promotion. The personal statement should expressly address their impact and contribution to research excellence relative to their job duties. This statement should also include discussion of contributions to diversity, equity, and inclusion.
- **Scholarship portfolio (if applicable):** A comprehensive portfolio of scholarship, research, and creative activity; and appropriate evidence of national or international recognition or impact.
- **Service portfolio (if applicable):** Evidence of the bargaining unit faculty member’s service contributions to their academic department, center or institute, school or college, university, profession, and the community, such as op ed pieces, white papers authored or co-authored by the faculty member, commendations, awards, or letters of appreciation. The portfolio may also include a short narrative elaborating on the faculty member’s unique service experiences or obligations.
- **Professional activities portfolio (if applicable):** A comprehensive portfolio of professional or consulting activities related to their discipline.
- **List of reviewers (if applicable):** A list of qualified internal and/or external reviewers provided by the bargaining unit faculty member. Normally, external reviews are not expected for those in the research assistant ranks.

Section 25. 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

371 redactions are insufficient to do so, the University may prepare a suitable summary. A waiver
372 will be included in the promotion file.

373
374 **Section 26. Notice of Meetings.** A bargaining unit faculty member will receive at least three
375 business days' notice of any meeting or hearing which the member is invited or required to
376 attend, with a dean, vice provost, or the Office of the Provost regarding recommendations or
377 decisions on promotion. The bargaining unit faculty member may have a colleague or Union
378 representative present at the meeting as an observer.

379
380 **Section 27. Evaluation file.** The promotion review file should generally include the following
381 information:

- 382
- 383 ● Statement of duties and responsibilities
 - 384 ● Curriculum vitae
 - 385 ● Conditions of appointment
 - 386 ● Criteria for promotion
 - 387 ● Personal statement
 - 388 ● Supervisors' letters of evaluation
 - 389 ● Professional activities portfolio (if applicable)
 - 390 ● Scholarship portfolio (if applicable)
 - 391 ● Service portfolio (if applicable)
 - 392 ● Internal and/or external reviews (if applicable)
 - 393 ● Department, unit, center, or institute head's recommendation
 - 394 ● Vice president's, dean's, or director's recommendation
 - 395 ● Waiver of access to materials (if applicable)
- 396

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

404
405 **Section 29. Review by Vice President, Vice Provost, Dean, or Director.** The vice president or
406 dean, as appropriate, will review the file, and may consult with appropriate persons and may ask
407 for and document additional non-confidential information. Once the vice president or dean
408 deems the file complete, they will prepare a separate memorandum with a recommendation.

409
410 If the vice president, vice provost, dean, or director's assessment differs from that of the
411 department or unit committee or the department or unit head, the memorandum and
412 recommendation will provide an explanation of the reasons underlying their judgment.

413
414 The vice president, vice provost, dean, or director will share their memorandum and
415 recommendation with the candidate and notify the candidate that they may provide responsive
416 material for the file within 10 days from the date of receipt of the memorandum. This response

417 shall be included in the evaluation file. The vice president, vice provost, dean, or director then
418 will submit the complete evaluation file to the Office of the Provost.

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

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

434 435 436 **Career Continuous Employment Reviews**

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

441
442 **Section 33. Eligibility.** To be eligible for a Career Continuous Employment Review, a
443 bargaining member must satisfy the following:
444 a. Must have a Career appointment in a single-rank category or at the highest rank in their
445 category; and,
446 b. Must have an annualized 0.5 FTE or greater; and,
447 c. Must have accumulated six years of service at 0.5 FTE or greater, as measured from their
448 appointment in the single-rank category, since achieving promotion to the highest rank in
449 their category, or since their most recent Career Continuous Employment Review.

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