

1 UNIVERSITY OF OREGON COUNTERPROPOSAL (8/13/2024)
2 UNITED ACADEMICS COUNTERPROPOSAL (7/15/24)
3 UNIVERSITY OF OREGON PROPOSAL (4/18/2024)
4

5 Document Key

6 UA new | ~~UA deletion~~ | UO new | ~~UO deletion~~ | Accepted | Deleted | Status Quo | Restored
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8 ARTICLE 20. TENURE REVIEW AND PROMOTION
9

10 Section 1. This Article applies only to bargaining unit faculty members in the Tenure-Track and
11 Tenured classification. Tenure is in the University, and not in a college, school, department,
12 program, or discipline. The award of tenure requires an express grant by the Provost
13 communicated in writing to the bargaining unit faculty member and signed by the Provost. There
14 is no de facto tenure. Tenure means that the bargaining unit faculty member's employment may
15 be terminated only for cause (Article 24), or in case of program eliminations or reductions
16 (Article 25).
17

18 Section 2. Standards and Guidelines. The University follows the same general timetable,
19 process, and standards of performance for evaluation and promotion as do many other public
20 research universities, particularly AAU institutions. The University also considers AAUP
21 guidelines for tenure review and promotion. All department or unit review guidelines shall be
22 established and revised by the processes set out in Article 4.
23

24
25 Reviews

26
27 Section 3. Reviews for bargaining unit faculty members in the Tenure-Track and Tenured
28 classification will consist of (1) annual reviews for faculty not holding tenure; (2) mid-term
29 reviews between appointment and tenure review for the faculty without tenure; (3) tenure and
30 promotion reviews; (4) third-year post-tenure reviews for tenured faculty in the third year
31 following: *[inserted list formatting for clarity]*

- 32 a. a tenure and/or promotion decision, or
33 b. a previous third-year review for associate professors (if a promotion to full professor
34 review is not taking place in the same year);, or
35 c. following a sixth-year post-tenure review for full professors;

36 (5) promotion-to-full-professor review for tenured faculty in their sixth year or later after
37 receiving tenure; and (6) sixth-year post-tenure reviews for full professors ~~tenured faculty~~ in
38 their sixth year following a ~~tenure and/or~~ promotion to full decision or following a previous
39 sixth-year review.
40

41
42 General Review Provisions

43
44 Section 4. Accelerated-Early Review. An accelerated-early tenure review may occur in
45 particularly meritorious cases as determined by the Office of the Provost in consultation with the
46 appropriate dean, department, or unit head, and the bargaining unit faculty member.
47

48 **Section 5. Notice of Meetings.** A bargaining unit faculty member will receive at least three
49 days' notice of any meeting or hearing, which the member is invited or required to attend with a
50 dean or the Provost or designee regarding recommendations or decisions on promotion or tenure.
51 The bargaining unit faculty member may have a colleague or Union representative present at the
52 meeting as an observer.

53
54 **Section 6. Waiver of Access to Materials.** Bargaining unit members have the right whether to
55 waive in advance in writing their access to see any or all of the evaluative materials (see Article
56 8, Personnel Files). The choice by the bargaining unit faculty member to waive or not waive
57 access to evaluative materials shall not be considered during the evaluation process. Such
58 waivers, however, shall not preclude the use of redacted versions of these documents in an
59 appeal process (Article 21). The redacted versions are intended to protect the identity of
60 reviewers, who are informed about the faculty member's waiver choice.

61
62 **Section 7. Stopping of the "Tenure, Promotion, and Review Clock."** The "tenure, promotion,
63 and review clock" shall be stopped for one year in the following circumstances, unless the
64 bargaining unit faculty member specifies otherwise:

- 65 a. ~~for one year~~ upon the birth or adoption of a child;
66 b. due to a leave of absence or intermittent leave with a duration of twelve weeks or longer
67 as a result of an ADA or FMLA qualifying event.

68
69 The review clock may also be stopped in other extraordinary circumstances, including up to two
70 years for approved leaves of absence without pay lasting two or more terms during each year of
71 the approved leave, as approved by the Office of the Provost.

72
73 If the faculty member opts to restore the period when the clock was stopped, they may apply for
74 review at the time they would have become eligible without the stopping of the clock. Leaves not
75 resulting in a clock stoppage will be considered as a part of review periods. This Section applies
76 to mid-term, tenure, and promotion reviews, as well as third-year and sixth-year post-tenure
77 reviews. No more than two one-year clock extensions may be granted between reviews for
78 reasons a. and b. above (i.e., up to two one-year clock extensions may be granted between
79 successive third-year reviews, with the second third-year review taking place in the fifth.

80
81 **Section 8. Relevant Information.** Only significant information relevant to the review shall be
82 included in a review file. Relevant information is information that relates to the review criteria as
83 defined in this Agreement. Relevant information may include disciplinary action taken against
84 the bargaining unit faculty member, if the underlying acts relate to or affect the faculty member's
85 ability to meet the review criteria. Information not relevant to the review or information that
86 contains allegations that have not been fully reviewed by the appropriate office (research
87 misconduct, office of investigations and civil rights compliance, employee and labor relations,
88 etc.) shall not be included in the file initially, although allegations that relate to relevant
89 information may be included if they are sustained after an appropriate review.

90
91 ~~**Section 9. Review Evaluations and Recommendations.** If, at any level of review, the
92 evaluation or recommendation regarding the faculty member's progress toward tenure and
93 promotion differs materially from any previous level of review, such evaluation must clearly
94 justify each material difference and cite specific evidence from the file to support the differing~~

95 evaluation.

96
97 ~~Section 10. Request for Clarification. If, within periods to provide responsive material or~~
98 ~~information for the evaluation file, the bargaining unit faculty member makes a good faith~~
99 ~~request for clarification or additional detail regarding the reasoning or evidentiary basis for the~~
100 ~~differing assessment of the faculty member's file, the evaluator will make a good faith effort to~~
101 ~~provide such additional detail or clarification within 14 days from the date of receiving such~~
102 ~~request. The bargaining unit faculty member will then have an additional 14 days from receipt of~~
103 ~~the response to provide supplemental responsive material or information for the evaluation file.~~

104 105 106 **Pre-Tenure Reviews**

107
108 **Section 9. Annual Pre-Tenure Reviews.** Each tenure-track bargaining unit faculty member who
109 has not received tenure and is not in the process of a tenure review will have an annual review
110 conducted by the department or unit head or designee. These annual reviews provide an
111 opportunity to evaluate the tenure-track bargaining unit faculty member's performance and offer
112 an opportunity to address problems and to support faculty members in their progress toward the
113 mid-term and tenure reviews.

114 115 116 **Mid-Term Reviews**

117
118 **Section 10. Purpose, Outcomes and Appeals.** Mid-term reviews shall be an assessment of the
119 bargaining unit faculty member's progress toward tenure and should assist the faculty member's
120 development. The outcome of a mid-term review shall be either: *[inserted list formatting for*
121 *clarity]*

- 122 a. ~~(1) a contract until the end of the faculty member's tenure and promotion review year,~~
123 ~~which allows for the possibility of identifying any concerns that should be addressed~~
124 ~~prior to consideration for promotion and tenure, as well as providing appropriate support;~~
125 ~~or, ;(2) a one- or two-year contract specifying an additional mid-term review; or (3)~~
126 b. a one-year, terminal contract ~~in rare cases and when there is consensus across all levels of~~
127 ~~review. Only a review decision resulting in a terminal contract may be appealed through~~
128 ~~the process specified in Article 21. If a two-year contract is issued under (2) and the~~
129 ~~subsequent mid-term review is not successful, the bargaining unit faculty member's~~
130 ~~employment will end with the expiration of the contract.~~

131
132 **Section 11. Timing.** Each tenure-track bargaining unit faculty member who has not received
133 tenure will have a mid-term review approximately halfway between appointment and eligibility
134 for tenure, ~~except those appointed with a tenure review date three years or less from the time of~~
135 ~~their initial appointment (Article 16, Section 6).~~ The timing of this review generally will be
136 established at the time of appointment, in that this review will usually take place during the last
137 year of the bargaining unit faculty member's initial contract. A successful review is one
138 prerequisite for contract renewal.

139
140 **Section 12. Mid-Term Review Period.** The review will include all research, teaching, and
141 service accomplished since the beginning of the faculty member's employment in the current

142 position in addition to other materials specified by the faculty member’s hiring agreement
143 (Article 16). Leaves are considered consistent with Section 7.

144
145 **Section 13. Initiating the Mid-Term Review.** To initiate the mid-term review process, the
146 department or unit head or designee will contact the bargaining unit faculty member during the
147 fall term of the year in which the review will take place and request the following:

- 148
149 1. **Election of Criteria:** The bargaining unit faculty member will be reviewed relative to the
150 criteria in effect when their employment began. If the criteria have changed since the
151 beginning of employment, the faculty member must choose either the earlier or current
152 set of criteria.
- 153
154 2. **Curriculum vitae:** A comprehensive and current curriculum vitae that includes the
155 faculty member’s current research, scholarly and creative activities and accomplishments,
156 including publications, appointments, presentations, and similar activities.
- 157
158 3. **Scholarship portfolio:** A comprehensive portfolio of scholarship, research, and creative
159 activity during the review period; and appropriate evidence of national or international
160 recognition or impact.
- 161
162 4. **Personal statement:** A 3–6-page personal statement developed by the bargaining unit
163 faculty member ~~explaining how their provided material relates to demonstrates they are~~
164 ~~on-track-to-meet meeting-evaluating their performance measured against~~ the applicable
165 ~~unit-level~~ criteria for tenure and promotion. The personal statement should expressly
166 address the subjects of teaching; scholarship, research, and creative activity; service
167 contributions to the academic department, center or institute, school or college,
168 university, profession, and the community; and contributions to diversity, equity, and
169 inclusion.
- 170
171 5. **Teaching portfolio:** Representative examples of course syllabi or equivalent descriptions
172 of course content and instructional expectations for courses taught by the bargaining unit
173 faculty member, examples of class assignments and exams, information from student
174 experience surveys, which will be considered in light of the response rate, and similar
175 material.
- 176
177 6. **Service portfolio:** As ~~applicable available~~, evidence of the bargaining unit faculty
178 member’s service contributions to their academic department, center or institute, school
179 or college, university, profession, and the community. Such evidence could include white
180 papers authored or co-authored by the faculty member, commendations, awards, op-ed
181 pieces, and/or letters of appreciation. The portfolio may also include a short statement on
182 the faculty member’s unique service experiences or obligations.

183
184 **Section 14. Department or Unit Head’s Role.** The department or unit head will obtain and
185 place in the evaluation file copies of summary reports from the ~~teaching student~~-evaluation
186 process, including Student Experience Surveys. The file must also include recent peer
187 evaluations of the bargaining unit faculty member’s teaching that is aligned with the university-
188 wide teaching standards established by the University Senate.

189
190 Once the department or unit head has obtained all of the appropriate documents and information,
191 they will establish a committee of tenured faculty and provide the committee with access to the
192 documents and information. The department or unit head will then:

- 193
- 194 1. Obtain a report from the faculty committee including an assessment of the bargaining
195 unit faculty member's progress toward tenure and promotion; and
196
 - 197 2. Prepare their own **independent** evaluation of the bargaining unit member's progress
198 toward tenure and promotion ~~that takes into account the committee report and~~
199 ~~departmental discussion, and is consistent with Section 9~~; and
200
 - 201 3. Provide the department or unit head's written report to the bargaining unit faculty
202 member and allow the faculty member 10 days from the date of the receipt of the report
203 to provide responsive material or information, which shall be included in the evaluation
204 file; and
205
 - 206 4. Submit the evaluation file to the appropriate dean.
207

208 If a department or unit has or develops a policy or practice of providing the report of the faculty
209 committee to the bargaining unit faculty member, the department or unit head shall do so.
210

211 **Section 15. Dean's Role.** The dean will review the file and may consult with appropriate persons
212 and may obtain and document additional relevant information. Once the dean deems the file
213 complete, they will prepare a separate report and recommendation. The dean will share their
214 written report and recommendation with the bargaining unit faculty member and allow the
215 faculty member 10 ~~14~~ days from the date of receipt of the report to provide responsive material
216 or information, which shall be included in the evaluation file. The dean then will submit a
217 summary report including dean's recommendation, department head's recommendation, faculty
218 committee report, and faculty member's curriculum vitae, statement, and responsive material or
219 information to the Provost or designee.
220

221 **Section 16. Provost's Role.** The Provost or designee will consider the cumulative
222 recommendations received from department faculty, the department or unit head, and the dean,
223 and then will decide the terms and duration of any subsequent appointment of the bargaining unit
224 faculty member. Upon Provost review, the summary report will be placed in the faculty
225 member's departmental or college personnel file and a decision conveyed in writing to the
226 faculty member no later than June 1.
227

228 **Tenure Review Process**

229
230
231 **Section 17. Eligibility for tenure review.** Except as authorized in writing by the Provost or
232 designee, a bargaining unit faculty member is entitled to a decision on tenure only after six
233 consecutive academic or fiscal years of employment at **or above the FTE at which they were**
234 **hired. ~~1.0 FTE per year or the equivalent of consecutive part time employment at or above 0.5~~**
235 **~~FTE per year.~~** An appointment is considered consecutive even if interrupted by one or more

236 approved leaves of absence. Leaves are considered consistent with Section 7.
237

238 **Section 18. Tenure Review period.** The tenure review will include all research, teaching, and
239 service accomplished since the beginning of the faculty member's employment in the current
240 position in addition to other materials specified by the faculty member's hiring agreement
241 (Article 16). Leaves of absence not resulting in a clock stoppage will be considered as part of the
242 review period.
243

244 **Section 19. Initiating the Tenure Review Process.** To initiate the tenure review process, the
245 department or unit head will contact the bargaining unit faculty member no later than winter term
246 of the year preceding the year in which a tenure decision is required and request the following:
247

- 248 1. **Election of Criteria:** The bargaining unit faculty member will be reviewed relative to the
249 criteria in effect during their last mid-term review. If the criteria have changed since the
250 last mid-term review, the faculty member must choose either the earlier or current set of
251 criteria.
252
- 253 2. **Curriculum vitae:** A comprehensive and current curriculum vitae that includes the
254 faculty member's current research, scholarly, and creative activities and
255 accomplishments, including publications, appointments, presentations, and similar
256 activities and accomplishments. This document should clearly differentiate between
257 accomplishments that occurred during the review period and those that did not.
258
- 259 3. **Scholarship portfolio:** A comprehensive portfolio of scholarship, research and creative
260 activity during the review period; and appropriate evidence of national or international
261 recognition or impact.
262
- 263 4. **Personal statement:** A 3-6 page personal statement developed by the bargaining unit
264 faculty member explaining how their provided material relates to ~~demonstrates meeting~~
265 ~~evaluating their performance measured against~~ the applicable unit-level criteria for tenure
266 and promotion. The personal statement should expressly address the subjects of teaching;
267 scholarship, research, and creative activity; service contributions to the academic
268 department, center or institute, school or college, university, profession, and the
269 community; and contributions to diversity, equity, and inclusion.
270
- 271 5. **Teaching portfolio:** Representative examples of course syllabi or equivalent descriptions
272 of course content and instructional expectations for courses taught by the bargaining unit
273 faculty member, examples of class assignments and exams, information from student
274 experience surveys, which will be considered in light of the response rate, and similar
275 material.
276
- 277 6. **Service portfolio:** As available, evidence of the bargaining unit faculty member's service
278 contributions to their academic department, center or institute, school or college,
279 university, profession, and the community. Such evidence could include white papers
280 authored or co-authored by the faculty member, commendations, awards, op-ed pieces,
281 and/or letters of appreciation. The portfolio may also include a short narrative elaborating
282 on the faculty member's unique service experiences or obligations.

283
284 7. **External reviewers:** ~~At the option of the bargaining unit faculty member,~~ A list of
285 qualified outside reviewers ~~provided by the bargaining unit faculty member.~~
286

287 All material in this Section, along with the following items, will be included in the Tenure
288 Review File:
289

- 290 8. **Additional Information.** Faculty members and/or the University may submit relevant
291 information during a review from the date information is initially submitted to their
292 department head through the date the Provost issues the final decision. Late submissions
293 of information may result in additional questions to the faculty member or to reviewers at
294 the previous levels. Additional information may include work completed during the
295 review year, if such information or material is included, it may not be included in the
296 review period of subsequent reviews. If detrimental information is added to their file, the
297 bargaining unit faculty member will be notified and may add a response or request the
298 file go back to their department or unit faculty personnel committee for review, which
299 may result in a decision delay. The additional faculty personnel committee report must be
300 submitted along with the new information for inclusion in the Tenure Review File.
301
- 302 9. **Mid-Term Review(s).** The dean’s summary report and the Provost’s final decision from
303 any mid-term reviews conducted will be included.
304

305 **Section 20. Schedule for Review of Tenure and Promotion Files.** The Office of the Provost
306 will establish a schedule for the compilation and review of tenure and promotion files. If the
307 bargaining unit faculty member fails to comply with the timeline established by the Provost for
308 submission of materials, the department or unit head will notify the faculty member of the
309 missed deadline by university email and the primary phone on record in the Banner system. If
310 the faculty member does not respond within 14 days, tenure may be denied. If the faculty
311 member responds within 14 days, the department or unit head will establish a new deadline for
312 submission of all materials.
313

314 The new deadline must allow the University adequate time to complete the tenure review process
315 by June 1. If the faculty member misses the new deadline, tenure will be denied.
316

317 **Section 21. External reviews.** The department or unit head will prepare a list of qualified
318 external reviewers, with input from the department or unit faculty eligible to vote on a tenure and
319 promotion case. The department or unit head will select a majority of the external reviewers from
320 this independently prepared list, but the department or unit head’s primary responsibility is to
321 obtain the best judgments from the most highly qualified experts in the appropriate areas. Most,
322 if not all, of the external reviewers should be at the rank for which the candidate is being
323 considered or above (i.e., associate professor or professor for tenure and promotion to associate
324 professor; professor for promotion to professor). Reviewers generally should come from
325 comparable AAU and research intensive institutions or programs. The suggestions regarding
326 affiliations apply to the majority of external reviewers and are not strict prohibitions. A
327 minimum of five substantive external evaluations is required for a tenure case to move forward.
328

329 The department or unit head will recruit external reviewers from the list prepared by the

330 department or unit head and the separate list provided by the bargaining unit faculty member. A
331 ~~absolute~~ majority of external reviews included in the file must be ~~provided by reviewers~~ selected
332 by the department or unit and not included on the list of reviewers provided by the faculty
333 member under review. If there is overlap between the independently prepared lists, the external
334 reviewer counts as a unit selection. The department or unit head will provide each external
335 reviewer with the candidate's signed and dated curriculum vitae, signed and dated personal
336 statement, the candidate's scholarship portfolio, and the department's or unit's written criteria for
337 promotion and tenure. External reviewers may not be asked to evaluate the candidate against the
338 standards of their own institution.

339
340 **Section 22. Faculty Review.** The eligible faculty in the candidate's department or unit, or a
341 personnel committee comprised of a subset of the eligible faculty (if the department's or unit's
342 internal policy specifies the creation of such a committee), will review the file and the external
343 reviews, prepare a report, and vote. In cases where there are too few eligible faculty members to
344 form a personnel committee within the candidate's department or unit, the department or unit
345 head will work with the appropriate dean to establish a committee including appropriate faculty
346 members from outside the department. A final vote will be conducted by signed ballot, ~~which~~
347 ~~may happen electronically~~, and the ballots will remain confidential to the extent permitted by
348 law. ~~The department or unit head will inform the faculty member whether the vote was positive~~
349 ~~or not.~~ A de-identified vote tally, however, will be provided to the faculty member by the
350 department or unit head ~~in the event of an appeal.~~

351
352 **Section 23. Review by Department or Unit Head, College or School Personnel Committee,**
353 **and Dean.** The department or unit head will prepare ~~their own an independent~~ report and
354 recommendation ~~that takes into account the committee report and departmental discussion~~
355 ~~consistent with Section 9~~ based on ~~their own judgment of~~ the file, and then forward the entire file
356 to the appropriate dean. The file then will be reviewed by a school- or college-level personnel
357 committee appointed by a process determined by the dean. The committee will prepare ~~their own~~
358 ~~an independent~~ report ~~consistent with Section 9~~, and vote, and will forward the entire file to the
359 dean. This step may be bypassed in schools or colleges whose deans choose not to convene a
360 personnel committee. The dean will then prepare ~~their own an independent~~ report and
361 recommendation based on ~~their own judgment of the~~ file and ~~consistent with Section 9, and~~ then
362 meet with the candidate to discuss the case, review the recommendations made by the
363 department committee, department or unit head, and the school or college-level personnel
364 committee (if applicable), and the dean's own recommendation. The candidate will be provided
365 with a copy of the dean's report that has been redacted in accordance with the waiver status to
366 protect personally identifiable information. The candidate may provide responsive material for
367 the file within 10 ~~14~~ days of the meeting with the dean or the receipt of the redacted report,
368 whichever is later. The dean will then forward the entire file to the Office of the Provost.

369
370 **Section 24. Provost's Review of File.** The Provost or designee will review the promotion and
371 tenure file for completeness, ~~and~~ general presentation, and may request additional information
372 from the dean. The file forwarded to the Provost or designee should include the contents listed in
373 Appendix 3: Tenure Review File Checklist.

374
375 **Section 25. University Faculty Personnel Committee Review.** After the Provost or designee
376 has reviewed the file and deemed it complete, the file is sent to the University Faculty Personnel

377 Committee (FPC). The committee will review the file, request additional information from the
378 Office of the Provost, or previous levels of review, if necessary, and then discuss and record a
379 vote to recommend that tenure and promotion is either granted or denied. The committee will
380 prepare a written summary of its discussion, which will include the outcome of the vote.
381

382 **Section 26. Provost's Decision.** The Provost has plenary authority to award or deny tenure. The
383 candidate will be notified in writing of the Provost's decision. The letter accompanying the
384 decision will contain an explanation of the reasons underlying the Provost's decision, if the
385 decision is to deny tenure or promotion. A tenured appointment may not be less than 0.50 FTE.
386 If tenure is granted, the letter will include a statement indicating the FTE of the tenured
387 appointment. The letter will be placed in the candidate's personnel file. The foregoing does not
388 preclude a subsequent written agreement between the Provost or designee and the candidate
389 adjusting the FTE of the appointment, so long as the appointment is at least 0.50 FTE.
390

391 Successful candidates are granted tenure and assume their new classification and rank at the start
392 of the next academic year, or sooner at the discretion of the Provost. Candidates who are denied
393 tenure will receive a notice of appointment, which expires at the end of the academic or fiscal
394 year following the one in which the application for tenure was submitted.
395

396 **Section 27. Withdrawal of Application.** A bargaining unit faculty member may withdraw an
397 application for tenure in writing to the Provost and the dean at any time before the Provost's
398 decision. Upon withdrawal, a bargaining unit faculty member will receive a notice of
399 appointment which expires at the end of the academic or fiscal year following the one in which
400 the application for tenure was submitted.
401

402 **Promotion to Full Professor Review**

403 **Section 28. Promotion from Associate Professor to Professor.** The criteria for promotion to
404 full professor are those outlined in the bargaining unit faculty member's unit-level policy. The
405 process and timelines for review and evaluation for promotion from associate professor to
406 professor are the same as those for promotion to associate professor and tenure, except:
407
408
409

- 410 1. There is no requirement to initiate the promotion process to professor.
411
- 412 2. Bargaining unit faculty members with tenure who are denied promotion from associate
413 professor to professor will remain employed at the associate professor rank.
414
- 415 3. If the review criteria have changed during the six years prior to the review, the faculty
416 member may elect either the earlier or current set of criteria.
417
- 418 4. The results of post-tenure reviews during the review period will be included in the
419 promotion file.
420
- 421 5. The review period for promotion reviews shall include all work accomplished since being
422 awarded tenure.
423

424 **Post-Tenure Reviews**

425

426 **Section 29.** Tenured bargaining unit faculty members at the rank of associate professor will have
427 a third-year review in the third year following promotion and every three years thereafter ~~until~~
428 ~~promotion to full professor~~. Tenured associate professors will not be required to complete a
429 third-year review in a year when they are seeking a promotion to full professor. Following
430 promotion, full professors will have alternating third-year reviews and major sixth-year post-
431 tenure reviews. The primary function of post-tenure reviews ~~is are~~ to foster continued faculty
432 professional growth and ~~is are~~ not a process to reevaluate the award of tenure. If a review is not
433 successful, then a development plan may be established (Section 37). The post-tenure review
434 process may not be used to shift the university's burden of proof in a proceeding to terminate a
435 tenured faculty member for cause.

436

437 **Section 30. Third-Year Post-Tenure Reviews.** Third-year ~~post-tenure~~ reviews will be ~~informal~~
438 ~~reviews unless a department head and dean agree, or the Office of the Provost determines, that a~~
439 ~~formal review is necessary for the faculty member to meet expectations for a subsequent review.~~
440 **a. Informal Third-Year Reviews.** ~~The informal third-year post-tenure review is~~ conducted by
441 the appropriate department or unit head with the bargaining unit faculty member. ~~Review~~
442 ~~Informal review~~ materials will typically consist of a curriculum vitae, a brief personal statement
443 (up to 3 pages) accounting for and explaining anything not clear from their CV, materials for the
444 evaluation of teaching (where applicable), and a sabbatical report (where applicable) (Section
445 33). ~~As a result of the review, †The department or unit head will prepare a concise statement that~~
446 ~~includes an evaluation of whether the faculty member is exceeding, meeting, or not meeting~~
447 ~~expectations under their unit level policy (or Section 38, as appropriate). The department head~~
448 ~~will and share their statement †with the bargaining unit faculty member, who will have 10 14~~
449 ~~business days to respond in writing. The review materials, head's statement, and faculty~~
450 ~~member's response are then sent to the dean and then to the Office of the Provost for approval.~~
451 ~~The head's statement and any response from the bargaining unit faculty member, dean, and~~
452 ~~Office of the Provost will be placed in the bargaining unit faculty member's personnel file. †If in~~
453 ~~the process of the informal review, the department or unit head and dean agree, or the Office of~~
454 ~~the Provost determines, that a formal review is necessary to meet expectations on a subsequent~~
455 ~~review, they will initiate the Formal Review process below and notify the faculty member. If a~~
456 ~~formal review is initiated, the statement and response will become part of the formal review~~
457 ~~dossier.~~ **b. Formal Third-Year Reviews.** ~~This process applies to associate and full professors~~
458 ~~who undergo a formal third-year post-tenure review. The department or unit head will convene a~~
459 ~~faculty personnel committee (if one does not already exist in the department or unit) that will~~
460 ~~review a faculty member's work in relation to the unit-level post-tenure review criteria, or the~~
461 ~~criteria in Section 38. If unit-level policies require a vote, the tenured department faculty with the~~
462 ~~same or higher rank, not including the candidate, will vote to endorse the committee's report and~~
463 ~~recommendation. The department or unit head will write a separate report in light of the~~
464 ~~materials gathered and the faculty committee's report and, if required, the faculty vote. The~~
465 ~~department or unit head will meet with the faculty member and will provide a copy of the head's~~
466 ~~report and the redacted faculty committee's report. The faculty member will have 10 business~~
467 ~~days from the date of the receipt of the report to provide responsive material or information,~~
468 ~~which shall be included in the evaluation file. These will be reviewed by the dean and the Office~~
469 ~~of the Provost. If there is consensus between the head, dean, or and Office of the Provost result~~
470 ~~of the review is to recommends to implement~~ a development plan, then the head and faculty

471 member will develop one in consultation with the dean to be approved by the Office of the
472 Provost (Section 37).

473
474 **Section 31. Sixth-Year Review.** Only full professors will have sixth-year post-tenure reviews,
475 which will be ~~Tenured bargaining unit faculty members will have a review~~ in the sixth year
476 following promotion to full professor or ~~six years after their previous a~~ sixth-year post-tenure
477 review.

478
479 **Section 32. Sixth-Year Review Period.** The review period will include all work accomplished
480 during the previous six years, taking into account any leaves and resulting clock stoppages
481 (Section 7).

482
483 **Section 33. Initiating the Sixth-Year Review.** To initiate the review process, the department or
484 unit head or designee will contact the bargaining unit faculty member during the fall term of the
485 year in which the review will take place and request the following:

- 486
- 487 1. **Criteria:** Criteria for sixth-year post-tenure reviews will be as specified in Section 38
488 below unless the department or unit has approved post-tenure review criteria. If the
489 review criteria have changed during the six years prior to the review, the faculty member
490 may elect either the earlier or current set of criteria.
 - 491
492 2. **Curriculum vitae:** A comprehensive and current curriculum vitae that includes the
493 faculty member's current research, scholarly, and creative activities and
494 accomplishments, including publications, appointments, presentations and similar
495 activities. This document should clearly differentiate between accomplishments that
496 occurred during the review period and those that did not.
 - 497
498 3. **Personal statement:** A 3-6 page personal statement developed by the bargaining unit
499 faculty member ~~explaining how their provided material relates to demonstrates meeting~~
500 ~~or exceeding evaluating their performance measured against~~ the applicable ~~unit-level~~
501 criteria for post-tenure review. The personal statement should expressly address the
502 subjects of teaching; scholarship, research, and creative activity; service contributions to
503 the academic department, center or institute, school or college, university, profession, and
504 the community; and contributions to diversity, equity and inclusion.
 - 505
506 4. **Sabbatical report:** A report of the accomplishments and benefits resulting from
507 sabbatical, if applicable.

508
509 **Section 34. Department or Unit Head's Role.** The department or unit head or designee will
510 obtain and place in the evaluation file copies of summary reports drawn, as appropriate, from the
511 system of ~~teaching student~~ evaluation ~~of teaching evaluation~~ that was in effect prior to Fall 2019
512 and the Student Experience Surveys that were effective as of Fall 2019. The file must also
513 include a recent peer evaluation of the bargaining unit faculty member's teaching. Peer teaching
514 reviews should be aligned with the university-wide teaching standards as established by the
515 University Senate.

516
517 Once the department or unit head has obtained all of the appropriate documents and information,

518 they will establish a committee of full professors and provide the committee with access to the
519 documents and information. The faculty committee will prepare a report and a recommendation
520 regarding the outcome of the review. The report and recommendation will be reviewed by the
521 committee who will vote on the recommendation. The department or unit head or designee will
522 then:

- 523
- 524 1. Obtain a report from the faculty committee including an assessment of the bargaining
525 unit faculty member's performance, a recommendation regarding the outcome of the
526 review, and the results of the faculty vote; and
- 527
- 528 2. Prepare their own ~~independent an~~ evaluation ~~based on their own judgment~~ of the
529 bargaining unit faculty member's performance ~~that takes into account the committee~~
530 ~~report and departmental discussion consistent with Section 9~~; and
- 531
- 532 3. Provide the department or unit head's report to the bargaining unit faculty member and
533 allow them 10 days from the date of the receipt of the report to provide responsive
534 material or information, which shall be included in the evaluation file; and
- 535
- 536 4. Submit the evaluation file to the appropriate dean.
- 537

538 If a department or unit has or develops a policy or practice of providing the report of the faculty
539 committee to the bargaining unit faculty member, the department or unit head shall do so.

540

541 **Section 35. Dean's Role.** The dean will review the file and may consult with appropriate persons
542 and may obtain and document additional relevant information. Once the dean deems the file
543 complete, they will prepare a separate report and independent recommendation. The dean will
544 share their written report and recommendation with the bargaining unit faculty member, redacted
545 as appropriate, and allow them 10 ~~14~~ days from the date of receipt of the report to provide
546 responsive material and information, which shall be included in the evaluation file. The dean will
547 then submit the complete evaluation file to the Office of the Provost.

548

549 **Section 36. Provost's Role.** The Provost or designee will consider the cumulative evaluations
550 received from the faculty committee, the department or unit head, and the dean.

551

552 If the Provost or designee concludes that the bargaining unit faculty member's performance
553 meets or exceeds expectations in all areas of a sixth-year review, the bargaining unit faculty
554 member will receive an increase in their base salary per Article 26.

555

556 **Section 37. Development Plans.** If the Provost concludes that the bargaining unit faculty
557 member's performance does not meet expectations in one or more areas, the dean and the
558 department or unit head shall consult with the bargaining unit faculty member and shall
559 recommend to the Provost a development plan for demonstrable improvement in the area(s) at
560 issue. The goal of the plan is to put the faculty member on track to meet expectations in that area
561 or areas at their subsequent review. The development plan should be implemented no later than
562 the first term of the academic year following the review. Development plans may require
563 adjustment of professional responsibilities (e.g., reduced service or teaching in order to support
564 more research) and must specify a follow-up review timeline.

565
566 If a faculty member has a development plan, the criteria in the area(s) specified in the
567 development plan will be in effect for those areas of the subsequent review. If the faculty
568 member does not meet expectations in the specified area(s), the Provost may reduce or reassign
569 the faculty member's FTE associated with the specified area(s) or may establish a new
570 development plan or both. If the faculty member's FTE is adjusted, future reviews will reflect
571 the adjustment of duties.

572
573 A bargaining unit faculty member who has had their FTE or duties adjusted as the result of an
574 unsuccessful development plan may elect to have their standard workload restored if, on a
575 subsequent post-tenure review, they meet or exceed expectations in the areas in which the faculty
576 member had previously been determined not to have met expectations. If the faculty member
577 meets or exceeds expectations as outlined in the unit policies, they may, if they so choose,
578 resume their standard workload the Fall following the year the post-tenure review was initiated.

579
580 **Section 38. Post-Tenure Review Criteria.** Review criteria for third- and sixth-year post-tenure
581 review are as follows, unless a department or unit has an approved unit-level policy establishing
582 their own post-tenure review criteria through the process specified in Article 4.

583
584 In cases where a tenured faculty member has a workload other than the standard tenure-track
585 workload in the department or unit (e.g., with larger teaching and smaller research FTE, or vice
586 versa) or is working under a development plan, the standard for meeting expectations in a third-
587 or sixth-year review will be established by these alternate arrangements and informed by the
588 unit-level policy and the guidelines below. *[moved up from below]* Each of the three areas below
589 should include contributions in teaching, research, and service that demonstrably promote
590 diversity, equity, and inclusion.

- 591
592 1. **Teaching:** Teaching standards as established by the University Senate.
- 593
594 2. **Research, scholarship, creative, and artistic achievement:** In general, research,
595 scholarship, and creative achievement is demonstrated in the following categories. Each
596 category applies in a given case only if that category is specified in the unit promotion
597 and tenure policy. The standards of evaluation, unless otherwise specified by the unit
598 policy, will be the standards established for promotion to full professor. Some categories
599 to be considered include:
- 600 a. publications and/or creative activities of significance and;
 - 601 b. externally funded research;
 - 602 c. patents, intellectual property developed; technologies licensed, companies spun-
603 off;
 - 604 d. adoptions of research innovations by other researchers, organizations, or the
605 public;
 - 606 e. research awards and prizes;
 - 607 f. membership in the national academies or other selective research societies;
 - 608 g. research in progress and substantially planned work (including grant proposals);
 - 609 h. translational research or scholarship that influences public policy or contributes to
610 societal benefits;
 - 611 i. participation in conferences, conventions, seminars, and professional meetings;

- 612 j. professional peer review, holding office in academic and professional
613 organizations, serving on committees and/or on editorial boards;
614 k. association with organizations and groups that will result in professional
615 improvement of the faculty member and bring recognition to the university;
616 l. research or professional consultation for federal agencies, foundations, or other
617 research sponsors;
618 m. recognized evidence of scholarly and professional visibility, such as special
619 awards, scholarly citations, and the republication of work;
620 n. scope and depth of scholarship as revealed in public lectures, book reviews, and,
621 in special circumstances, discussions;
622 o. works of art, such as painting, sculpture, design, planning, musical composition,
623 poetry, fiction, drama, dance, photography, and film disseminated or exhibited in
624 recognized venues of quality and distinction;
625 p. public performances: musical recitals, concerts, conducting, theater performance
626 and production, dance performance and production, radio or television production
627 disseminated/exhibited in recognized venues of quality and distinction;
628 q. public recognition: exhibitions, commissions, acceptance of work for permanent
629 collections, awards.
630

- 631 3. **Service:** Consistent with promotion to full professor as specified in the collective
632 bargaining agreement, senior faculty are expected to engage in significant service
633 demonstrating leadership and commitment both within and outside the candidate's
634 department or unit. Service must include some of the following:
635 a. leadership in academic and administrative roles:
636 i. academic program area or departmental administration and curriculum;
637 ii. personnel and policy committees or activities;
638 iii. college or school administration and committees or activities;
639 iv. university or state system administration and committees or activities.
640 b. service and activities on behalf of the larger community (local, state, national, and
641 international governmental bodies, NGOs, etc.);
642 c. academic contributions to community activities, either as an individual or as a
643 representative of the university;
644 d. service to professional and disciplinary organizations;
645 e. academic service on behalf of the public interest.
646

647 *[moved up for clarity]* ~~4. Contributions in teaching, research, and service that demonstrably~~
648 ~~promote diversity, equity, and inclusion.~~