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

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

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

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

27  
28 **Career Faculty Review and Promotion**

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

33  
34 **Section 2. Policies and Procedures.** Each department or unit that employs Career faculty will  
35 maintain unit-level policies for Career faculty review and promotion in accordance with Article  
36 4.

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39 **Career Faculty Performance Reviews**

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

48 ~~p-Performance reviews, also allow~~ supervisors of Career faculty members with a position  
49 description ~~to shall collaborate with those Career faculty members on keeping to keep the~~  
50 position description up to date as an accurate reflection of the position. Performance reviews  
51 shall consider any lack of resources necessary to the performance of professional responsibilities  
52 that were identified in previous workload discussions (Article 17, Section 3). ~~account for any~~  
53 ~~lack of support and services necessary to the performance of professional responsibilities.~~  
54 ~~Bargaining unit faculty members who have not received from the University the material support~~  
55 ~~and services to perform their professional responsibilities shall be held harmless for those~~  
56 ~~particular professional responsibilities in performance review and promotion processes.~~

#### 57 58 **Section 4. Performance Review Timing.**

- 59
- 60 a. Career instructional faculty will have a performance review each year for the first three  
61 years of their employment and at least once every three years thereafter (academic years  
62 for 9-month appointments and fiscal years for 12-month appointments). The three-year  
63 schedule is reset after a successful promotion or continuous employment review.  
64
  - 65 b. Career research faculty will have a performance review annually, which will also serve as  
66 the basis for distributions if a merit pool is agreed to in Article 26.  
67
  - 68 c. Performance reviews may take place out of cycle when a department or unit head has  
69 identified or become aware of performance problems. The department or unit head shall  
70 meet with the Career faculty member to discuss areas of concern and evaluate whether a  
71 formal out-of-cycle performance review or performance improvement plan (Section 6.e)  
72 is warranted. Nothing in this Article changes the process for addressing poor performance  
73 for funding-contingent faculty set forth in Article 16, Section 18.  
74

75 **Section 5. Performance Review Period and Criteria.** Reviews will consider the Career  
76 bargaining unit faculty member's performance since their last review. Career faculty members  
77 will be evaluated only by the criteria approved and made available to them. If the criteria have  
78 changed since their previous review, the faculty member must choose either the earlier or current  
79 set of criteria.  
80

#### 81 **Section 6. Performance Review Process.**

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

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

96  
97 ~~i.—When the review is used in conjunction with a salary determination (i.e., merit),~~  
98 ~~the performance review must include a determination whether of if the Career~~  
99 ~~faculty member meets, exceeds, or does not meet expectations in each of their~~  
100 ~~assigned duties.~~

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

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

122  
123 If that follow-up progress assessment, which may be a performance review, determines  
124 that the Career faculty member still does not meet expectations in one or more of the  
125 assigned duties previously identified as areas of concern, that Career faculty member may  
126 be subject to layoff (Article 16, Section 12.a.).  
127  
128

## 129 Career Promotion Reviews

### 130 General Career Promotion Review Considerations

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

137  
138 **Section 8. Credit for Prior Service.** Bargaining unit faculty members reclassified or hired into  
139 Career positions from pro tem positions shall receive credit towards promotion for all faculty

140 employment at 0.5 annualized FTE or greater, provided they have met expectations when  
141 reviewed. ~~Bargaining unit faculty members at 0.5 annualized FTE or greater who have met~~  
142 ~~expectations in the pro tem position at their most recent review reclassified from Pro Tem to~~  
143 ~~Career positions may shall receive credit towards promotion when appropriate. to the same~~  
144 ~~extent that they would have received credit had they been classified as Career faculty. for the~~  
145 ~~number of years employed as Pro Tem faculty.~~ When a bargaining unit faculty member receives  
146 credit for prior service ~~is agreed upon~~, the terms of hire or reclassification will state the number  
147 of years of credit granted for comparable work, specific review considerations, and the earliest  
148 date for promotion eligibility. ~~Bargaining unit faculty members reclassified from Pro Tem to~~  
149 ~~Career positions will receive credit towards promotion for the number of years employed as Pro~~  
150 ~~Tem faculty.~~

151  
152 **Section 9. Reapplication for Promotion.** An unsuccessful candidate for promotion may  
153 continue employment at their current rank as long as eligible to do so under this Agreement.  
154 Career faculty bargaining unit members who are denied promotion may reapply for promotion  
155 after having been employed by the university for an additional three years or longer at an average  
156 of 0.5 annualized FTE per year, accrued at no greater than three terms per academic year for  
157 bargaining unit faculty on 9-month appointments, and at four terms per year for bargaining unit  
158 faculty on 12-month appointments.

159  
160 **Section 10. Appeal of Promotion Denial.** Faculty who are denied promotion may appeal the  
161 decision through the procedures in Article 21, Tenure and Promotion Denial Appeal.

162  
163 **Section 11. Withdrawal of Application.** A candidate may withdraw an application for  
164 promotion in writing to the Provost and the dean at any time before the Provost's decision.

### 165 166 167 **Career Instructional Promotion Reviews**

168  
169 **Section 12. Eligibility for Promotion.** Career instructional faculty may elect to initiate the  
170 promotion process when eligible to do so. Career faculty members will be eligible for promotion  
171 after accumulating six years of employment less any credit for prior service granted (Section 8)  
172 as a faculty member at or above an average of 0.5 annualized FTE over ~~the~~ six years, accrued at  
173 no greater than three terms per academic year for bargaining unit faculty with 9-month  
174 appointments, and at four terms per year for bargaining unit faculty with 12-month  
175 appointments. The six years of employment do not have to be consecutive.

- 176  
177 a. Career instructional faculty members who will have completed five years of employment  
178 as a Career faculty member at or above 0.5 annualized FTE per year may initiate the  
179 promotion process in the Spring term of the fifth year if they have an expected  
180 appointment of 0.5 annualized FTE or greater for the sixth year.
- 181  
182 b. Career instructional faculty members who have completed more than five years of  
183 employment as a Career faculty member at or above 0.5 annualized FTE per year may  
184 initiate the promotion process in the Spring term of any year.

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

189  
190 d. Career instructional faculty members who have achieved promotion must wait at least  
191 **five** ~~six~~ years before initiating the promotion process again (**for a promotion review in the**  
192 **subsequent year**), regardless of the number of accumulated years of employment.

193  
194 **Section 13. Review Period and Election of Criteria.** The promotion review period for a Career  
195 instructional bargaining unit faculty member will be the time in their current classification and  
196 rank, with emphasis on the six most recent years.

197  
198 The bargaining unit faculty member will be reviewed for promotion relative to the criteria in  
199 effect when the review period began. If the criteria have changed since their hire or previous  
200 review, the faculty member must choose either the earlier or current set of criteria.

201  
202 **Section 14. Initiating the Promotion Process.** Career instructional faculty wishing to be  
203 considered for promotion should notify the appropriate department or unit head in the Spring  
204 term prior to the year when promotion is sought, and must provide the following **materials by**  
205 **Fall of the review year**:

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

- 232 ● **Service portfolio (if applicable):** Evidence of the bargaining unit faculty member’s  
 233 service contributions to their academic department, center or institute, school or college,  
 234 university, profession, and the community, such as op ed pieces, white papers authored or  
 235 co-authored by the faculty member, commendations, awards, or letters of appreciation.  
 236 The service portfolio may also include a short narrative elaborating on the faculty  
 237 member’s unique service experiences or obligations.  
 238
- 239 ● **Professional development statement (if applicable):** A statement that provides a short  
 240 narrative elaborating on the professional development activities of the bargaining unit  
 241 faculty member related to their job duties.  
 242
- 243 ● **Professional activities portfolio (if applicable):** A comprehensive portfolio of  
 244 professional or consulting activities related to their discipline.  
 245
- 246 ● **Internal and/or external reviewers (if applicable):** A list of qualified internal and/or  
 247 external reviewers provided by the bargaining unit faculty member.  
 248

249 **Section 15. Waiver of Access to Materials.** Bargaining unit faculty members may choose to  
 250 waive in advance in writing their access to see any or all of the evaluative materials. Such  
 251 waivers, however, shall not preclude the use of redacted versions of these documents in a denial  
 252 review process. The redacted versions are intended to protect the identity of the reviewer. If  
 253 redactions are insufficient to do so, the University may prepare a suitable summary. A waiver  
 254 will be included in the promotion file.  
 255

256 **Section 16. Notice of Meetings.** A bargaining unit faculty member will receive at least three  
 257 business days’ notice of any meeting or hearing which the member is invited or required to  
 258 attend, with a dean, vice provost, or the Office of the Provost regarding recommendations or  
 259 decisions on promotion. The bargaining unit faculty member may have a colleague or Union  
 260 representative present at the meeting as an observer.  
 261

262 **Section 17. Evaluation file.** The promotion review file should generally include the following  
 263 information:  
 264

- 265 ● Statement of duties and responsibilities
- 266 ● Curriculum vitae
- 267 ● Conditions of appointment
- 268 ● Criteria for promotion
- 269 ● Personal statement
- 270 ● Supervisors’ letters of evaluation
- 271 ● Professional activities portfolio (if applicable)
- 272 ● Teaching portfolio (if applicable)
- 273 ● Scholarship portfolio (if applicable)
- 274 ● Service portfolio (if applicable)
- 275 ● Professional development statement (if applicable)
- 276 ● Internal and/or external reviews (if applicable)
- 277 ● Department or unit committee recommendation

- 278 ● Department, unit, center, or institute head’s recommendation (if applicable)
- 279 ● Vice president’s, dean’s, or director’s recommendation
- 280 ● Waiver of access to materials (if applicable)

281  
282 **Section 18. Review by Department or Unit.** The department or unit head or designee should  
283 solicit any internal and/or external reviews, as applicable. A department or unit committee will  
284 review the file and make a recommendation to the department or unit head. The department or  
285 unit head will then prepare an explanation of the merits of the promotion case and a  
286 recommendation on the case. The report will include the department or unit-level promotion  
287 committee report and recommendation and a voting summary, and the department or unit head’s  
288 own independent recommendation. The file will then be sent to the appropriate vice president,  
289 vice provost, dean, or director for review.

290  
291 **Section 19. Review by Vice President, Vice Provost, Dean, or Director.** The vice president,  
292 vice provost, dean, or director, as appropriate, will review the file, and may consult with  
293 appropriate persons and ~~may~~ ask for and document additional non-confidential information.  
294 Once the vice president, vice provost, Provost, dean, or director deems the file complete, they  
295 will prepare a separate memorandum and recommendation.

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

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

316  
317 **Section 21. Assumption of New Rank.** Successful candidates for promotion will assume their  
318 new rank beginning with the next academic or fiscal year or the nearest next term of employment  
319 should their appointment not begin with fall term.

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

329

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

333

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

336

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

340

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

345

346 ● **Curriculum vitae or resume:** A comprehensive and current curriculum vitae or resume  
347 that includes the bargaining unit faculty member's current research, scholarly, and  
348 creative activities **and accomplishments**, including publications, appointments,  
349 presentations, and similar activities and accomplishments, **as applicable.**

350

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

356

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

360

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

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

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

**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

416 deems the file complete, they will prepare a separate memorandum with a recommendation.  
417

418 If the vice president, vice provost, dean, or director's assessment differs from that of the  
419 department or unit committee or the department or unit head, the memorandum and  
420 recommendation will provide an explanation of the reasons underlying their judgment.  
421

422 The vice president, vice provost, dean, or director will share their memorandum and  
423 recommendation with the candidate and notify the candidate that they may provide responsive  
424 material for the file within 10 days from the date of receipt of the memorandum. This response  
425 shall be included in the evaluation file. The vice president, vice provost, dean, or director then  
426 will submit the complete evaluation file to the Office of the Provost.  
427

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

438  
439 **Section 31. Assumption of New Rank.** Successful candidates for promotion will assume their  
440 new rank beginning with the fiscal year following notification of their promotion, or other date  
441 as approved, by the Office of the Provost, whichever comes first.  
442

#### 443 **Career Continuous Employment Reviews**

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446 **Section 32. Purpose.** The primary function of Career Continuous Employment Reviews is to  
447 foster continued professional growth and reward excellence. Career Continuous Employment  
448 Reviews are optional.  
449

450 **Section 33. Eligibility.** To be eligible for a Career Continuous Employment Review, a  
451 bargaining member must satisfy the following:  
452 a. Must have a Career appointment in a single-rank category or at the highest rank in their  
453 category; and,  
454 b. Must have an annualized 0.5 FTE or greater; and,  
455 c. Must have accumulated six years of service at 0.5 FTE or greater, as measured from their  
456 appointment in the single-rank category, since achieving promotion to the highest rank in  
457 their category, or since their most recent Career Continuous Employment Review.  
458

459 **Section 34. Process.** To initiate the Career Continuous Employment Review, the eligible  
460 bargaining unit faculty member must notify their department or unit head consistent with Section  
461 14 or 24, as appropriate. Continuous employment reviews for Career faculty will generally

462 mirror the scope and process for Career instructional or Career research promotion reviews to the  
463 highest rank. If the final 'Review by the Office of the Provost' (Section 20 or 30 equivalent) in a  
464 Continuous Employment Review determines that the bargaining unit faculty member's  
465 performance in all categories meets ~~or exceeds~~ expectations, the bargaining unit faculty member  
466 will receive an increase to their base salary per Article 26. ~~Senior Instructor IIs and Senior~~  
467 ~~Lecturer IIs that exceed expectations in all categories on a Career Continuous Employment~~  
468 ~~Review may be nominated by their dean to be considered by the Provost for the Distinguished~~  
469 ~~Teaching Professor award under Appendix 4.~~