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I. OVERVIEW

This communication defines academic positions (Section II), describes the principles of two-level review (Section III), outlines the steps necessary for receiving approval to create or refill academic positions (Section IV), and, if granted, the subsequent steps required to secure approval to hire the chosen candidates for the approved positions (Section V). With respect to the latter, this Communication explains when prior Provost’s Office approval is required before an offer may be extended to a candidate (Section V.A) and when that approval is not required (Section V.B). Additionally, there are specific processes that govern certain types of appointments and these are identified and set forth in Section V. Finally, this Communication provides information regarding additional academic hiring policies, procedures and programs. (Section VI)

Academic appointments are positions in the following four employment categories:

- Tenure system faculty (assistant, associate, and full professors)
- Specialized faculty (“other academics”)
- Academic professionals
- Academic hourly employees

In addition to academic appointments, the campus also has civil service employees and student employees (including graduate student employees). Civil service positions support the mission of the University of Illinois by providing service and expertise in numerous areas of employment including professional, paraprofessional, clerical, technical, services, and crafts/trades. The State Universities Civil Service System (SUCSS) rules govern employment of the civil service employment group at the University of Illinois and other Illinois public institutions of higher education. SUCSS sets the minimum education and experience qualifications for all civil service positions. The civil service employment category is not addressed in this communication.

Student employees are exempt from the civil service system. Undergraduate student employment is overseen by the Office of Student Financial Aid and is not addressed in this communication. Graduate student employment (graduate assistants, teaching assistants, research assistants, and graduate hourly employees) is also not addressed in this communication, other than in the context of the discussion of two-level review.

All tenure system faculty and specialized faculty positions are deemed automatically exempt from civil service classifications under the 36e(4) exemption criterion stated in the SUCSS rules. The SUCSS rules mandate, however, that each academic professional position be individually exempted. We describe this exemption process in Section IV.B.
All academic appointments are authorized by the Board of Trustees (BoT) upon the Recommendation of the President; thus a recommendation for such an appointment must be forwarded from the Provost through the appropriate reporting channel. In most cases, the President entrusts the initial processing of academic appointments to the campus Chancellors. On this campus, the Chancellor usually entrusts the Provost and Vice Chancellor for Academic Affairs to exercise administrative authority over the initial processing of academic appointments. The BoT, President and Chancellor retain their statutory responsibilities and authority even when administrative authority is delegated to another administrator as a matter of practice.

Appointments to tenure system faculty positions and key administrative positions require the positive recommendation of the President and direct approval by the Board of Trustees (BoT). BoT approval prior to the beginning date is required for all new tenure-system appointments. Attachment 1 provides the current BoT practice and process for submitting appointments to the BoT for approval. The process and procedural requirements set forth in Attachment 1 are subject to change by the BoT as it exercises its statutory authority over appointments.

Appointments to the non-tenure system faculty, most academic professional staff, and hourly academic appointments are approved by the President and reported to the BoT as informational matters. All cases submitted to the President’s Office for submission to the BoT (for approval or informational reporting) must be forwarded through the appropriate administrative channel and must carry the endorsement of the appropriate executive officers in that channel. This communication identifies the necessary campus approvals and appropriate procedures for each of the various categories of academic appointments. Contact the office of Academic Human Resources with any questions related to BoT approval of appointments.

II. DEFINITIONS OF ACADEMIC POSITIONS

This section defines three groups of academic positions – tenure system faculty, specialized faculty, and academic professional (AP) (including visiting academic professionals). In addition, title modifiers are also described in this section.

A. Tenure System Faculty

This category includes all tenured and tenure system faculty (assistant professor, associate professor and professor). These positions require a minimum of a doctorate degree or an appropriate terminal degree for the discipline. Faculty members teach, conduct research, and engage in service.

B. Specialized Faculty

This category includes all non-tenure system faculty: those holding modified professorial titles such as clinical, research, and teaching professors (assistant, associate and full); visiting unmodified professorial titles (assistant, associate, and full); lecturer; senior lecturer; instructor; senior instructor; and teaching, research and clinical associate. Postdoctoral research associates/postdoctoral fellows are also included in this category but differ from other positions.
in the category in terms of policies such as search requirements, sick leave, and membership in a union bargaining unit). Provost Communication No. 25, Employment Guidelines for Specialized Faculty provides guidance regarding the proper use of these specialized faculty titles and campus-level policies. Specialized faculty members with appointments of .51 FTE or greater, with the exception of appointments in the colleges of Law, Medicine, and Veterinary Medicine and postdoctoral research associates and fellows in any unit, are members of the bargaining unit represented by the Campus Faculty Association, Local 6546, IFT-AFT, AAUP and their employment is subject to the terms of collective bargaining agreements.

C. Academic Professional (AP) and Visiting Academic Professional (AP)

Academic Professionals (APs) and Visiting APs are employed to perform specialized administrative, professional, or technical service in accordance with Article IX of the University of Illinois Statutes, and are exempted from the State University Civil Service System. Academic Professional positions are not faculty positions and therefore have titles different from those faculty titles recognized in the University Statutes (http://www.uillinois.edu/trustees/statutes.cfm#sec911), Article II, Section 5; Article IX, Sections 3a, 3c, and 4a. Visiting APs are appointed for a temporary duration, and are subject to the terms of a collective bargaining agreement with the Visiting APs Association (AAP/IEA/NEA).

Academic professional and visiting academic professional positions require a minimum of a Bachelor’s degree. In contrast to civil service employment, candidates for AP positions are not required to fulfill a State of Illinois residency requirement.

D. Modifying Academic Titles

Certain modifiers can further define the type of appointment within and across each of the three academic employment categories. For example, a specialized faculty appointment may be a “clinical,” “research” or “teaching” professor appointment. Additionally, the level of an appointment (Assistant, Associate) may be indicated in the title or, in the case of instructors or lecturers, by the “senior” modifier. Academic appointments can be further distinguished by other characteristics such as the permanency of the position (e.g., Visiting, Interim, Acting), whether it is an administrative position, or the nature or percentage of appointment (e.g., 0% faculty appointments, affiliate appointments, etc.). Provost Communication No. 25 provides further guidance on the use of the visiting, adjunct, and senior modifiers for specialized faculty appointments.

E. Academic Hourly

Academic hourly employees require a Bachelor’s degree or higher. They are appointed on a temporary or intermittent basis and are paid bi-weekly for only the exact number of hours worked. If more than 40 hours are worked in any given calendar week, the employee earns overtime pay. An Academic hourly employees may not be a registered graduate student or undergraduate student at the University of Illinois. An academic hourly employee serves in one of the following general capacities: administrative, clinical, research, or teaching. For detailed information on this type of employment and requirements for offering an appointment, see
III. PRINCIPLE OF TWO LEVEL REVIEW

All academic appointments to permanent positions,¹ whether full-time, part-time, or 0%, including promotions, require prior approval at two administrative levels, including the level at which the appointment is proposed. The Appendix lists the campus units that must obtain approval from the Provost’s Office to satisfy the necessary two-level review.

A. Applicability and Procedures

Deans of colleges with academic departments must exercise prior approval of all permanent appointments, and they must endorse all proposed appointments that are transmitted to the campus for prior approval by the Provost. In such units, the department provides the first-level review and the dean’s office provides the second-level review.

Deans and directors of colleges without academic departments reporting at the campus level must receive the Provost’s prior approval for all appointments to permanent positions so that the requirement for two-level review is satisfied.

In all colleges, all permanent academic appointments involving the immediate staff of a dean or director require the Provost’s prior approval to satisfy the requirement for two-level reviews. Academic appointments are also made in the Office of the Chancellor and within the administrative domains of the vice chancellors. Each vice chancellor may provide the second level of review for appointments proposed in administrative subunits. The Chancellor provides the second-level review for appointments of officers reporting to the vice chancellors or within subunits reporting to the Chancellor.

B. Exclusions

Graduate assistant, research assistant, and teaching assistant appointments are exempt from the two-level review requirement.

Clinical, research, and teaching professor (assistant, associate and full); visiting unmodified professors (assistant professor, associate professor or professor); instructor or senior instructor;

¹ The term permanent is used extensively in this document as a simple label for appointments that do not carry the modifiers visiting, acting, or interim. It is a convenience without implication concerning the intended duration of a “permanent” appointment or the conditions for bringing an appointment to a close. Nothing in this policy is intended to modify the Board of Trustees’ rules on non-reappointment of persons holding these positions.
lecturer or senior lecturer; clinical, research, and teaching associate positions require two-level review for the initial appointment, but not for reappointment at the current title.

Deans of colleges with academic departments may delegate responsibility for graduate assistants, research assistants, teaching assistants, and visiting appointments of all kinds to the executive officers of the units. Deans and directors of colleges without academic departments are granted responsibility for the approval of appointments of graduate assistants, research assistants, teaching assistants, and visiting appointments of all kinds.

C. Review Process for Second-Level Review at the Provost Office

Second level review by the Provost is required for all appointments of faculty or academic professionals reporting to any individual who reports directly to the Provost. Principal examples are:

- Faculty in colleges without academic departments
- Associate deans, assistant deans, and other professional members of a dean’s staff
- Associate directors, assistant directors, and other professional members of a director’s staff
- Directors of administrative subunits in the Provost’s portfolio

The Provost acts without consultation unless tenure is involved, normally within 2 to 4 days after papers are received in the Office of the Provost. If tenure is involved, in the normal course, the Provost acts within 5 to 10 working days of receiving the proposed appointment. The “Transmittal for Cases Forwarded for Second Level Review” in Hiretouch should be used to seek approval at the next administrative level. (See Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically).

IV. APPROVAL PROCESS TO CREATE NEW OR RE-FILL EXISTING POSITIONS

A. Hiring Plans

Each summer, the Provost’s Office requests that unit executive officers prepare hiring plans for the next fiscal year. Hiring plans include creating new or re-filling existing academic professional and tenure system faculty positions. Typically, hiring plans are submitted in June, followed by the Provost’s Office response in July.

Hiring plans cannot anticipate all hiring in a coming year because throughout the year employees vacate positions that may need to be filled to meet operational needs. Additionally, at times it may be necessary to create new positions that could not have been anticipated at the time of the creation of the hiring plan. In such circumstances, units must submit the hiring request form as set forth in Section C.
B. PAPE Review Process: Academic Professional Positions Only

PAPE refers to the Principal Administrative Position Exemption form, which is required by the State Universities Civil Service System for academic professional positions. A PAPE form is required when requesting a new Academic Professional position or when refilling an existing Academic Professional position that has significant revisions to the title, duties, qualifications, or organizational relationship. A PAPE form is not required for filling a faculty position.

C. Hiring Request Form

Units are required to submit a Hiring Request form if seeking to create or fill a position that has not been approved as part of the unit hiring plan. The Hiring Request Form and process is completed electronically through the Hiretouch system (http://oeoa.illinois.edu/Hiretouch.html). All necessary approvals must be given before a unit may initiate hiring activity.2 Please note that the approval of the hiring request is in addition to any other approvals required by Provost’s Communications, Academic Human Resources for the PAPE, and the Office of Diversity, Equity and Access search process. There are varying levels of approval needed for Hiring Request Forms. Attachment 2 provides the approval required for the Hiring Request Form needed for specific types of hires. Approval by the Provost’s Office is required for the following:

- Faculty searches, including faculty administrators such as deans, associate deans, directors, department heads, and so forth.
- Faculty search waivers, including faculty administrators
- Academic professional searches
- Academic professional search waivers
- Creating new administrative positions with the following titles:
  - Directors
  - Assistants to heads, deans, directors
  - Assistant and associate deans and directors

Approval for the creation and use of the position is to be granted prior to any recruitment or appointment efforts.

D. Two-Level Review

Section III describes the requirement and procedures followed to satisfy the two-level review requirement.

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2 This requirement also applies to Civil Service employment, which, as noted previously, is not the subject of this communication. Civil Service hiring procedures are available on the Staff Human Resources website (http://shr.illinois.edu/). Assistance with Civil Service Employment issues should be directed to the Staff Human Resources Office – 333-3101.
V. PROCEDURES TO APPOINT A CHOSEN CANDIDATE IN AN APPROVED POSITION

Special Note: Please note the requirements governing recruitment of faculty and the content of offer letters is set forth in Communication No. 2. In particular, there are policies governing the timing of offers made to faculty members, whether tenured or untenured, at other CIC and AAU institutions as well as to intercampus recruitment within the University of Illinois. Unless letters of offer conform to the requirements in Communication No. 2, the appointments discussed in those letters will not be approved or processed by the university.

A. Appointments Requiring Prior Approval by the Provost

Before a formal offer to a candidate can be made, the Provost’s explicit approval is required if the proposed appointment involves any of the following elements:

1. Executive authority in any unit within the Provost’s portfolio (the Provost’s portfolio includes all colleges; schools; academic departments; institutes, centers and laboratories that report, directly or through a college, to the Provost’s Office; other academic programs; and administrative units reporting to the Provost) and executive authority in the institutes and centers reporting to the Office of the Vice Chancellor for Research;

2. The granting of tenure;

3. A named chair or professorship;

4. Full or partial recurring financing from campus funds;

5. Waiver of search in instances leading to faculty appointments;

6. Probationary (i.e., untenured) associate or full professors (“Q” appointees) and any professorial appointments with a special agreement waiving tenure (“W” appointments);

7. An academic professional appointment with an annual salary over $90,000;

8. Appointment of a University retiree or State Universities Retirement System (SURS) annuitant in an academic job with the few exception of zero percent time/non-salaried appointments. See http://www.ahr.illinois.edu/units/hrprocesses/hiring_retiree.html;

9. Faculty with pay on loan to another institution for a limited period (excluding paid sabbatical leaves or unpaid leaves of absence);

10. Change in tenure/tenure track faculty affiliation (budgeted joint appointment or transfer of tenure home unit(s))
11. Any other appointments, as needed, to preserve the principle of two-level review (see below) and those appointments in the Provost Office administrative domain requiring prior approval by the Board of Trustees (see Attachment 1 in this Communication)

All cases submitted for review by the Provost must be forwarded through the appropriate administrative chain and must carry the endorsement of the appropriate dean or director in that chain.

Separate sections below describe special considerations involved in each of the appointment categories listed above and define the supporting material needed for campus-level review. Some appointments may involve more than one of the categories. For example, a full professor might be recruited from outside the campus for appointment as a department head. In such instances, the supporting material for each relevant category must be furnished for the campus-level review, because the appointment will be considered in each of its aspects.

The need for prior approval is defined not by the listed categories of appointments, but by the preceding list of eleven critical elements. Occasionally, for example, campus financing might be furnished for an assistant professorship, or a waiver of search might be needed in an unusual circumstance. In such cases, the Provost’s approval must be obtained.

B. Appointments that Do Not Require Prior Provost’s Approval

A unit may create or fill existing academic positions in the following circumstances without Provost’s Office approval (unless the Provost’s approval accomplishes second-level review):

1. Positions that are funded completely from non-institutional funds, including auxiliary and self-generating funds, in the following categories:
   - Clinical, research and teaching professor ranks (without the adjunct modifier)
   - Academic Professional positions, including those with the Visiting modifier
   - Courtesy (0%) specialized faculty appointments for Academic Professionals

2. Appointments (regardless of funding source or title modifier) in the following categories:
   - Instructors, Senior Instructors
   - Lecturers, Senior Lecturers
   - Teaching, Research (including Postdoctoral) and Clinical Associates
   - Visiting Professorial ranks

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3Going forward, units should not be making 0% unmodified faculty appointments for academic professionals; rather such courtesy appointments for academic professionals should be in specialized faculty titles (e.g., Teaching Assistant Professor, Research Associate Professor, lecturer, etc). If a 0% unmodified faculty appointment for an academic professional is being sought, the Vice President for Academic Affairs requires that prior Provost approval be obtained.
3. **Courtesy appointments (0% faculty appointments and affiliate appointments) unless Provost’s approval accomplishes second-level review or the recipient of a 0% faculty appointment is an individual who does not currently hold a tenure system or specialized faculty appointment at Illinois.**

C. **Procedures for Executive Officer Appointments**

This Section refers to permanent executive officers of budgeted units within the responsibility of the Provost and Vice Chancellor for Academic Affairs and executive officers of institutes and centers reporting to the Office of the Vice Chancellor for Research. Interim or acting executive officers are addressed in Section V.D.

1. **Prior Provost’s Office Approval Required**

Permanent appointments to leadership posts are critical to the health of the campus. The qualifications of each proposed appointee and the procedures used in the search leading to that nominee must be reviewed by the Provost before a formal offer is issued for the following:

- Heads and chairs of departments
- Directors of schools and institutes organized within colleges
- Directors of institutes and centers reporting to the Office of the Vice Chancellor for Research
- Directors of centers and programs recognized in the campus budget
- Directors of administrative offices reporting to the Provost
- All appointments requiring direct approval of the Board of Trustees also require prior approval of the Provost, or in the case of units reporting to the Chancellor, prior approval of the Chancellor or designee.

All unit executive officer appointments must include an administrative increment in order to comply with Board of Trustees policy. (See Communication No. 2, “Required Prior Approvals for Executive Officer Appointments”.)

Certain administrative appointments internal to a budgeted unit do not require the Provost’s review except as required to satisfy the two-level principle. However, appointments not requiring prior approval of the Provost remain subject to guidelines and procedures of the Office of Diversity, Equity and Access.

2. **Review Process**

When prior Provost’s approval is required, no offer can be made to a candidate, internal or external, until the Provost’s approval has been given. When internal appointments are proposed, it may be possible to secure prior approval by telephone or electronic mail, especially if the Provost has been kept abreast of the search. If this route is followed, papers supporting the appointment still must be submitted for approval. For external appointments, no formal offer may be issued until written approval is received.
If tenure is proposed for a nominee from outside the campus, the consultative process described in Section V.C is used.

Normally the Provost’s review will be completed within 1-3 working days from the date that papers are received. Please note that prior Board of Trustees approval is required for executive office appointments listed in Attachment 1 and for new appointments to tenure-system faculty. Following acceptance of an offer by a candidate, appointments must be submitted to Academic Human Resources at least one month before the Board of Trustees meeting preceding the proposed appointment start date. Hiring units should consult the specific deadlines for processing tenure-system faculty appointments found on the Academic Human Resources webpage, http://www.ahr.illinois.edu/InstructionsBOT.pdf. Tenure-system faculty appointments may not begin until approved by the Board of Trustees.

3. Documentation

Please refer to Transmittal for Executive Officer Appointments, provided in Hiretouch. Note that all Hiretouch transmittal forms referenced in this document are provided for informational purposes in Attachment 3. Those forms should not be transmitted via hardcopy, rather they should be electronically processed via Hiretouch.

D. Interim or Acting Executive Officer Appointments

This Section refers to temporary executive officers in budgeted units within the responsibility of the Provost and Vice Chancellor for Academic Affairs and executive officers of institutes and centers reporting to the Office of the Vice Chancellor for Research. Permanent executive officers are covered in Section V.C.

1. Definitions and General Provisions

Acting vs. Interim. The modifier “acting” applies when the executive post continues to be filled on a permanent basis, yet the permanent appointee is unavailable (e.g. because of extended travel, sabbatical leave, or illness). The modifier “interim” is used when the executive post is vacant on a permanent basis. In other words, an acting officer serves in the stead of a permanent appointee, but an interim officer serves through a period between permanent appointees.

Interim appointments provide important continuity in times of change and must be reviewed and approved by the Provost’s Office. Authority to name “acting” officers is delegated to the deans and directors within the limits of the requirement for two-level review.

Appointment is a fully formal process, involving the processing of an appointment, designation in the budget, and action by the Board of Trustees. The appointment process is used when the acting position is to be defined for an extended period, typically longer than two months, and there is a need to formalize some budgetary aspect, such as an administrative increment. Appointments require prior approval of the Provost using the documentary basis defined below.
**Designation** is an informal means for identifying leadership in short-term situations, typically a few days to two months, when there is no need to assign a budgetary increment and when there may not be a full transfer of authority. Executive officers, including deans, reporting directly to the Provost may designate acting officers as necessary for their own positions. Designations require prior approval only if they extend beyond 10 business days. A brief letter specifying the term of designation greater than 10 business days and the reason for it must be submitted for the Provost’s review. Deans and directors are encouraged to follow this same policy with respect to executive officers reporting to them.

2. **Appointments Requiring Prior Approval of the Provost**

The Provost must review the qualifications of each proposed appointee and approve the appointment before a formal offer is extended for the following appointments:
- Interim heads and chairs of departments
- Interim directors of schools, institutes, centers and programs including those reporting to the Office of the Vice Chancellor for Research
- Interim directors within administrative offices reporting to the Provost
- Designated acting deans or directors reporting to the Provost whenever the designation will apply beyond 10 business days

3. **Appointments Requiring Notification to the Provost**

- Formally appointed acting heads and chairs of departments
- Formally appointed acting directors of schools, institutes, centers and programs, including those that report to the Office of the Vice Chancellor of Research
- Formally appointed acting directors within administrative offices reporting to the Provost

4. **Review Process for Appointments Requiring Provost Approval**

Normally the Provost’s review will be completed within 1-3 working days from the date that papers are received. Please note that prior Board of Trustees approval is required for interim and acting dean appointments as listed in Attachment 1.

A formal offer of interim appointment should not be issued until the Provost’s approval has been obtained; however, the required prior consultation can often be carried out by telephone or electronic mail. Papers supporting the appointment must still be submitted for formal approval.

An offer of acting appointment requires only notification to the Provost.

5. **Documentation**

In general, interim and acting appointments are made internally. Units should use the “Transmittal for Executive Officer Appointments” found in Hiretouch to seek approval of interim and acting appointments. (See also Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically). In the rare case where a person external to the unit is appointed on an interim or acting basis, the documentation should follow the pattern given in Section V.C for a permanent executive officer appointed from outside the University.
E. Faculty Appointments with Tenure

1. Prior Approval by the Provost’s Office Required

A decision to grant tenure is among the most lasting and most important decisions made by a university. The campus must engage in careful review of the qualifications and the record of any person from outside the university who is proposed for a tenured appointment at the associate professor or professor level. Prior approval of the Provost must be obtained before any offer of this kind is issued. In these cases, the campus requires evidence justifying tenure that is comparable to the evidence required internally for the granting of tenure. In other words, the expectations of excellence described in Communication No. 9 apply fully to all such appointments.

2. Review Process

All nominations for appointments to which tenure is attached must be reviewed and approved pursuant to the process set forth in this section. The Provost solicits review and a vote of the off-cycle tenure review committee, composed of faculty members who currently or previously served on the Campus Committee on Promotion and Tenure. The off-cycle tenure review committee shall be constituted and charged annually by the Provost’s Office. When the consultations are complete, the Provost acts on the case and notifies the unit.

Normally the review of a faculty appointment with tenure by the Provost’s Office and off-cycle review committee will be completed within 5 to 10 working days after the papers are received in the Office of the Provost. An offer cannot be extended to a candidate until Provost’s Office approval has been given. Once such approval is obtained units may extend offers to candidates and must use the offer template letters attached to Provost’s Communication No. 2.

Proposed appointments to tenure-system faculty positions must be submitted to the Academic Human Resources immediately following acceptance of an offer by a candidate. Proposed appointments must be submitted to Academic Human Resources at least one month before the Board of Trustees meeting preceding the proposed appointment start date. Hiring units should consult the specific deadlines for processing tenure-system faculty appointments found on the Academic Human Resources webpage, http://www.ahr.illinois.edu/InstructionsBOT.pdf. Tenure-system faculty appointments may not begin until approved by the Board of Trustees.

If concerns arise about whether a proposed appointment should be approved after a positive recommendation by the off-cycle tenure review committee, the Provost shall apprise the college and the unit seeking the appointment and engage in a conversation regarding the concerns. Additionally, the Provost shall consult with the off-cycle tenure review committee regarding the concerns. All such consultations and reviews of a proposed appointment shall be driven by and respect our institutional commitment to excellence in hiring, academic freedom and shared governance.
Ultimately, the University Statutes provide that, “[i]n case a recommendation from a college is not approved by the chancellor/vice president, the dean may present the recommendation to the president, and, if not approved by the president, the dean with the consent of the Board of Trustees may present the recommendation in person before the Board of Trustees in session.” University Statutes, Art. III.3.d.

3. Documentation

The transmittal form for faculty appointments with tenure is found in Hiretouch and specifies the documentation required for appointments carrying tenure. (See also Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically). Communication No. 9 describes the required elements more fully and should be referred to for additional information. In general, the materials required for review of a new appointment involving the granting of tenure should meet the standards expected for promotion papers that would be used to justify tenure locally. It is not necessary for the papers to be placed in the same form that would be required for a local review; however the most important elements must be present, including:

- a complete, updated curriculum vitae
- evidence of teaching, including teaching evaluations if available
- research statement by the candidate
- an assessment of the quality, significance, and impact of the nominee’s research, service record, and impact
- an assessment of the nominee’s effectiveness as a teacher
- a critical evaluation of the nominee’s standing by appropriate external authorities

At least four external letters must be obtained, at least in part by solicitation from the unit, rather than completely by the nominee. If a unit recommends a tenured appointment on the basis of an open search, some of the letters normally would be obtained upon the candidate’s direct request to the evaluator. It is acceptable to include such letters in the supporting documents even though it would not in a local promotion case. A majority of the external letters, however, must be ones that were sought by the unit without the candidate’s intervention. In other words, the candidate must not be allowed to manage the review entirely.

Any request for appointment with tenure must be transmitted from the units through the appropriate channels, and must follow the same rigorous and thorough review process as normally used in the college, school, and department’s annual review of promotion and tenure. The documentation required here should prove useful for the required review at the college level.

F. Probationary (Untenured) Associate or Full Professors (“Q” Appointees), “W” Agreements

An initial, untenured appointment to a rank that normally carries tenure can be appropriate when a unit wishes to recruit a person from outside the University who has relatively senior standing in a field, but does not yet possess the record of particular achievement expected of a tenured faculty member on this campus. Prior approval by the Provost is required before an offer for
such an appointment can be made. See Communication No. 5 for a more comprehensive description of and process for making such appointments.

G. Procedures for New Academic Professional Appointments with Salaries Over $90,000

1. Prior Provost Approval Required

The President requires a specific review by the Chancellor or his or her designee in any case where an academic professional is considered for a salary above $90,000. The Provost is the Chancellor’s designee for this purpose. For continuing employees, this review occurs at the time when the annual budget is assembled. For new appointees, the Provost’s approval must be obtained for a salary over $90,000 before an offer is extended.

2. Review Process and Documentation

The executive officer who will supervise the nominee should submit Transmittal for New Academic Professional Appointments with Salaries over $90,000 found in Hiretouch (See also Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically). Normally the Provost’s review will be completed within 2 to 4 working days after papers are received in the Office of the Provost.

H. Guidelines for 0% Unmodified Faculty Appointments, 0% Specialized Faculty Appointments and Affiliate Appointments

Appointments for tenure system faculty members budgeted in another academic unit can either be 0% unmodified faculty appointments or affiliate appointments. Similarly, specialized faculty members holding such appointments in an academic unit can be granted either a 0% modified faculty appointments (e.g., 0% Research Professor) or affiliate appointments by other units. Academic professionals may hold 0% modified faculty appointments in academic units and may hold affiliate appointments in institutes, centers and laboratories. Institutes, centers and laboratories also may use affiliate appointments or 0% modified faculty appointments for associations with others outside the University. As discussed in more detail below, institutes, centers and laboratories may distinguish in their affiliate appointments between individuals who are designated as “Institute Faculty” and “Institute Affiliate” but the “Institute Faculty” appointments must only be extended to tenure system faculty holding budgeted appointments in another academic unit on campus. Units should have an internal written affiliate policy that delineates the circumstances under which appointments shall be offered. Each of these three different kind of “courtesy” appointments (0% unmodified faculty appointments, 0% modified faculty appointments, and affiliate appointments) is described more fully below.

1. 0% Faculty Appointments for Faculty Members and Specialized Faculty Members Holding Budgeted Appointments in Other Academic Units:

Academic departments and institutes, centers and laboratories may wish to extend 0% faculty appointments (modified or unmodified) to tenure system faculty members and specialized faculty members who are budgeted in another academic unit(s). These appointments are commonly referred to as “courtesy” appointments. Units typically confer a 0% time faculty
appointment when a faculty member or specialized faculty member has a significant and ongoing relationship to the research, teaching and/or service of the unit.

Individuals hold the same rank for a 0% time faculty appointment (modified or unmodified) as they hold in their home department. Specifically, tenure system faculty members hold 0% appointments in the appropriate unmodified professor title (assistant professor, associate professor, professor) that they hold in their home academic unit(s). Similarly, a 0% faculty appointment for a specialized faculty member shall be in the same modified professor title (e.g., 0% Research Assistant Professor, 0% Research Associate Professor) as held in his or her home academic unit. A unit’s bylaws should specify the rights and responsibilities that are attached to a 0% modified and unmodified faculty appointments.

If an individual has Graduate Faculty standing in his/her home department, then Graduate Faculty standing will also carry over to the department granting the 0% faculty appointment, subject to specific policies or limitations established by that unit regarding 0% faculty members’ privileges and responsibilities. If an individual does not have Graduate Faculty standing, then the rights and privileges of the individual relating to the conduct of thesis work will be determined by the department granting the 0% faculty appointment.

For purposes of promotion, only the faculty member’s or specialized faculty member’s home academic department(s) will be allowed a formal vote, but directors of institutes, centers and laboratories may provide input consistent with Provost Communication No. 9 and Provost Communication No. 26.

**Review Process and Approval Requirements**

Prior to offering a 0% time faculty appointment (modified or unmodified), the granting unit must notify the individual’s home department(s). The awarding of the 0% time faculty appointment requires a request by the faculty member, approval of the unit granting the appointment, and second level review by the appropriate administrative unit. In addition to satisfying these approvals, 0% faculty appointments (modified or unmodified) for individuals who do not currently have appointments with the University of Illinois must be submitted to and approved by the Provost’s Office. The “Transmittal for Provost’s Approval of 0% Faculty Appointments for Individuals Who Do Not Hold a University of Illinois Appointment” in Hiretouch shall be used to obtain Provost’s Office approval. The “Transmittal for Cases Forwarded for Second Level Review” in Hiretouch shall be used to obtain second level administrative approval. (See Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically).

When offering a 0% time faculty appointment (modified or unmodified), the unit should specify in writing the expectations associated with the position. Regular appointment channels are to be used when adding a 0% time modified and unmodified faculty appointment to an individual’s appointment. Either the department granting the 0% time faculty appointment or the staff member may unilaterally terminate the arrangement. 0% time faculty appointments do not entitle the holder to any formal notice of non-reappointment.

**Special Note Regarding 0% Unmodified Faculty Appointments for Academic Professionals:**

Unmodified 0% faculty appointments are reserved for tenure system faculty. Historically, academic units have been able to give 0% time unmodified faculty appointments to academic
professionals if approval was given by the Provost’s Office. With the creation of the Teaching Professor track, units will now be able to give 0% time specialized faculty appointments across the range of teaching, research and clinical professor tracks. Therefore, 0% time unmodified professorial appointments will no longer be approved for academic professionals.

2. Affiliate Appointments for Tenure System Faculty, Specialized Faculty Members or Academic Professionals in Institutes, Centers and Laboratories.

Institutes, centers and laboratories may offer an affiliate appointment to a tenure system faculty member, a specialized faculty member, and academic professionals holding appointments in other campus units, as well as to individuals outside the University. Units wishing to offer such affiliate appointments should have a formal written policy setting forth the requirements and expectations of affiliation, including a regular process of reviewing and discontinuing appointments. Units may choose to have different types of affiliate appointments based on the degree of engagement of the individual with the unit. For example, an affiliate appointment may carry the general designation as “Institute Faculty” or “Institute Affiliate.” “Institute Faculty” affiliate appointments shall only be given to tenure system faculty members holding an appointment in an academic unit on the Urbana campus. Per the Board of Trustee policy (1978), the affiliate position conveys no voting rights or tenure rights in the affiliated unit.

An affiliate appointment may or may not carry a percent of time. The appointment will be recognized on the staff member’s notification of appointment from the Board of Trustees either as a zero percent time appointment or a percentage appointment. If the affiliate appointment is at greater than 0% time, then a full-time employee will have a corresponding appointment percentage decrease in his or her home department. The individual’s percent time appointment with the University will be equal to the total percent time of appointment in the home department plus the percent time of appointment in the affiliate unit. A faculty member can maintain all of their tenure line in their home department even though they hold an affiliate appointment that is greater than 0% in another unit.

A unit may wish to contribute to the salary of the affiliate faculty member and may do so in the following ways:

- Transfer funds to the faculty member’s home department for a temporary “buy-out” of service.
- Award a greater than 0% time appointment in the affiliated unit, which will result in a corresponding percentage decrease in the faculty member’s home department. In such cases, it will be necessary for the two units and the Affiliate to agree to the length of the funding arrangement and the date that the home unit will resume the full funding of the staff member.

For purposes of promotion, only the faculty member’s tenure home academic department(s) will be allowed a formal vote, but directors of institutes, centers and laboratories may provide input consistent with Provost Communication No. 9.
Review Process and Approval Requirements
The awarding of an affiliate type appointment requires a request by the individual, prior notification to the individual’s home department(s), prior approval of the unit offering the affiliate appointment, and second level review by the appropriate administrative unit. For institutes, centers and laboratories embedded in colleges, second level review will most often be the Office of the Dean. For non-embedded institutes, centers, and laboratories, second level review is by the Office of the Vice Chancellor for Research. Units should use the “Transmittal for Cases Forwarded for Second Level Review” found in Hiretouch to seek second level administrative approval of affiliate appointments. (See also Attachment 3 for examples of the Hiretouch forms; forms must be submitted electronically). Units only may make offers of affiliate appointments that are contingent on obtaining these necessary approvals and must obtain these approvals in addition to the individual’s acceptance before an appointment is entered into Banner. When offering an affiliate appointment, the unit should specify in writing the expectations associated with the position. Regular appointment channels are to be used when adding an affiliate title to a staff member’s appointment. Affiliate appointments must be made on an annual basis pursuant to University Statutes, but units may choose to include in their policy the ability to offer a commitment to annually reappoint individuals to unpaid (i.e., 0%) affiliate appointments up to a maximum of five years. Either the unit granting the affiliate appointment or the appointee may unilaterally terminate the arrangement. The affiliate appointment does not entitle the holder to any formal notice of non-reappointment.

Special Notes Regarding Academic Unit Affiliate Appointments:

- Currently, some academic units have Department Affiliate appointments. In the future, we encourage academic units not to offer affiliate appointments but rather to use the 0% unmodified faculty appointment title when making appointments to faculty members who hold tenure system appointments in another academic unit or 0% modified faculty appointments when making appointments to specialized faculty members.
- The same rules apply to Graduate Faculty standing for academic unit affiliate appointments as apply for 0% faculty appointments, see above.
- The same rules regarding buying out an individual’s service from a home unit apply to funding of affiliate appointments in academic units as apply to non-academic unit affiliate appointments, see above. However, academic units should not make affiliate appointments of greater than 0% time. If an academic unit wishes to contribute to the salary of a faculty member on an on-going basis, it should create a budgeted joint appointment subject to Provost Communication Number 23. For purposes of promotion, only the faculty member’s or specialized faculty member’s home academic department will be allowed a formal vote, but directors of institutes, centers and laboratories may provide input consistent with Provost Communication No. 9 and Provost Communication No. 26.
- The title “Departmental Affiliate” does not designate faculty rank per se or carry any implications for tenure.
3. 0% Modified Faculty Appointments (i.e., Specialized Faculty Appointments) for Academic Professionals in Academic Units

Occasionally it is appropriate for persons who are fully salaried as academic professionals also to be granted 0% modified faculty appointments (specialized faculty appointments) in academic units. For example, such a specialized faculty appointment may be associated with a position that carries teaching or research responsibilities along with the operational or administrative duties of the academic professional component.

The critical elements are:

- That the individual possess legitimate qualifications for appointment as a specialized faculty member.
- That he or she will make identifiable contributions to the teaching or research program in the academic unit at a level of responsibility consistent with a specialized faculty appointment.
- That it is an academic unit that is bestowing the 0% modified faculty appointment (specialized faculty appointment) to the individual.

Deans or directors reporting to the Provost have authority to approve 0% appointments as teaching, research or clinical professors (assistant, associate or full), lecturers, instructors and teaching associates.

If an advertised position description contains a statement that the individual appointed will also hold a 0% specialized faculty title, then the advertisement should also describe what qualifications are needed, or preferred, to justify such a title. When the applicants are screened for the position, then those criteria must be applied to the screening process. A narrative statement concerning actual screening practices should accompany the paperwork forwarded to the campus.

If a letter from a department head or dean contains an invitation to accept a 0% specialized professorial appointment, it should describe the implications of that appointment, for example, that the position will not carry eligibility for tenure and that the title applies to assigned responsibilities. The extent of responsibilities should be discussed with a candidate prior to the extension of the offer letter, then should be stated explicitly in the department head’s or dean’s letter of offer.

Institutes, centers and laboratories that are not embedded in a college may not grant 0% modified faculty appointments to academic professionals who do not otherwise have a modified faculty appointment (specialized faculty appointment) in an academic unit. Institutes, centers and laboratories that are not embedded in a college, however, may extend such specialized faculty appointments to individuals who are otherwise employed on the Urbana campus in such an appointment. The rank and title of the 0% modified faculty appointments must be the same as held by the individual in his or her home academic unit.
VI. OTHER ACADEMIC HIRING POLICIES, PROCEDURES AND PROGRAMS

A. Certification of Oral English Proficiency

It is our policy that all faculty members must be orally proficient in English, except those who teach foreign languages in those foreign languages only. This policy applies to all individuals who supply classroom instruction and is designed to assure that instructors are adequately proficient in oral English before they are given instructional responsibilities. It also provides an institutional method for verifying that we are in compliance with State of Illinois Law 1516. The classification of “non-native English speakers” refers to any individual for whom English is not the native language, regardless of the country of origin (including the United States).

The following procedure must be followed to meet this requirement:

Pre-employment Evaluation: Before hiring, unit executive officers must certify that non-native English speaking instructors (e.g., assistant professor, associate professor, professor; teaching, research or clinical professor (assistant, associate, or full); instructor; senior instructor; lecturer; senior lecturer; or teaching, research or clinical associate, whether visiting or not) are orally proficient in English. Oral English proficiency can be determined in a number of ways, e.g., formal interviews, assessment of candidates by colleagues within the academic unit, and/or public presentations.

Certification of oral English proficiency must occur regardless of how the instructional appointment is being made, either through a traditional search or search waiver or as an appointment-in-excess of service for an existing employee. Thus, certification is done electronically via the following Hiretouch, Academic Human Resources, or Provost Office processes: Summary Form, Search Waiver Form, Service-in-Excess, TOP Traditional Search Form; TOP Waiver Form; Dual Career Faculty Waiver Form, and Faculty Excellence Waiver Form.

Continuing evaluation: Unit executive officers are strongly encouraged to monitor the oral proficiency in English of any non-native English speaking instructor on a continuing basis. They are also encouraged to discuss any problems that may arise regarding this issue with the person providing the instruction. Consultative assistance can be obtained from the Center for Innovation in Teaching and Learning and the Division of English as an International Language.

B. Guidelines for Use of Visiting and Adjunct Faculty Status

1. Policy Basis

The use of faculty titles and any modifiers applied to them is governed by the University’s Statutes and the campus guidelines set forth in this communication and in Communication No. 25.

The use of visiting and adjunct as prefixes to faculty ranks excludes eligibility for tenure. Therefore, care must be taken to assure that the person being appointed is a bona fide visitor or
adjunct appointee; these titles cannot be used merely as a means of avoiding the making of a tenure system or tenured appointment.

2. “Visiting” Prefix

“Visiting” may be used in the title of an otherwise unmodified professorial and an academic professional appointment when the appointment is likely to have a limited or temporary duration. New programs, programs with an identified budgetary or programmatic end, or new/expiring funding sources are just some examples of situations appropriate for appointments with the visiting designation. Visiting appointments may require the performance of services to the University and may therefore be salaried, but this need not always be the case.

The “visiting” modifier should not be used with modified professorial appointments (i.e., teaching or clinical professor appointments at any rank) or with instructor and lecturer appointments. Under limited appropriate circumstances, the “visiting” modifier may be used with research associate, teaching associate and research professorial titles. Units must consult with their college human resources office and obtain approval from Academic Human Resources to use the visiting modifier with a research or teaching associate appointment.

“Visiting” specialized faculty appointments (i.e., professorial titles, teaching associates and research associates) with a .51 FTE or greater, with the exceptions of appointments in the colleges of Law, Medicine, and Veterinary Medicine, postdoctoral research associates and fellows in any unit, and teaching associates in the University High School, are represented by the Campus Faculty Association, Local 6546, IFT-AFT, AAUP, and will be covered by a bargaining agreement between the Board of Trustees of the University of Illinois and the union. Teaching Associates in University High School with a .51 FTE or greater will be covered by a bargaining agreement between the Board of Trustees of the University of Illinois and the Uni Faculty Organization, IEA-NEA.

Visiting Academic Professional appointments are covered under a collective bargaining agreement between the Board of Trustees of the University of Illinois and the Visiting Academic Professionals/AAP-IEA-NEA union. The bargaining agreement applies only to visiting academic professional appointments.

3. “Adjunct” Prefix

The use of "adjunct" as a prefix to a faculty rank or specialized faculty title indicates that the position is not the individual’s primary position. "Adjunct" may be used in the title of a faculty or specialized faculty appointment when the individual has less than a .50 FTE (cumulative of all university appointments). The modifier "adjunct" is not used with academic professional titles. The individual to be appointed should be recognized in his or her field. Departments and units should exercise appropriate review procedures before making an adjunct appointment.

Please note that although there should be no “adjunct” appointments with a .50 FTE or greater, if any such appointments continue to exist, individuals in such appointments with the exceptions of appointments in the colleges of Law, Medicine, and Veterinary Medicine, postdoctoral research
associates and fellows in any unit, and teaching associates in the University High School, are
represented by the Campus Faculty Association, Local 6546, IFT-AFT, AAUP and will be
covered by a bargaining agreement between the Board of Trustees of the University of Illinois
and the union. Teaching Associates in University High School with a .51 FTE or greater will be
covered by a bargaining agreement between the Board of Trustees of the University of Illinois
and the Uni Faculty Organization, IEA-NEA.

C. Rehiring University of Illinois and Other State Universities Retirement System Retirees
State law, Board of Trustee policy, and campus guidelines regulate the appointment of
employees who have retired from the University of Illinois or who have retired under the State
Universities Retirement System (SURS). All appointments of SURS annuitants or University
retirees must be approved at a campus level through a Retiree Rehire Form prior to work
commencing. Further detail can be found at
http://www.ahr.illinois.edu/units/hrprocesses/hiring_retiree.html and
http://www.ahr.illinois.edu/forms/RetireeRehireInstructions.pdf.

D. Special Recruitments in Support of Institutional Priorities

1. Faculty Excellence Program
The program is designed to foster the recruitment of exceptional scholars who will enhance our
institution’s strategic goals and build on our reputation as a leading public research university.
The goal of the program is to attract leading faculty (associate or full professors) in strategic
research areas. These scholars should have a record of excellence in research, in teaching and
mentoring, and outreach and public engagement. Refer to Communication No. 4 for a more
comprehensive explanation of the program.

2. Dual Career Academic Couples Program
This program is designed to assist with the recruitment of academic couples in order to enhance
the ability of the campus to recruit and retain faculty members when the appointment or retention
of one person is contingent upon employment of another. Refer to Communication No. 8 for a
more comprehensive explanation of the program. For assistance with this program, units should
contact Academic Human Resources (when the secondary appointment being sought is a non-
faculty appointment) and the Associate Provost for Faculty Development (when the secondary
appointment being sought is a faculty or specialized faculty appointment).

3. Targets of Opportunity (TOP)
TOP is designed to support the recruitment of outstanding faculty members among groups that
are underrepresented in units on campus. Refer to Communication No. 7 for a more
comprehensive explanation of this program.

E. Named Faculty Appointments
Communication No. 6 covers named chairs and professorships.
F. Mid-Year Salary Increases

Salary increases ordinarily occur as part of the annual budget cycle, i.e., are effective August 16 at the beginning of the appointment year. Mid-year salary increases will not be approved except in limited and well-defined circumstances.

Examples of such circumstances include:

- responding to a demonstrable salary inequity within the employing unit when there are compelling reasons to make the adjustment outside the normal process;
- countering an immediate written offer to an employee either from outside the University or from another unit;
- recognizing a significant change in an employee's duties and level of responsibility.

In the latter case, a change in title is not in itself sufficient. There must be a real and clearly noticeable change in the position as of the date of the increase.

Requests for mid-year salary increases should be accompanied by a statement of justification and forwarded through the normal personnel approval channels (unit, college, or director of an independent campus unit) to the Office of the Provost.

G. Buy-Out of Appointments for Campus Led Initiatives

Faculty members play a critical leadership role in initiatives outside of their departments. Examples of this service include serving in a senate leadership position or as a Provost Fellow or one of many other campus funded activities requiring a significant commitment of time. Duties such as these require a dedicated effort and limit the faculty member’s ability to continue their teaching duties at the same level as they had prior to this service. Departments should not incur additional costs as a result of the service of their faculty. To encourage a department to release the service of a faculty member for a common good, the campus will reimburse the department for costs incurred during this service. Although the campus will generally not reimburse the department for the percentage of the released time, there might be unusual circumstances where such an arrangement is appropriate.

Occasionally, faculty and administrators in colleges and departmental administrative positions are asked to serve in a campus-wide role for a period of time. As long as they have return rights to their unit, this buy-out policy will also apply to their appointment. To the extent that a backfill of their position is required, the campus will provide funding.

VII. OFFERING ACADEMIC APPOINTMENTS

The procedures for offering academic appointments are detailed in Provost Communication No. 2. As a reminder, offers of academic appointments can be made only after all of the required approvals have been documented.
VIII. ASSISTANCE

About policy, documentation, or the status of a review in progress, contact the Office of the Provost (333-6677). Regarding the status of action by the Board of Trustees or the process of an appointment, contact the Office of Academic Human Resources (333-6747).
IX. ATTACHMENTS

1. Appointments Requiring Direct Approval by the Board of Trustees

2. Hiring Request from Approval Table

3. Examples of Hiretouch Forms: Provided for Informational Purposes only, Requests for Approvals Must be Submitted Electronically through Hiretouch:
   - Transmittal form for Cases forwarded for second level review
   - Transmittal form for Executive Officer Appointments
   - Transmittal form for Faculty Appointments with Tenure
   - Transmittal form for New Academic Professional Appointments with Salaries over $90,000
   - Transmittal form for Provost’s Approval of 0% Unmodified Faculty Appointments for Individuals Who Do Not Hold a University of Illinois Appointment
APPENDIX

UNITS REQUIRING PROVOST’S OFFICE APPROVAL
TO SATISFY SECOND LEVEL REVIEW
(Based on the UIUC organization chart)

Appointments of immediate staff of a dean or director of a college
eDREAM Institute

Colleges and Schools Without Academic Departments
Enrollment Management
Admissions and Records
Facility Management and Scheduling
Registrar
Student Financial Aid

Graduate School of Library and Information Sciences

College of Law
Fire Service Institute

School of Labor and Employment Relations
Illinois Informatics Institute

School of Social Work
Illinois Promise

Administrative Units
International Programs and Studies

Armed Forces Education
I-STEM/National Science Olympiad
On-line and Continuing Education

Campus Center for Advising and Academic Services

Campus Honors Program
Osher Lifelong Learning Institute

Campus Information Technologies and Services Office (CITES)

Center for Teaching Excellence
Police Training Institute
Principal Scholars Program

Committee on Institutional Cooperation (CIC)
University Library

University High School