

# GUIDELINES AND PROCEDURES FOR NOTICE OF NONREAPPOINTMENT FOR NONTENURED FACULTY MEMBERS AND FOR DENIALS OF PROMOTION NOT LINKED TO TENURE DECISIONS

OFFICE OF THE PROVOST  
COMMUNICATION No. 10

## I. Overview

Procedures for denials of promotion not linked to tenure decisions are discussed in Appendix 1 of this communication.

When a decision has been made not to reappoint a nontenured faculty member, a Notice of Nonreappointment may be required. The rules governing these notices have different provisions for faculty members according to their status and years of service:

1. **Assistant professors in Year 6** (six) of the probationary period;
2. **Assistant professors in Years 2-5** (two through five) of the probationary period;
3. **Assistant professors in Year 1** (one) of the probationary period;
4. **Associate and Full Professors on “Q” appointments;**
5. **Staff members who have had full-time appointments in faculty categories not eligible for indefinite tenure** (research professors, research assistant professors, research associate professors; any other professorial title modified by “clinical, “adjunct” or “visiting”);
6. Staff members who are appointed on a **“W” contract**.

Once a decision is made to recommend that a Notice of Nonreappointment be issued to a staff member, the notification process must follow the procedures outlined in this policy. The procedures are applicable to the nonreappointment of all nontenured faculty, including those in the sixth year of their probationary periods. Please refer to the following special procedures and conditions that apply for each category of nontenured staff members.

*Special notice about this procedure: This procedure does not create rights beyond those conferred by the University's Statutes, which govern the nonreappointment process. The calendar of events and all dates listed in this document for notification by any University level other than the Board are approximate. The dates provided below are intended to assure that all internal recommendations occur in an orderly manner and are completed in time for the formal notice provided by the Board of Trustees to be issued by the dates required by the Statutes. Also, please note that the purpose of this procedure is to provide affected staff members with three fundamental elements: a careful review of his or her record; notice of the decision with a general statement of the reason for it before formal notice of nonreappointment is issued from the Board of Trustees; and an opportunity to have the decision reconsidered at the same administrative level as it was originally made. Units are encouraged to meet these dates and to follow this procedure as carefully as possible. However, so long as subsequent procedural review by the appropriate administrative offices determines that the fundamental elements have been provided, other deviations in the prescribed procedures, including the timelines, are tolerable. The official version of these guidelines and procedures are posted on the web site of the Office of the Provost, which is subject to modification from time to time.*

## II. Calendar of Events

June

A list of faculty who **will be** in **Year 6** of the probationary period **during the following academic year** to be sent to

	Colleges by the Office of the Provost. Action is required in each case.
February 1	Units to send a list of faculty in <b>Year 1</b> of the probationary period receiving a Notice of Nonreappointment to the Office of the Provost.
February 7	A list of faculty to receive Notices of Nonreappointment effective at the completion of the <b>current contract year (August 15)</b> to be sent to the Office of the Provost.
By February 15*	Departments to provide written notice, with a copy to the Office of Academic Human Resources, to:  1) assistant professors in <b>Year 1</b> of the probationary period, and 2) other employee categories with an “ <b>N</b> ” <b>tenure code</b> requiring six months notice of nonreappointment.
By March 1	Notification by Board of Trustees to faculty whose Notices of Nonreappointment are effective at the completion of the current academic contract year ( <b>August 15</b> ).
By May 15*	Departments should provide, if possible, written notice of their intent to recommend nonreappointment to faculty who will not be reappointed. This includes 1) assistant professors in <b>Years 2-6</b> of the probationary period and 2) associate professors or full professors with a “ <b>Q</b> ” <b>tenure code</b> . (See section 5 of the overview.)
By August 15	Notification by Board of Trustees to faculty who require such notice.

\*In an effort to give affected staff members as much time as possible to make plans, unit notification should be given, if possible, prior to February 15 and May 15.

NOTE: The dates above do not apply for faculty members whose appointment periods are for a period other than the standard (from August 16 to August 15) or for whom special contracts have been written. Unit heads should pay close attention to dates for these faculty members, and should seek advice as necessary from the Office of Academic Human Resources or the Office of the Provost.

### III. Information by Category

#### Category 1 — Assistant Professors In Year 6 (Six) of the Probationary Period

A full promotion dossier, including internal evaluations and external letters are required for all faculty members in this category. (See Communication No. 9, Promotion and Tenure Guidelines.)

Should a negative recommendation regarding promotion and indefinite tenure occur at the originating department, that negative recommendation must be submitted to the next level for review prior to issuing a notice of nonreappointment. If the negative recommendation is accepted

at the higher level, the unit that made the recommendation notifies the faculty member and initiates the Notice of Nonreappointment.

### **Category 2 — Assistant Professors In Years 2-5 (Two through Five) of the Probationary Period**

Units are asked to review annually the overall performance of each faculty member in the probationary period, and to conduct a formal review in the faculty member's third year. Based on these reviews, the unit may determine that the faculty member should not be reappointed. Should the unit make a decision to terminate the faculty member in year two through five of the faculty member's probationary period, the University of Illinois *Statutes* require that the faculty member be given at least a one-year's Notice of Nonreappointment. The notice must be accompanied by an offer of a terminal contract. Written notification to the faculty member of the unit's intent to recommend termination should be given by the unit, if possible, no later than May 15, so that notice can be given by the Secretary of the Board of Trustees by August 15 of the year preceding the terminal date.

***For faculty members in Year 5 of the Probationary Period:*** A list of faculty members who will be in the sixth year of their probationary period is sent to each unit in the spring of the preceding academic year. Action is required in each case. If the faculty member is to be recommended for indefinite tenure and promotion in rank, then the appropriate paperwork must be prepared and submitted through the required channels.

If the unit determines that the faculty member should not be recommended for indefinite tenure and promotion, the University of Illinois *Statutes* require that a Notice of Nonreappointment be given at least one year in advance of the date of termination. The notice must be accompanied by an offer of a terminal contract for the following academic year. So that this notice may be issued by the Secretary of the Board of Trustees by August 15 of the year preceding the termination date, units are asked to notify faculty members, if possible, no later than May 15 that a Notice of Nonreappointment is being recommended and that a terminal contract will be offered.

### **Category 3 — Assistant Professors In Year 1 (One) of the Probationary Period**

When a unit makes a decision to terminate a faculty member in the first year of the probationary period, then the unit should submit the name of the faculty member to the Provost by February 1, so that the Board of Trustees may send the Notice of Nonreappointment and a terminal contract by March 1. The unit has until February 15 to notify the faculty member of the decision made in his/her case. The faculty member's contract will end effective with the close of the current academic year. If written notice is given after March 1, it must be accompanied by an offer from the Board of Trustees of a terminal contract for one additional year of service. (See Article X, Section 1. b (4).)

#### **Category 4 — Associate Professors and Professors on “Q” Appointments**

For Associate Professors and Professors who have a “Q” appointment (an initial term appointment for a specified period of time at the advanced rank, but without tenure), units should take one of the following actions in the **penultimate** year of the contract:

1. The staff member may be recommended for indefinite tenure at the current rank or be recommended for indefinite tenure and promotion.
2. If a review indicates that the scholarly record does not warrant indefinite tenure, then the unit should notify the staff member in writing as soon as possible, but preferably not later than May 15. In any case, the written communication should not be given later than August 15 of the current academic year.
3. Under unusual circumstances the unit may submit a request for an extension of the term appointment. This request should be submitted through the appropriate channels, to the Provost. If approved, the Provost will request Legal Counsel to draw up a special agreement for extending the term of the Q appointment.

Although not required by the University of Illinois *Statutes*, for Associate Professors and Professors on “Q” appointments, campus policy provides that the faculty member receive a one-year notice if not being recommended for indefinite tenure. The notice for “Q” appointees is not issued by the Board of Trustees, but rather by the campus in accord with standard procedures for other cases. This will confirm that the faculty member’s employment will cease upon expiration of the “Q” contract. (See Communication No. 5, Initial Term “Q” Appointments.)

#### **Category 5 — Faculty Members Appointed on Nontenured (“N”) Contracts**

This section applies to faculty members on nontenured (“N”) appointments who carry professorial titles modified by “clinical,” “adjunct” or “visiting” and the title of Research (Assistant/Associate) Professor.

##### **A. PROFESSORIAL TITLES MODIFIED BY “CLINICAL,” “ADJUNCT,” OR “VISITING”**

The *Statutes* do not require advance formal notice of nonreappointment from the Board of Trustees for those holding faculty titles modified with “clinical,” “adjunct” or “visiting.”

##### **B. PROFESSORIAL TITLES MODIFIED BY “RESEARCH”**

*Full-time Employees on Hard Funds.* For full-time research faculty on “hard” funds, Notice of Nonreappointment should be given to the employee in writing by the department prior to February 1, to be effective at the end of the contract year. A copy of the letter to the employee should be sent to the Office of Academic Human Resources by February 1, in order that the Board of Trustees may notify these staff members according to the statutory policy.

If a research faculty member in this category requires a Notice of Nonreappointment and if the Notice of Nonreappointment is issued by the Board of Trustees no later than six months before the end of an annual appointment or by March 1 in the case of an academic year appointment, then the appointment will not be extended beyond the current contract period. Therefore, departments should notify the individual and the Office of Academic Human Resources *more than six months* prior to the expiration of the appointment that a terminal contract should be issued. If notice is not given to the employee by the Board of Trustees six months prior to the end of the appointment (or by March 1 in the case of an academic year appointment), the notice shall be accompanied by an offer of a terminal contract for one additional year of service.

*Full-Time Employees on Contracts Subject to Availability of Funds and Part-Time Employees on all Funding Sources.* Research faculty members in the designated categories on nontenured appointments do not require formal Notice of Nonreappointment by the Board of Trustees if they are non-salaried, if their contracts specify that the appointment is subject to availability of funds, or if their appointments are less than full-time *regardless of the source of funds*. In such cases where formal notice is not required, departments are nonetheless asked to notify the employee as a matter of courtesy.

### **Category 7 — Staff Members Appointed on “W” Contracts**

Should circumstances warrant, a staff member may sign a “Special Written Agreement to Accept Academic Appointment and Reappointment for a Definite Term.” This agreement results in the assignment of a “W” tenure symbol and releases the University from any commitment to grant tenure. It is generally used only for staff members paid from non-state funds. Any Notice of Nonreappointment for staff members in this category must be consistent with that agreement. “W” agreements require formal notice from the Board of Trustees, in addition to written notice by the appointing unit in consultation with the Office of the Provost. *Please seek advice for these situations before acting.*

## **IV. Procedures**

The unit executive officer has primary responsibility for a decision to retain or nonreappoint a faculty member, in consultation with the departmental advisory or executive committee, or a special committee elected or appointed to evaluate the progress of the faculty member. (See Article II, Section 3; Article IX, Section 3; and Article X, Section 1 of the University of Illinois Statutes.)

Occasionally a recommendation to issue a Notice of Nonreappointment may be made at the School, College, or Campus level. Again, it is recommended that the body normally acting on promotion and tenure (e.g., an executive committee) be consulted. The procedures for issuance of a Notice of Nonreappointment are the same, except that the officer who reviews the decision for procedural conformity changes when there is a change in the level of decision. Please refer to the flow charts provided as Attachment I.

The precise steps should be followed as outlined if possible, but they should not be treated as if the process is completely rigid. Faculty members or their representatives often discover slight variations in procedures and thereupon claim that the entire process must be invalidated. However, administrators who must certify the validity of the procedures used should approach the task with the understanding that minor deviations can and must be tolerated.

A faculty member who has been notified of nonreappointment may request reconsideration of that recommendation. The purpose of such reconsideration is to ensure that relevant information concerning the reasons for the proposed nonreappointment have been fully and fairly reviewed.

### **Step 1. The Letter of Notification** (See sample letters in Attachment 2)

Once a decision has been made to issue a Notice of Nonreappointment, it is important that the executive officer at the decision-making level notify the faculty member in writing of this decision as soon as possible. The written notice should be given by the date specified in the calendar of events for the relevant category. The letter of notification must:

- ∞ State the reasons for the decision to recommend that a Notice of Nonreappointment be issued. Some members of the faculty and their representatives have interpreted this requirement to mean that a detailed list of reasons be given. Such is not the intent of the requirement. Rather, the reasons must include enough general information to guide the faculty member who wishes to appeal the decision. Thus, statements such as “research was not sufficient” or “the quality of the teaching was not sufficient” are suitable. There is no requirement that detailed specifications be given of weaknesses. However, any reason(s) cited must accurately characterize the actual reason(s) for the nonreappointment. For example, a department that gives a Notice of Nonreappointment to a faculty member for performance reasons must not indicate that the action was taken for budget reasons.
- ∞ Inform the recipient that he or she may respond to the contents of the letter and must allow a minimum of 10 working days for a response.
- ∞ Enclose a copy of this policy.
- ∞ Show copies sent to the next administrative level (e.g. school director, dean, or provost), to the members of the advisory or executive committee or the special committee consulted in the decision, and to the Provost (if he/she is not already included in the list of copies).
- ∞ Be sent by **certified mail**. The executive officer may provide a copy of the letter to the faculty member as he/she meets with the individual, but this does not preclude the requirement of sending the official notification by certified mail.
- ∞ As noted above, the executive officer may meet with the faculty member for an unofficial conversation to discuss the contents of the letter of notification and answer questions about the next steps in the process. In this conversation the executive officer may offer a personal, informal characterization of the faculty member’s case to assist the faculty member to understand the decision and decide whether to request reconsideration. Any such informal characterization does not constitute a “detailed list of reasons” referred to above, nor should such characterization be presumed to fully represent the executive officer’s own critical assessment of the case or the assessments of others who have reviewed the case. The Letter of Notification provides the only official statement of reasons for the decision.

### Step 2. Request for Reconsideration

There are two possible responses to the letter of notification.

#### *A. No Response is Received or Faculty Member Indicates No Desire to Respond*

If the staff member informs the unit executive officer that he/she does not wish to respond, or if no response is received within the allotted time, the executive officer notifies the next administrative level (school director, dean, provost, or chancellor) that the staff member has not responded and requests that a Notice of Nonreappointment be issued. A copy of the letter should go to the staff member, to members of the appropriate reviewing body, and to the Provost. (Examples of such letters may be found in Attachment 2.)

#### *B. Faculty Member Responds to Written Notification; Requests Reconsideration*

If the staff member’s written response is to contest the decision and the response is received by the specified date, the executive officer initiates a reconsideration of the case. The staff member’s response should include a statement of reasons and/or other information supporting the request for reconsideration. The reconsideration occurs in consultation with the departmental

advisory or executive committee, or through a specially-constituted committee. The executive officer or committee may request further presentations in writing or in person.

The Illinois Employee Access to Records Act allows faculty to inspect internal evaluation documentation used for promotion and tenure review. Please refer to the “Confidentiality” section in Provost’s Communication No. 9 for specific details on what information is to be made available when requested by the candidate.

If a faculty member who elects to request reconsideration of his/her case believes that a fair hearing cannot occur within the unit, the faculty member should consult with the dean about the issues involved. The committee used to reconsider the case may be the original decision-making body or may be a special committee constituted to specifically reconsider the case. It is within the dean’s discretion to determine whether the original decision-making body should be called upon to reconsider the case, or whether a specially appointed committee should be convened. This decision should be guided by the principle of securing input and advice from individuals with expertise in the relevant scholarly areas.

If a specially constituted committee, or an established appeals committee separate from the committee that made the negative recommendation, is used to consider the appeal, and the recommendation of the committee that reviewed the appeal is positive, then the unit executive officer should consult the body that made the original negative recommendation before making and transmitting his/her final decision to the school director or college dean.

The unit executive officer, in consultation with the committees referenced above, may either:

- i. Affirm the decision to recommend that a Notice of Nonreappointment be issued.

The unit executive officer should notify the faculty member of the decision to affirm the original decision in his/her case, with a copy to the appropriate reviewing body. At the same time, the executive officer must transmit the recommendation that a Notice of Nonreappointment be issued to the next administrative level.

*or*

- ii. Prepare a positive recommendation for promotion and tenure based on the merits of the case.

Note: If the recommendation not to reappoint was made in the process of review for promotion and tenure, especially in the case of a faculty member in the sixth year of the probationary period, and the recommendation is withdrawn, then the unit executive officer should take steps to initiate the formal promotion and tenure recommendation through the normal channels as outlined in Communication No. 9 (*Promotion and Tenure Guidelines*).

**Special Note on Decisions Made to Deny Tenure at the Campus Level:** When the decision to deny tenure is made at the campus level, and the faculty member contests the decision, a special reconsideration process is used involving two individuals who have served on the Campus Committee on Promotions and Tenure in recent years and two faculty members qualified to judge the merits of the case, but who have not previously been consulted about it. This process is used to provide as thorough and fair a reconsideration process as is possible. As the chief campus academic officer, the Provost and Vice Chancellor for Academic Affairs has been delegated responsibility to conduct the final substantive review concerning a candidate’s eligibility for

promotion and tenure. While the Chancellor serves as the second-level reviewing officer for procedural matters, there is no substantive appeal of decisions made at the campus level, other than the reconsideration process.

### Step 3. Second Level Review of Procedures

The procedures followed in the written notification must receive a second-level procedural review. The review focuses upon whether established procedures were properly followed and whether the faculty member received a fair review. Minor procedural flaws do not require reversal. Thus, the next administrative level (school director, dean, provost or chancellor) receives and reviews the materials. Administrative officers charged with making a determination as to the validity and fairness of the procedures should satisfy themselves that three crucial procedural elements were fulfilled:

- ∞ The faculty member's record was carefully examined.
- ∞ The faculty member received a timely notice of the decision concerning nonreappointment, along with the reasons for the recommendation.
- ∞ The faculty member had an opportunity to have the decision reconsidered at the same administrative level at which it was originally made.

If these three elements were fulfilled and it is clear that full and fair consideration of the matter has been given, then minor variations in procedures can be tolerated. Different actions follow if the procedures are determined to be adequate versus when they are not. (See sample letters in Attachment 2.)

#### *A. Procedures are Determined to be Adequate*

If the procedures are determined to be adequate, the second-level administrator will then transmit the recommendation to the next administrative level (dean or provost or chancellor) so that a Notice of Nonreappointment can be issued. A copy of the letter of transmittal should be sent to the staff member, the executive officer at each administrative level, and the Provost (if he/she is not already included in the list of copies). Below are examples of how the procedure works at each level.

If the written notification is given by a unit within a school, the second level procedural review is conducted at the school level. The school director will review the materials and procedures followed at the departmental level and determine whether or not the procedures were adequate. If they are affirmed, the school director will forward the recommendation to issue the Notice of Nonreappointment to the dean of the college.

If the written notification is given by the school director within a College, the second level procedural review is conducted at the college level (dean). The dean will review the materials and procedures followed at the school level and determine whether the procedures were adequate. If they are affirmed, the dean will forward to the Provost the recommendation that the Notice of Nonreappointment be issued.

If the written notification is given by the dean of a college or dean of a school, then the second level procedural review is conducted by the Provost. The Provost will review the materials and procedures that were followed at the college level and determine whether or not the procedures

were adequate. If they are affirmed, the Provost will recommend to the Chancellor that the Notice of Nonreappointment be issued.

If the written notification is given by the Provost, then the second-level procedural review is conducted by the Chancellor. If the Chancellor determines the procedures were adequate, the Chancellor will forward to the Vice President for Academic Affairs the request that the Notice of Nonreappointment be issued.

The flowchart below serves as a summary of the appeal process detailed above.

<b>Appeal Flowchart for Denial of Tenure to 6<sup>th</sup> Year Assistant Professor</b>				
<b>Initial Decision to Deny</b>	<b>Letter of Notification</b>	<b>Substantive Review</b>	<b>Procedural Review</b>	<b>Notice of Non-Reappointment</b>
Department	Department Head	Original* Special*	College	Provost
College	Dean	Original* Special*	Provost	Chancellor
Provost	Provost	Special**	Chancellor	VP Academic Affairs

\* - At Dean's discretion    \*\* - As described in section "**Special Note on Decisions Made to Deny Tenure at the Campus Level**"

*B. If Significant Procedural Errors are Found*

If significant procedural errors are found, the reviewing officer will return the documents to the unit with questions or a request for comment.

The unit executive officer should respond to the questions and the response should be reviewed by the original decision-making body to determine whether or not any flaw in the process resulted in an unfair assessment of the case. Further information may be requested and considered by this body or the executive officer. A determination should then be made to either reaffirm the decision to enter the Notice of Nonreappointment process at the appropriate stage or to withdraw the recommendation based on a fuller review of the case. The faculty member should be notified of the action taken in his/her case.

Should the further review result in a reaffirmation of the recommendation to issue a Notice of Nonreappointment, the unit executive officer should again follow the procedures outlined in this policy. The unit executive officer may wish to consult with the Office of Academic Human Resources or the Office of the Provost.

Step 4. Campus Level Confirmation and Recommendation to the Board of Trustees

Once the procedures have been reviewed by the appropriate administrative level and the request to issue a Notice of Nonreappointment has reached the Campus, the Provost or Chancellor will acknowledge the recommendation and recommend that the Board of Trustees confirm the nonreappointment and offer a terminal contract. In the case reconsideration of denial of promotion in faculty rank not linked to a tenure decision: the Chief Executive Officer of the administrative level at which a reconsideration occurs will communicate the resulting decision to the faculty member in writing; omit steps 5 and 6 below.

Step 5. Initiate the Electronic Change of Status

After all the above steps have been completed, the unit must submit the electronic change of status to initiate the Notice of Nonreappointment and the “T” (terminal) contract. Placing a “T” tenure code in the budget listing is not sufficient. The Office of Academic Human Resources will check the change of status against all correspondence to verify that all procedures have been followed and are complete.

Step 6. Issuance of Notice of Nonreappointment by the Board of Trustees and, if appropriate, the Terminal Contract

Upon receipt of the appropriate paperwork in the Board of Trustees Office, the formal notification of nonreappointment is sent to the faculty member prior to the deadline date specified in this policy. For a specific set of faculty members, as defined above, a terminal contract will also be issued.

**V. Alternative Routes of Appeals**

The faculty member may always present a grievance to the Faculty Advisory Committee which is advisory to the Chancellor. In addition, a faculty member may request a hearing before the Senate Committee on Academic Freedom and Tenure. The Faculty Advisory Committee hears cases of all types while the Committee on Academic Freedom and Tenure is charged with hearing cases involving alleged infringements of a faculty member’s academic freedom.

**VI. Assistance**

Questions relating to use of these procedures should be directed to the Office of Academic Human Resources (333-6747). Questions about academic policy or the status of individual cases should be directed to the Office of the Provost (333-6677).

**VII. Attachments**

Flow Charts

Sample Letters

## APPENDIX 1

### GUIDELINES FOR DENIALS OF PROMOTION NOT LINKED TO TENURE DECISIONS

The unit executive officer has primary responsibility for promotion decisions of tenured faculty members, in consultation with the departmental advisory or executive committee, or a special committee elected or appointed to evaluate the progress of the faculty member. (See Article II, Section 3; Article IX, Section 3; and Article X, Section 1 of the University of Illinois *Statutes*.)

Occasionally a recommendation to issue a Notice of Denial of Promotion may be made at the School, College, or Campus level. Again, it is recommended that the body normally acting on promotion and tenure (e.g., an executive committee) be consulted. The procedures for issuance of a Notice of Denial of Promotion are the same, except that the officer who reviews the decision for procedural conformity changes when there is a change in the level of decision.

A faculty member who has been notified of denial of promotion may request reconsideration of that recommendation. The purpose of such reconsideration is to ensure that relevant information concerning the reasons for the proposed denial of promotion have been fully and fairly reviewed.

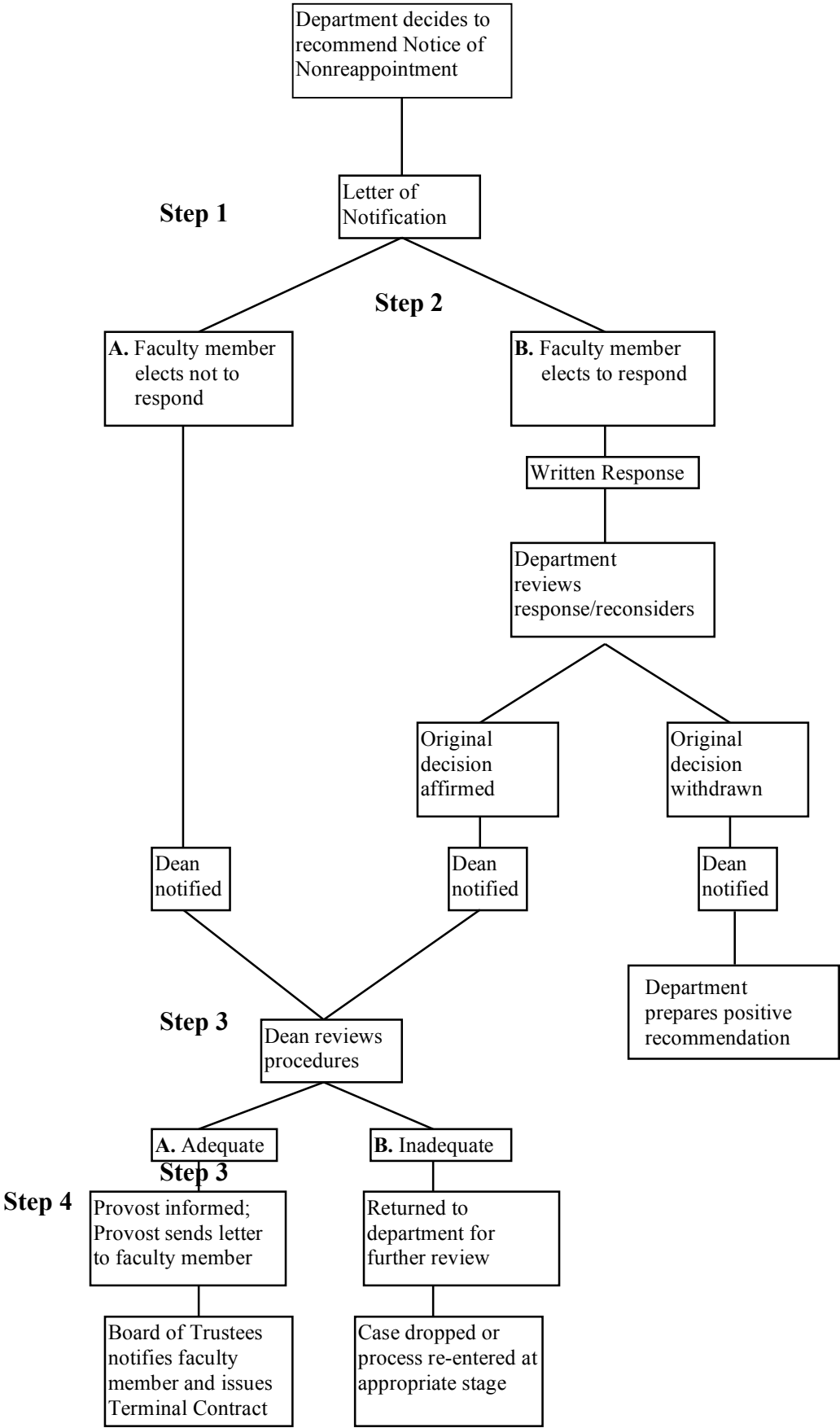
The procedures to be followed are those described in Section IV of this Communication, with the following changes:

“Nonreappointment” is replaced by “Denial of Promotion”

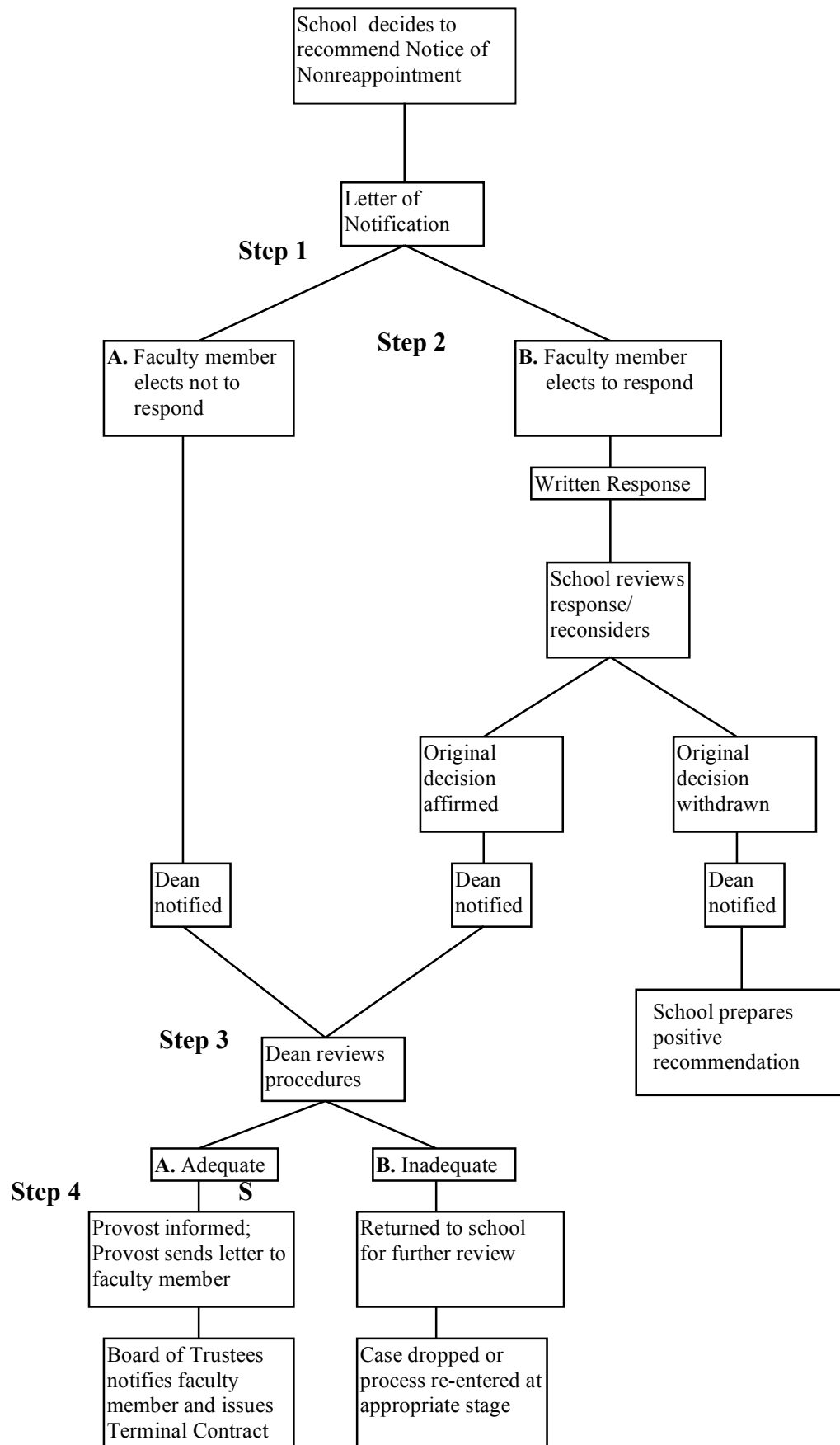
“Issuance of a Terminal Contract” is not applicable in this case.

The precise steps should be followed as outlined if possible, but they should not be treated as if the process is completely rigid. Faculty members or their representatives often discover slight variations in procedures and thereupon claim that the entire process must be invalidated. However, administrators who must certify the validity of the procedures used should approach the task with the understanding that minor deviations can and must be tolerated.

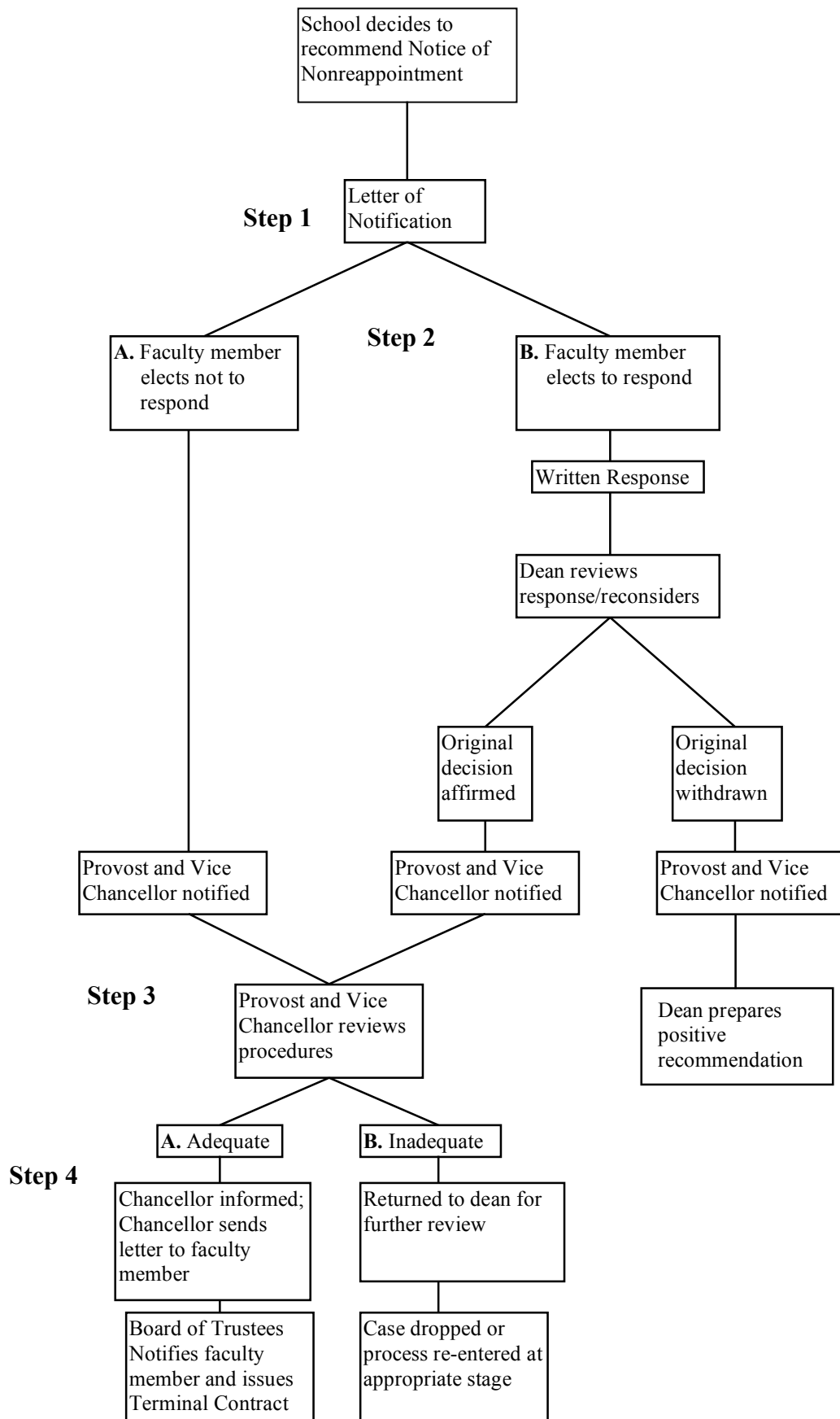
**Flowchart 1: Notice of Nonreappointment Issued at the Departmental Level**



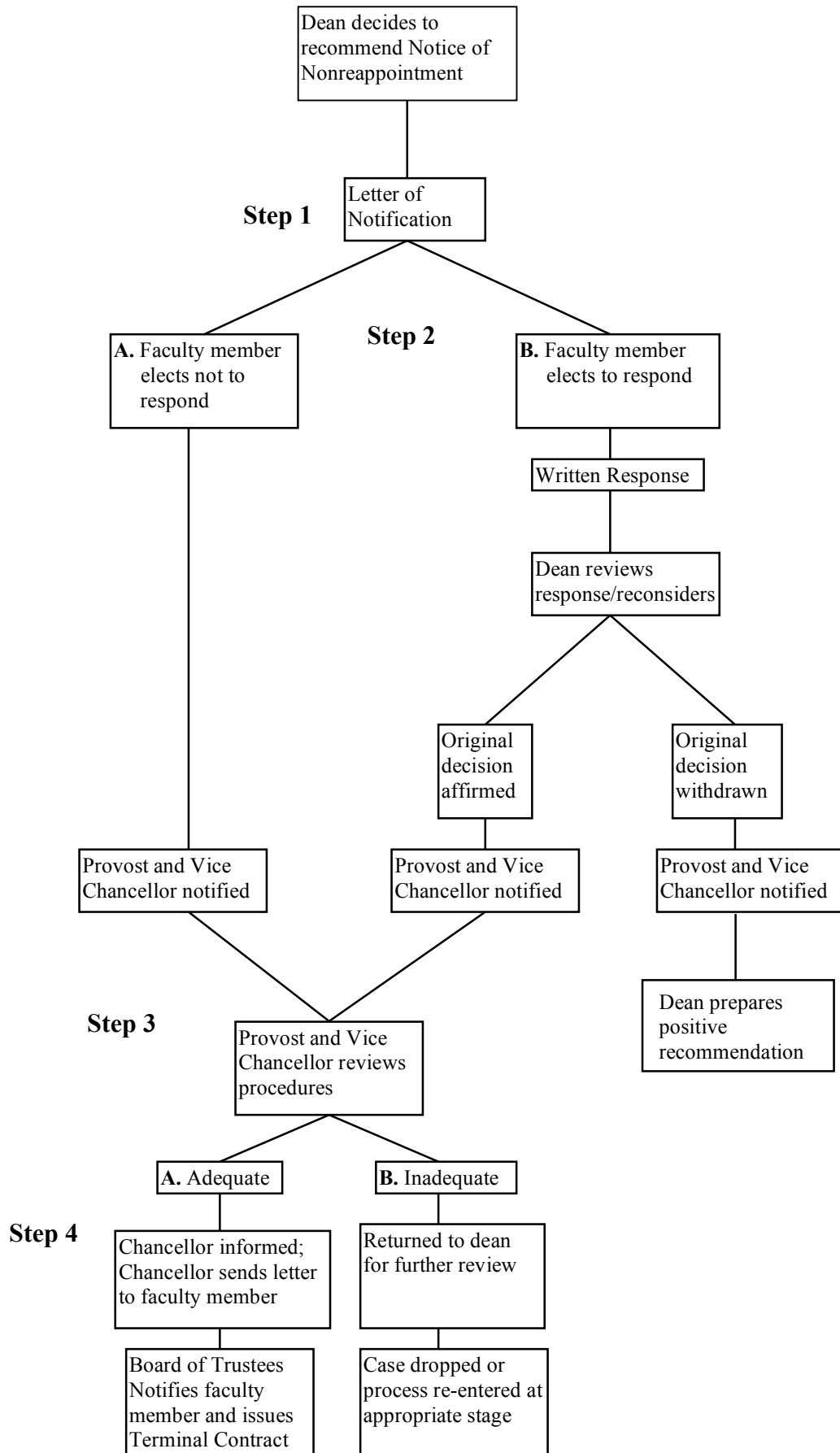
**Flowchart 2: Notice of Nonreappointment Issued at the School Level  
(Within a College)**



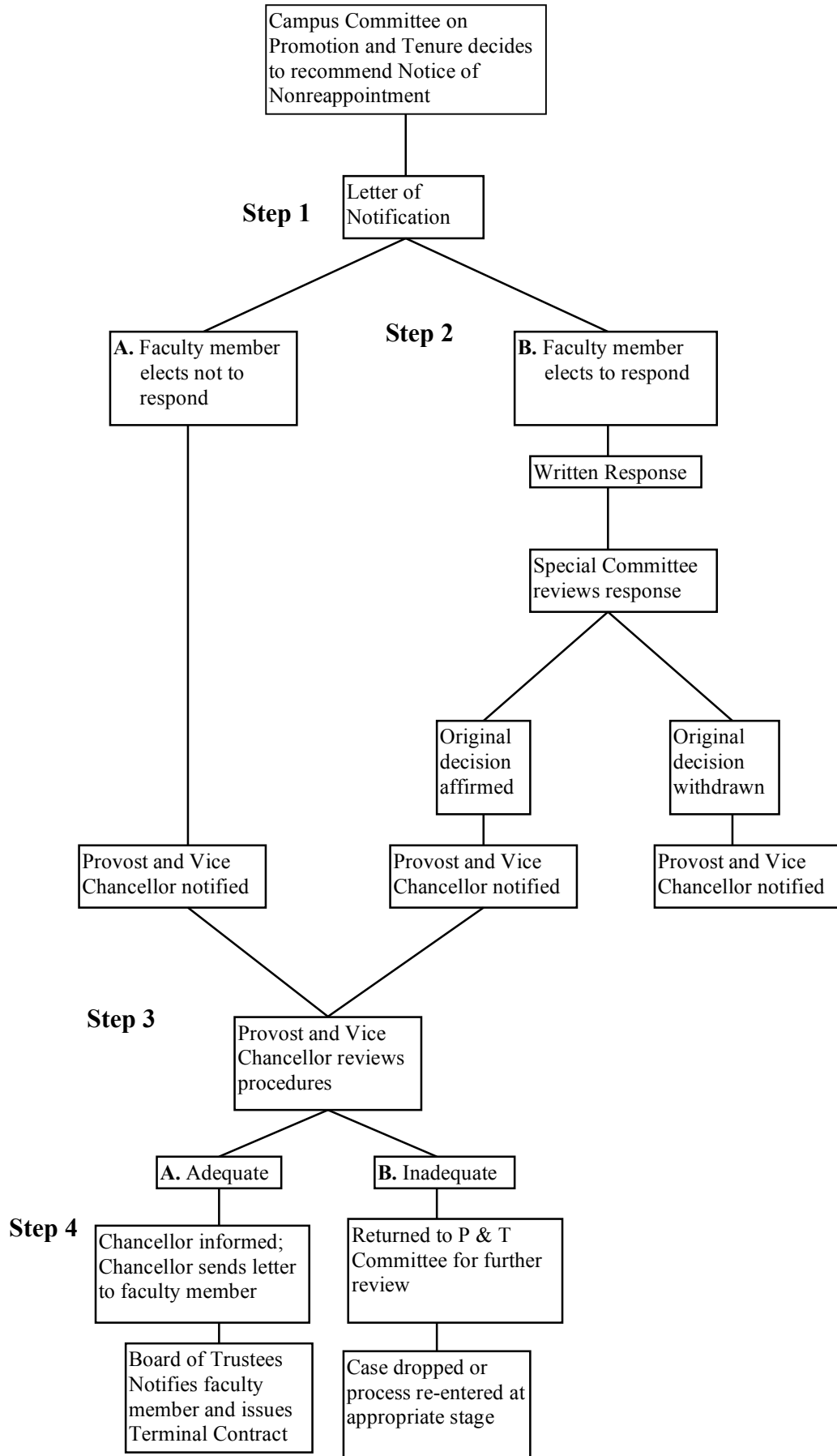
**Flowchart 3: Notice of Nonreappointment Issued at the School Level  
(Not Within a College)**



**Flowchart 4: Notice of Nonreappointment Issued at the College Level**



**Flowchart 5: Notice of Nonreappointment Issued at the Campus Level**



NOTE: Items in **BOLD** are to be adapted as appropriate

Category 1; Step 1

Sample of Department Head (**or director, dean, or provost**) Letter Notifying Faculty Member in **Year 6** of the Probationary Period

**Date (Refer to deadlines)**

CERTIFIED MAIL

Assistant Professor J. Doe:

Upon the advice of the Departmental Advisory (**or Executive**) Committee, I regret to inform you that I intend to recommend to (**the dean, the Provost**) that you be issued a notice of nonreappointment and offered a terminal contract for 200x-xx.

It is the judgment of those reviewing your record that the magnitude and impact of your contributions in (**research, teaching, public service, a combination of the three, or overall performance**) are not sufficient to justify promotion to the rank of Associate Professor with indefinite tenure in the department (**or at the University of Illinois at Urbana-Champaign**).

A copy of Communication #10, *Guidelines and Procedures for Notice of Nonreappointment for Nontenured Faculty Members and for Denials of Promotion not Linked to Tenure Decision*, is enclosed. You will note that the procedures provide you with the opportunity to respond to this decision. If you wish to respond, I must receive your written response no later than (**day, date, year—a minimum of 10 working days from date of this letter**).

Sincerely,

Department Head (**or dean, provost**)

Enclosure

c: Departmental Advisory (**or Executive**) Committee  
Dean of College (**or Provost**)

NOTE: Items in **BOLD** are to be adapted as appropriate.

Category 2; Step 1

Sample of Department Head Letter Notifying Faculty Member in **Years 2-5** of the Probationary Period

**Date (No later than May 15, refer to deadlines)**

CERTIFIED MAIL

Assistant Professor J. Doe:

Upon the advice of the Departmental Advisory (**or Executive**) Committee, I regret to inform you that I intend to recommend to **(the dean, the director of the school)** that you be issued a notice of nonreappointment and offered a terminal contract for 200x-xx. I concur with the recommendation of the Advisory (**or Executive**) Committee.

This decision is based on the **(annual review, third-year review)** of your overall performance to date. The criteria used to make this judgment are set forth in the departmental, college, and campus guidelines on promotion and tenure. The Advisory (**or Executive**) Committee concluded that the record of **(scholarship, teaching, etc.)** to date was not sufficient to warrant granting of promotion and tenure now, nor is the record sufficiently promising to award promotion and tenure by the end of your six-year probationary period.

A copy of Communication #10, *Guidelines and Procedures for Notice of Nonreappointment for Nontenured Faculty Members and for Denials of Promotion not Linked to Tenure Decision*, is enclosed. You will note that the procedures provide you with the opportunity to respond to this decision. If you wish to respond, I must receive your written response no later than **(day, date, year --a minimum of 10 working days from date of this letter)**.

Sincerely,

Department Head

Enclosure

c: Departmental Advisory (**or Executive**) Committee  
Dean of College (**or director of school**)

NOTE: Items in **BOLD** are to be adapted as appropriate.  
Category 3; Step 1

Sample of Department Head Letter Notifying Faculty Member in **Year 1** of the Probationary Period

**Date (Refer to deadlines)**

CERTIFIED MAIL

Assistant Professor J. Doe:

Upon the advice of the Departmental Advisory **(or Executive)** Committee, I regret to inform you that I intend to recommend to **(the dean, the director of the school)** that you be issued a notice of nonreappointment effective at the end of the current contract year. I concur with the recommendation of the Advisory **(or Executive)** Committee.

This decision is based on the annual review of your overall performance to date. The criteria used to make this judgment are set forth in the departmental, college, and campus guidelines on promotion and tenure. The Advisory **(or Executive)** Committee concluded that the record of **(scholarship, teaching, etc.)** to date was not sufficient to warrant granting of promotion and tenure now, nor does the record show sufficient promise to warrant an expectation of a decision to award promotion and tenure by the end of your six-year probationary period.

A copy of Communication #10, *Guidelines and Procedures for Notice of Nonreappointment for Nontenured Faculty Members and for Denials of Promotion not Linked to Tenure Decision*, is enclosed. You will note that the procedures provide you with the opportunity to respond to this decision. If you wish to respond, I must receive your written response no later than **(day, date, year --a minimum of 10 working days from date of this letter)**.

Sincerely,

Department Head

Enclosure

c: Departmental Advisory **(or Executive)** Committee  
Dean of College **(or director of the school)**

Categories 4, 5, 6; Step 1

**Please contact the Office of Academic Human Resources.**

NOTE: Items in **BOLD** are to be adapted as appropriate.  
Procedures; Step 2.A

Sample of Department Head Letter to Dean Requesting Notice of Nonreappointment be Issued

**Date (Refer to deadlines)**

Dear Dean \_\_\_\_\_:

On **(date)**, I notified Assistant Professor J. Doe of my decision to recommend that he/she be issued a notice of nonreappointment **(and offered a terminal contract)** for 200x-xx. Professor Doe had until **(date)**, to respond in writing to this decision.

I have received no written request from Assistant Professor Doe for a review of his/her case and, therefore, I am recommending that he/she be given notice of nonreappointment **(and offered a terminal contract)** for the 200x-xx academic year.

Sincerely,

Department Head

c: J. Doe  
Departmental Advisory **(or Executive)** Committee

**A terminal contract is NOT offered for Assistant Professors in Year 1 of the probationary period. Language regarding a terminal contract should be omitted from their letters.**

NOTE: Items in **BOLD** are to be adapted as appropriate.  
Procedures; Step 2.B

Sample of Department Head Letter to Dean Requesting Notice of Nonreappointment be Issued

**Date (Refer to deadlines)**

Dear Dean \_\_\_\_:

On **(date)**, I notified Assistant Professor J. Doe of my decision to recommend that he/she be issued a notice of nonreappointment **(and offered a terminal contract)** for 200x-xx.

Assistant Professor Doe responded on **(date)**, submitted additional information for consideration, **and asked that he/she be permitted to speak with the committee that would review his/her case.**

I asked the Departmental Advisory **(or Executive)** Committee to review the matter and consider the additional materials submitted by Assistant Professor Doe. **They also permitted him/her to present his/her case to them in person on (date).**

The Advisory **(or Executive)** Committee, after considering the additional information which has been presented, has affirmed its earlier recommendation, and I concur.

Accordingly, I recommend that Assistant Professor J. Doe be given a notice of nonreappointment **(and offered a terminal contract)** for 200x-xx.

Sincerely,

Department Head

c: J. Doe

Departmental Advisory **(or Executive)** Committee

**A terminal contract is NOT offered for Assistant Professors in Year 1 of the probationary period. Language regarding a terminal contract should be omitted from their letters.**

Procedures; Step 2.B.i

Sample of Department Head Letter to Faculty Member, Notifying Him/Her of Outcome of Appeal

**Date (Refer to deadlines)**

Assistant Professor J. Doe:

The Departmental Advisory (**or Executive**) Committee has considered the additional materials you submitted in support of your advancement in rank, **and has also taken into consideration the points you made in your meeting with them on (date).**\* They have reaffirmed their original recommendation. I have reviewed that recommendation and concur.

Accordingly, I write to inform you that I shall recommend to the Dean that you be issued a notice of nonreappointment and offered a terminal contract for the 200x-xx academic year.

Sincerely,

Department Head

c: Dean  
Departmental Advisory (**or Executive**) Committee

\*Permissive, not mandatory step; see Step 2.B

NOTE: Items in **BOLD** are to be adapted as appropriate.  
Procedures; Step 3

Sample of Dean's Letter to Provost Confirming Procedures Used by the Department

**Date (Refer to deadlines)**

Dear Provost \_\_\_\_\_:

On **(date)**, Professor \_\_\_\_\_, Head, Department of \_\_\_\_\_, notified Assistant Professor J. Doe that he/she intended to recommend that a notice of nonreappointment be issued and a terminal contract be offered for 200x-xx. Assistant Professor Doe was given until **(date)**, to respond to the notification. On **(date)**, I was notified by Professor \_\_\_\_\_ that Assistant Professor Doe did not respond to the notification and I was requested to recommend that a notice of nonreappointment be issued accordingly. I am enclosing copies of this correspondence.

I have reviewed the procedures used by the Department in this case. I found them to be fair and proper and that the decision to terminate was consistent with the materials (reviewed) and based on reasonable conclusions. Therefore, I am requesting that a notice of nonreappointment be issued and a terminal contract offered to Assistant Professor Doe, Department of \_\_\_\_\_, for 200x-xx.

Sincerely,

Dean

Enclosures

c: J. Doe  
Department Head

NOTE: Items in **BOLD** are to be adapted as appropriate.  
Procedures; Step 3.A

Sample of Provost's Letter to Dean

**Date (Refer to deadlines)**

Dear Dean \_\_\_\_:

I am responding to your letter of **(date)**, concerning Assistant Professor J. Doe of the Department of \_\_\_\_\_.

I shall take the necessary steps to have the Board of Trustees notify Assistant Professor Doe of his/her nonreappointment and offer him/her a terminal contract for 200x-xx.

Sincerely,

Provost

c: J. Doe  
Department Head