



NORTHWESTERN UNIVERSITY

Staff Handbook

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About this handbook

This handbook provides descriptions of policies relating to work at Northwestern University. It presents material in these general areas:

- Employment
- Training
- Work and hours
- Absence, including both paid time benefits and unpaid absences
- Payroll
- Job performance and conduct
- Services, including the Faculty and Staff Assistance Program

New members of the University staff will find this handbook a useful introduction to the way the University works, and long-standing staff members will find it a handy reference for answering many questions about University employment. The handbook also includes guidelines for job performance and behavior. A companion handbook contains summary plan descriptions of the University's employee benefit plans.

In summarizing the terms and conditions of staff employment at Northwestern, this handbook does not provide a detailed description of all employment policies and practices; each University department adopts policies particular to its functions. From time to time policies and programs of the University may change. To be sure of having current information, each staff member should confer with his or her supervisor, consult with their department head's copy of the manual *Human Resources Policies and Procedures*, or call the Department of Human Resources. Human Resources offices are located on the Evanston campus at 720 University Place and on the Chicago campus at Abbott Hall, room 150, 710 North Lake Shore Drive. The manual *Human Resources Policies and Procedures* can also be accessed through NUNet at <http://www.northwestern.edu/hr/policies/>.

This staff handbook contains the policy information ordinarily needed by staff employees of the University; but more extensive information on some matters may be found in the *Faculty Handbook*, the policy on patents, the policy on research safety, and other publications.

For jobs covered by a labor agreement, some of the policies and programs described in this handbook may be modified by the agreement or may not apply. Employees holding such jobs should obtain a copy of the labor agreement from their union steward to determine those differences.

This handbook is not an employment contract nor an assurance of continued employment. Northwestern University may change without notice any statement in this handbook concerning rules, policies, tuition, fees, curricula, courses, procedures, benefits, or other matters. Accordingly, staff employees should check the most current information if there is any doubt about the application of a policy. The current edition of this handbook is found on line at <http://www.northwestern.edu/hr/handbook.pdf>.

 Mission of the University

Northwestern University is committed to excellent teaching, innovative research, and the personal and intellectual growth of its students in a diverse academic community.

History and structure of the University

Northwestern University was established under a charter approved by the Illinois state legislature on January 28, 1851. Northwestern is a private, nonsectarian university with campuses fronting on Lake Michigan in Evanston and in Chicago.

On the 240-acre Evanston campus are:

- the Judd A. and Marjorie Weinberg College of Arts and Sciences
- the Robert R. McCormick School of Engineering and Applied Sciences
- the Medill School of Journalism
- the School of Education and Social Policy
- the School of Music
- the School of Communication
- the Graduate School
- the J. L. Kellogg School of Management

These schools enroll more than 11,700 students during the academic year.

The 20-acre Chicago campus includes

- the School of Law
- the Feinberg School of Medicine
- the Managers' Program, the evening program of the Kellogg School of Management
- the School of Continuing Studies, Northwestern's continuing education division

Approximately 2,000 full-time and 2,000 part time students are enrolled annually in the schools on the Chicago campus.

Northwestern University operates under the supervision of a Board of Trustees, whose members serve without pay. An organization chart of the University's administration appears in the University phone directory.

The University is privately endowed and self-supporting; its operating revenues for the year 2003 were \$1.1 billion. Roughly 25 percent of the University's income comes from endowment and gifts, 40 percent from student tuition and fees, 25 percent from government contracts and grants, and 10 percent from other sources.

The regular faculty of the University numbers about 2,400. The faculty of each college or school consists of the dean of the school and the school's officers of instruction: professor, associate professor, assistant professor, associate in the Medical School), instructor, and lecturer. Deans of schools report to the provost; directors of university-wide centers and various administrative departments report to a vice president.

The staff

The staff supports the faculty, students, and University in their educational and research missions.

The regular staff numbers about 4,500 employees, and over 1,000 temporary staff are added to the University employment during the academic year. Occupational categories include jobs in service, maintenance, clerical, technical, professional, and administrative areas. These job categories are common to both the academic and administrative units of the University. Each category includes numerous job classifications and titles. Staff classifications are divided into two general categories, exempt staff and nonexempt staff.

The exempt staff consists of employees whose responsibilities are primarily executive, managerial, or administrative, or whose positions require an advanced educational degree or knowledge and experience in a field considered professional. These positions are paid monthly and are exempt from the overtime requirements of the Fair Labor Standards Act (FLSA) that mandate overtime pay for time worked in excess of 40 hours per week.

The nonexempt staff consists of employees holding positions in support activities. Employees in these jobs are not exempt from the FLSA overtime provisions and they are paid by the hour and are paid 1½ times their regular pay rate for hours worked in excess of 40 in a week.

The Department of Human Resources

Role. The Department of Human Resources provides services to the University in recruiting and training, in the administration of compensation and benefits, and in payroll. The department assists other departments in meeting their staffing goals, managing job performance, and interpreting policy. The department also supports employees and their supervisors in reaching understanding and reconciling differences to promote effective working relationships.

Questions on policies and procedures. Employees and supervisors are encouraged to call on a member of the Department of Human Resources staff at any time for help in any area of policy or procedure. Any question can be addressed to any member of the department, who will answer it or direct it to the appropriate authority in the department.

Working relationships. Occasionally, a member of the University staff and his or her supervisor may have difficulty working with each other or maintaining an effective working relationship. Support for employee relations is available to assure treatment consistent with the policies in this handbook, and employees should seek help to mediate difficult discussions. Those in supervisory positions also frequently call on the Human Resources department to act as a neutral third party in order to facilitate communication and restore productive working relationships.

Employment procedures

The Department of Human Resources and the supervisor seeking to fill a job vacancy work jointly on recruiting and hiring staff and in using the services of the human resources offices in finding, screening, and selecting candidates.

Northwestern University is committed to

- affirmative action as an integral part of the process of recruitment, selection, placement, transfer, and promotion
- promotion from within whenever possible
- full and timely consideration of all candidates

Posting. The Open Positions List announces job openings to the University community and beyond to make openings available as widely as possible and to identify as many suitable candidates as feasible. Candidates may be hired only after the position has been posted on the Open Positions List for at least a week, or at least two weeks for positions above exempt grade 9. Offers of employment may be made only after the required posting period. The List is available at <http://www.northwestern.edu/hr/recruiting/>.

Transfer or promotion from within. Northwestern University assists employees in attaining personal career goals by giving qualified, interested employees an opportunity for transfer or promotion. Employees should watch the Open Positions List for job opportunities and apply at the human resources offices in Evanston or Chicago for jobs of interest. Further information follows on page 11.

Employee referrals. Employees are encouraged to refer qualified people to Northwestern University for employment.

Applications and résumés. An interested applicant applies by sending his or her resume to resume@northwestern.edu, indicating the open job for which he or she is applying as listed at the website <http://www.northwestern.edu/hr/jobs>. An applicant may also fax the resume to 847-491-5136 for Evanston campus positions or 312-503-1741 for Chicago campus positions. A staffing specialist or human resources consultant forwards appropriate applications to the hiring manager, who reviews applications and selects applicants to be interviewed. The employment counselor or consultant interviews applicants as arranged with supervisors.

Good faith search. An effort is made in good faith to include among the applicants members of groups underrepresented in the University's workforce. Searches are conducted in compliance with the equal employment opportunity laws of the United States and the affirmative action plan of the University.

Nondiscrimination

Northwestern University does not discriminate against any individual or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, sexual orientation, parental status, marital status, age, disability, citizenship, veteran or status in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

Harassment, whether verbal, physical, or visual, that is based on any of these characteristics is a form of discrimination. This includes harassing conduct that affecting tangible job benefits, interfering unreasonably with an individual's academic or work performance, or creating what a reasonable person would sense is an intimidating, hostile, or offensive environment.

While Northwestern University is committed to the principles of free inquiry and free expression, discrimination and harassment identified in this policy are neither legally protected expression nor the proper exercise of academic freedom.

Complaint. A complaint of discrimination on any basis in this policy can be filed with the director of equal opportunity, affirmative action, and labor relations. A complaint about the actions of the director will be investigated by an impartial University official. Academic exempt employees direct complaints to the department chair. Complaints involving deans are investigated by the office of the Provost. Time spent during scheduled working hours in the formal procedure is treated as time worked. Complaints of sexual harassment follow the procedures on page 51.

Appeal. An employee not satisfied with the resolution of a complaint may appeal to the associate vice president for human resources and, if still dissatisfied after that review, to the senior vice president for business and finance, whose finding is the final response for the University.

Affirmative action

Northwestern University actively seeks women, minorities, veterans, and disabled persons for employment and promotion to maintain a University community based on equal opportunity.

Accommodation of disabilities Northwestern University reasonably accommodates employees with disabilities. To be eligible for an accommodation, employees must declare their disabilities. A “reasonable accommodation” may include the purchase of special equipment, changing the physical layout of the workplace, restructuring job duties, modifying the work schedule, etc.

Once the Department of Human Resources is provided with written documentation by a physician identifying the disability and specifying recommended accommodations based on the job duties, the employee has fulfilled his or her responsibility.

The Office of Equal Employment Opportunity, Affirmative Action and Labor Relations (EEO/AA/LR) is responsible for the management, implementation and coordination of the Employees with Disabilities Accommodation policy. This office must approve all accommodations and employment decisions in which an employee or applicant has declared a disability.

The Employees with Disabilities Accommodation Policy can be accessed on line at <http://www.northwestern.edu/hr/eo/emplaccopol.html>.

Evaluative authority over relatives

No faculty or staff member may have evaluative authority in such matters as employment, compensation, promotion, or termination over another employee who is the faculty or staff member’s spouse, domestic partner, relative, or an individual with whom the faculty or staff member is having or has recently had a sexual relationship.

No faculty or staff member may have evaluative or supervisory authority (including the assignment of grades, the supervision of dissertations, or decisions relating to employment or financial support) over a student who is a relative or with whom the faculty or staff member is having or has recently had a romantic or sexual relationship.

For purposes of this policy, a relative is a blood relation, in-law, step or adoptive relative, as close as or closer than nephew or niece.

When a situation occurs that potentially violates this policy, the faculty or staff member with evaluative authority must report the relationship to his or her supervisor or department chair, dean, the Department of Human Resources, or the University Provost. If the person to whom the relationship is reported determines that such action is necessary, it is the responsibility of both the faculty or staff member with the evaluative authority and the individual to whom the relationship is reported to ensure that the evaluative authority is reassigned. If this is not feasible in a particular instance, the faculty or staff member and the individual to whom the relationship is reported must bring the matter to the attention of the Provost or the Associate Vice President of Human Resources.

Transfer and promotion

Northwestern University recognizes the value of its staff as an important asset in the community, and it encourages them to develop and consider other University job opportunities as part of their personal and career advancement.

Service requirement. To be eligible for a transfer or promotion, a staff member must be in his or her current position for at least one year. No specified service period is required for a transfer or promotion within a department, but a department may reasonably limit such transfers or promotions.

Performance requirement. A staff member must receive an overall evaluation of satisfactory or effective on the most recent performance review and have no current disciplinary action.

Qualifications. To be considered for transfer to another position, a staff member must meet the minimum qualifications of the position.

Application. To ensure consideration for a position, the staff member submits an application for transfer or promotion along with a resume to the human resources department. The staff member may work with a human resources consultant, staffing specialist, or other human resources representative on jobs of interest. The application is found on line at <http://www.northwestern.edu/hr/jobs/transfer.html>.

Hiring manager. The hiring manager reviews applications and determines whom to interview for the position. The hiring manager may contact the staff member directly to set up an interview.

References. The hiring manager, a human resources consultant, or a staffing specialist checks at least two references when the staff member becomes a candidate of choice for the position, normally, including the current supervisor.

Supervisor notice. In general, the staff member is notified his or her supervisor during the transfer process. The human resources consultant or staffing specialist may coordinate this notice.

Performance evaluations. Performance evaluations of finalist candidates are confidential but may be made available to the hiring manager.

Decision. Offer decisions are made jointly by the hiring manager and the staffing specialist or human resources consultant, who reviews the offer for equity and adherence to compensation guidelines.

Transfer date. The human resources consultant or staffing specialist coordinates the transfer date with the hiring manager and the employee's current manager. Generally, exempt staff members provide three weeks of working notice and nonexempt staff provide two weeks of working notice, but the needs of the supervisors may call for other arrangements.

Vacation and sick time. When transferring to a new position in the University, the individual retains the vacation and sick time accrued in the former position. For transfers between nonexempt and exempt, see page 25.

Pay practice

Lateral transfer. A staff member who transfers to a position having the same grade or salary range is not eligible for a salary increase and remains at the same salary in the new position.

Promotion. A staff member who transfers to a position having a higher grade or salary range may be eligible for a salary increase. The amount of the increase is based on the compensation guidelines for promotions.

Orientation and review period. The staff member is required to complete a six-month orientation and review period in the new position. The staff member retains the accrued University service after the transfer to the new position.

Orientation and review period

The orientation and review period gives the supervising staff or faculty member an opportunity to provide orientation and training for a new staff member, to review the performance expectations for the position, and to determine whether expectations are met during the initial period on the job. The goal is success on the job for the new staff member.

Length. The orientation and review period is the initial six months of service in the position. Police officers work on a probationary basis for the first 12 months.

Procedures. The staff member can expect to complete an orientation checklist, to receive a job description and work schedule and a schedule of training and feedback meetings. Written performance expectations or objectives can be expected, as well as meetings to review progress and performance during the review period.

Performance evaluation. Performance is typically evaluated at the end of the review period.

Unsatisfactory performance in new position. An employee who is not performing adequately in a position may be recommended by the supervisor for extension of the review period or for dismissal from that position at any time during the review period.

Employment at will

Successful completion of the orientation and review period does not guarantee continued or permanent employment. Either the employee or Northwestern University may end the employment relationship at will, with or without cause or advance notice, at any time during or after the orientation and review period.

Termination of employment	<p>Notice. Employees must provide two weeks of working notice to their supervisors to leave the University in good standing.</p> <p>Exit interview. Terminating employees should schedule an exit interview with the Department of Human Resources at least a week before their last work day.</p> <p>University property. Before the last day of work, employees must return to their department any University property, materials, and written information issued to them and in their possession. This property may include credit cards, identification badges or cards, keys, manuals, calculators, computers, other office equipment, key cards, and other materials. Northwestern will take all appropriate action to recover its property.</p> <p>Benefits. The employee is notified in writing by the Benefits Division of the Department of Human Resources about benefits that may be continued.</p> <p>Vacation. Unused accruals of vacation and personal floating holidays are paid on the payroll following the individual's last pay period and the employing department's notice to the payroll division that the employment has ended.</p> <p>NetID and email. Email and NetID access are terminated within 21 days of the termination date.</p> <p>Future references. Former employees who want the University to verify employment can use the automated verification service by following the instructions at http://www.northwestern.edu/hr/hris/personal/payroll/employverify.html. Northwestern verifies dates of employment, job title, and salary.</p>
Reinstatement	<p>An employee who leaves University employment in good standing may be reinstated within 30 calendar days to an available regular position for which he or she is qualified without the loss of prior service or benefits status. Paid time benefits are not accrued during the absence and the number of days absent is not included in the calculation of University service.</p>
Rehire	<p>Northwestern University considers reemploying people who have separated from the University when the previous work record, the reason for the separation, and the present qualifications warrant consideration.</p> <p>Individuals may not be reemployed without the approval of the associate vice president or appropriate administrator in the Department of Human Resources. A record of the approval becomes a part of the personnel file. The rehired individual is considered a new employee with no University service for the purposes of accruing paid time benefits, service recognition, and qualifying for tuition, retirement, and insured benefit plans.</p>

Training Opportunities

Northwestern University offers a wide range of professional development opportunities through which employees can enhance their workplace skills and knowledge. Educational development is supported across the University. Participation in work-related courses or educational programs during work hours is at the discretion of the manager or department head.

The Training and Development Division of the Department of Human Resources offers workshops and coaching throughout the calendar year. Employees may register for a variety of offerings, including leadership and management, business processes, workplace skills, computer applications, and organization development. These workshops are held on both the Evanston and Chicago campuses. The Training and Development Division publishes and distributes quarterly schedules of offerings. In addition, all information can be accessed on-line at <http://www.northwestern.edu/hr/training>.

Recognition programs

Northwestern offers a variety of employee recognition programs, awards, and activities. These include

- Service Excellence Awards
- annual Staff Service Recognition Luncheon
- Length of Service Recognition.
- Employee of the Year Award

The Service Excellence Award program provides recognition for exceptional service performance. Nominations from anyone in the community, including faculty, staff, students, supervisors, vendors and others, are accepted throughout the year to recognize instances of exceptional service rendered by a staff employee.

Employees are honored with length of service recognition after their 5th, 10th, and 15th anniversaries. Employees who have completed 20, 25, 30, 35, and 45 years of service during the preceding year are honored at the annual Staff Service Recognition Luncheon.

The Employee of the Year award recipients and finalists for each campus are honored at the annual Staff Service Recognition Luncheon. A call for nominations and an explanation of the selection criteria are made in University publications and by email.

For further information concerning these offerings, contact the Training and Development Division, at 847 467-5081.

The work day

Scheduled work hours vary among departments, with the most common full-time schedules totaling 35, 37½, or 40 hours per week. A 35-hour work week is the minimum considered full time. Most regular work schedules continue throughout the year, but some are partial year (for example, nine- or ten-month) work schedules. Nine-, ten-, and eleven month employees are considered full time during the months when they work the full work week.

The most common office hours of the University work day are 8:30 a.m. to 5:00 p.m., Monday through Friday. However, each department determines the hours of work for its employees as necessary to staff its operations. Departments and supervisors set and adjust individual employee schedules to meet the department's operational needs. They may adopt work schedules to accommodate individual employee needs to the extent that department operations permit.

Varying schedules

A work schedule can be any combination of days and hours totaling no more than 40 hours in a work week. The hours scheduled for work must total to the standard hours budgeted for the position. No combination of hours and days may exceed 14 days without a full day off.

Working a regular daily schedule is not a University requirement, although working a regular daily schedule may be a departmental requirement. Work schedules can vary among employees within the same office or department throughout the year, or they can be changed on a seasonal or other basis.

Examples of flexible scheduling with this policy include a schedule in which an employee works four days of 10 hours each for a total of 40 in the week, or a work schedule of three days of 9½ hours and one day of 9 hours for 37½ hours in the week. Overtime at 1½ times the nonexempt employee's hourly rate is paid for any hour worked over 40 hours in a work week.

School or administrative department business offices may choose to coordinate schedules in the departments of the unit. For staff using the Electronic Time Entry System (ETES) to record hours, the payroll division must be notified of a schedule change prior to the beginning of the pay period when the change is to occur.

Recording hours

Nonexempt staff are required to report accurately all work hours, as well as paid time off, and are required by law to be paid for all time worked. The staff member's accounting of all scheduled hours and worked hours is reported on the Biweekly Employee Time Report or in the Electronic Time Entry System (ETES). Anyone falsifying the reporting of work time or time off is subject to disciplinary action up to and including discharge from University employment.

The individual's NetID and password are used to access ETES. When properly used, the NetID and password are considered authorizing signatures for entries and approvals.

Instructions for reporting time through ETES begin on page 43. Instructions for use of paper time sheets begin on page 37. The department manager or the individual's supervisor can inform the nonexempt staff member about the time reporting method in use in the department.

Exempt staff positions may require employees to work beyond the hours of the work week normally scheduled. Exempt employees are not compensated for this time nor provided compensatory paid time off. Exempt employees are not required to record work hours or scheduled hours.

Lunch periods

Lunch periods are unpaid and range from a minimum of 30 minutes to a maximum of one hour. However, for certain employees who are required to remain on duty or on call through the lunch period, the lunch period is part of the paid work shift. Employees are not allowed to shorten or eliminate scheduled lunch periods to alter the beginning or ending of a workday. In a work period of 7½ hours or more, a meal period of at least 30 minutes must be provided before the end of 5 hours of work.

Rest periods

In work situations where employees are free to move about and visit restrooms from time to time, formal rest periods are unnecessary. Therefore, many departments and offices do not have formal rest breaks. However, full-time employees who are substantially bound to one work site and to continuous tasks without freedom to move should have a specific rest break each half day. Under similar working conditions, part-time employees who work at least four but less than seven hours per day are eligible for one such rest break per day.

Rest periods do not exceed 15 minutes and may not be accumulated or used to shorten the beginning or ending of a workday.

Rest breaks are scheduled at the discretion of the supervisor.

Salaries	<p>It is the University's goal to pay staff salaries that are equitable within the University and related to the salaries paid for similar work in the appropriate labor market. Accordingly, most positions are classified and then assigned salary ranges that define the minimum and maximum pay for the position. An employee's salary may advance within the salary range as the result of periodic performance and salary reviews. Such increases in pay are considered merit increases, which may vary in amount according to supervisory evaluation of the employee's performance. In general, salaries are reviewed annually. Salary increases that are granted ordinarily take effect on or near September 1, the beginning of the University's fiscal year. Bargaining unit employees receive increases according to terms of their labor agreements.</p>
Performance review	<p>Employees participate in an annual performance review, in which the employee and supervisor discuss how well work expectations have been met. The supervisor evaluates performance in terms of achievement of standards and objectives related to job responsibilities. The performance rating is considered in determining the amount of the employee's annual salary increase.</p>
Pay periods	<p>The work week of the University starts at the beginning of Sunday and ends at the end of the following Saturday. Nonexempt staff are paid every two weeks on the Friday following the end of each two-week pay period.</p> <p>Exempt employees are paid monthly, and paychecks are issued on the last working day of the month.</p>
Overtime	<p>For the hours worked beyond 40 in a work week, paying the premium rate of 1½ times the regular hourly rate is required for nonexempt employees. Time paid for University scheduled holidays is considered time worked when computing premium overtime in a week where a University scheduled holiday falls.</p> <p>Not paying the rate of 1½ times the regular rate for hours worked beyond 40 in a work week is a violation of federal law.</p>

Types of Absence

Definition. A staff employee is considered absent if he or she is not present for work as scheduled, regardless of cause.

Paid absences and unpaid absences. Some absences are paid as benefits. These paid time benefits are described on pages 20 to 29. Some other absences are excused but they are not paid. Unpaid absences are described on pages 30 to 33.

Scheduled absences. An employee is to notify his or her supervisor as early as possible about scheduling absences, whether paid or unpaid. Scheduled absences are arranged at the mutual convenience of the department and the employee. An employee's request for absence may be denied, especially if the absence interferes with department operations, as when the request is not sufficiently in advance of the requested date.

Unscheduled absences. On each day that a staff member takes an absence not scheduled in advance with the supervisor, the employee is to advise the supervisor and give the expected return date.

Lack of notice to the supervisor for an absence of three consecutive days indicates that the individual has abandoned the job and is grounds for termination of employment. Lack of notice during an absence of less than three days is grounds for corrective action that may include termination of employment.

Excessive absence. Unexcused absences are cause for corrective action and may result in termination. Excessive excused absences may also be reason for corrective action. Each department defines excessive absence based on its own operations and informs its employees of its policy.

Documentation of absence. A supervisor may require documentation from an employee for requests for absence prior to the absence or at the time of returning from the absence. Documentation or justification is not required for vacation or personal floating holiday time unless an emergency necessitates short notice.

Tardiness

Staff members are expected to be at their place of work, prepared to work, at the times established by supervisors. An employee is tardy if he or she fails to report to the assigned workplace, prepared to work, at the scheduled time. This includes returning from breaks and lunch periods.

Departments define the punctuality standards for their operations and communicate them to employees. Staff members who expect to be late are to notify their supervisors according to the department's procedures.

Excessive tardiness is grounds for corrective action and may lead to termination of employment.

For each full or partial six-minute period that a nonexempt staff member is late, time worked is reduced by one-tenth of an hour and is recorded on the Biweekly Employee Time Report or in the Electronic Time Entry System (ETES) as unexcused absence, with the code UXA.

Supervisors may adjust work schedules to accommodate an individual's scheduling need. However, if a nonexempt staff member is not at work, the individual is not paid for that time, unless he or she has arranged with the supervisor in advance the use of paid benefit time, such as vacation or paid sick time. A nonexempt employee may not be paid for time not at work, as when tardy, and may not work any hours (such as to compensate for tardiness) without being paid for them. The employee is to be paid according to the time actually worked, even if this time does not coincide with the planned work schedule.

Vacation accrual for
nonexempt staff

Nonexempt staff earn vacation according to the following schedule.

Service completed	Qualified service period in years	Approximate annual vacation	Vacation factor
Under 6 months	0.00 - 0.49	1 week after 6 months	.0385 per hour
6-12 months	0.50 - 0.99	2 weeks after 12 months	.0770 per hour
1 – 9 years	1.00 - 9.99	3 weeks	.0575 per hour
10 – 19 years	10.00 - 19.99	4 weeks	.0767 per hour
20 years	20.00 or more	5 weeks	.0958 per hour

The **qualified service period** is the amount of employment service used as the basis for benefits accumulations. It consists of the service since the hire date and excludes time off for sickness or leaves of absence, except military leave.

During the qualified period of service indicated in the table, vacation is calculated by multiplying the **vacation factor** by the employee's **accrual base hours**.

Accrual base hours are regular, scheduled work hours. These scheduled work hours may be paid as

- regular hours worked, but not overtime hours worked
- vacation
- holiday time, whether personal floating holiday or scheduled by the University, or
- leave for jury duty or a funeral

For each of these hours, the employee receives as vacation the fraction of an hour indicated by the **vacation factor**.

A full-time work schedule without leaves or sickness absence results in accrual of the **approximate annual vacation** indicated in the table.

Vacation is *not* accrued on hours reported as absent without pay or during sick time or family leave, whether paid or unpaid. When the vacation accrual maximum has been reached, vacation is not accrued until some vacation has been used, as described below in the section "Maximum accumulation of vacation time."

Vacation accrual for exempt staff

Vacation balances for exempt staff are maintained by the department, and yearly totals are submitted to the HRIS Division of the Department of Human Resources. Listed below are the amounts of vacation time exempt employees receive.

Service completed	Annual allowance	Days earned per month
Under 6 months	1 week	0.83
7 - 12 months	2 weeks	1.67
1 - 9 years	3 weeks	1.25
10 - 19 years	4 weeks	1.67
20 or more	5 weeks	2.08

After six months of continuous service, employees may use one week of vacation time. After completing the first year, employees may use the remainder of the first year's vacation. Thereafter, for those paid monthly, one-twelfth of the annual vacation time is accumulated at the end of each completed month of service.

Accrual calculation

Following the first year of employment, an employee accrues vacation time at the end of each pay period. Accumulated vacation time appears on a nonexempt employee's payroll check stub or direct deposit notice. The employing department maintains records of vacation accruals and usage for exempt employees.

Maximum accumulation of vacation time

Staff members, both exempt and nonexempt, do not accumulate more than one and one-half times their annual allowance of vacation time at any time during the year. When this maximum has accumulated, no additional vacation accrues until some of the accumulated time has been used and the accumulation falls below the maximum. For an employee who has reached the maximum accumulation, vacation that might otherwise accrue is lost. The employee and the department must assure that vacation time is scheduled to avoid losing it. Employees who separate from the University are paid their accrued vacation up to the maximum allowed.

Accruals for 9- 10- and 11-month work schedules

Employees working 9, 10, or 11 months per year accrue vacation and nonexempt sick time at the rates shown in these tables during the time paid in the 9, 10, and 11 months of the work schedule. Vacation and sick time do not accrue during the months off work, and consequently the annual amount of vacation accrues in proportion to the number of months worked during the year. In addition, the University service indicated by the "Qualified service period" and "Service completed" in the tables above accrues during the time worked in the 9-, 10-, or 11-month schedule but does not accrue in the months not worked. During the months not worked, employees on these schedules are on leave of absence to assure continuity of benefits.

Using vacation time

When available. Vacation is available for use in the first full pay period following the date when six or twelve months of service is completed. After six months of continuous service, employees accrue and may use up to one week of vacation time. After completing the first year, employees may use the remainder of the first year's vacation.

Scheduled. Use of vacation time must be scheduled in advance in accordance with department rules. The department and the employee schedule vacation time when it is mutually convenient. The department may limit the amount of vacation taken at one time in consideration of departmental needs and the vacation entitlement of other employees. Departments may specify periods when no vacation may be taken.

No advance. Vacation time is not advanced, that is, vacation cannot be taken before it is accrued.

Not cashable. No payment is made to an employee in lieu of vacation time, except at termination of employment.

Portability. Employees who transfer from one department to another retain their accumulated vacation time.

Coinciding holiday. When a University holiday falls during an employee's vacation, the day is paid as holiday time rather than as vacation.

 University scheduled holidays

Employees are paid their average daily rate for the scheduled holidays observed by the University.

The University observes these holidays and pays employees for the day:

New Year's Day	Labor Day	Friday after Thanksgiving Day
Memorial Day	Thanksgiving Day	Christmas Day
Independence Day		

Additional holidays may be scheduled, usually at Christmas and New Year's. The Department of Human Resources publishes a calendar of the dates on which holidays are observed. Normally, holidays whose traditional date falls on a Sunday are observed on the following Monday, and holidays falling on a Saturday are observed on the previous Friday.

 Holiday pay

Average rate. Nonexempt employees are paid one tenth of their position's biweekly standard hours for the holiday, calculated scheduled biweekly hours divided by 10.

Holiday work. Nonexempt employees required to work on a regular holiday receive pay at a rate 1½ times their regular hourly rate for the work on the holiday, plus an alternate day off with pay as a substitute for the holiday. If management determines that it cannot schedule another day off within 30 days before or after the holiday worked, the employee receives the alternate day's straight time pay in lieu of the day off. Hours paid but not worked do not count toward overtime pay in the week paid.

Alternate holiday. If a holiday falls on an employee's scheduled day off, the employee receives an alternate workday off, scheduled within 30 days of the holiday.

Forfeiture for absence. To be paid for a university scheduled holiday, exempt and nonexempt employees must be in paid status for at least 50 percent of the pay period in which the holiday falls. The holiday itself is included in the pay period hours, whether 70, 75, or 80, but is excluded from the paid status time for determining holiday pay eligibility.

Paid status means being paid for time

- at work,
- on paid vacation,
- on approved, paid sick time,
- for a personal floating holiday,
- on jury duty,
- on funeral leave, or
- on paid military leave.

Scheduling of vacation, personal floating holidays, and alternate holidays is always at the mutual convenience of the employee and the employing department and requires the prior approval of the supervisor.

Newly hired employee. A newly hired employee is eligible for holiday pay for a holiday following the first day of work if the employee works 50 percent of the work days between the first day of work and the end of the pay period.

Personal floating
holidays

The University annually provides up to three days of paid time absent from work, to be scheduled at the discretion of the employee and with the approval of the department or supervisor. Floating holidays are made available to employees for personal business, family sickness or bereavement beyond the leave, religious observance, or other occasions of their choosing on University business days. Floating holidays may also be used to extend vacation.

Eligibility. An employee with six months of service is entitled to take three personal floating holidays before the end of the year, with a day becoming available on each of January 1, April 1, and July 1 following the completion of six months of service.

No carryover. For nonexempt staff, floating holidays earned during the year at the dates specified must be taken by the end of the last full pay period of the year and may not be taken in a final partial pay period of a calendar year or in the following calendar year. Floating holidays not taken in the year earned are converted to sick time days, available as paid sick time in case of illness. For exempt staff, floating holidays unused by year-end are forfeited.

Scheduling. Floating holidays must be scheduled with the employee's supervisor. If department work and other vacation and holiday schedules permit, the floating holiday may be scheduled with other holidays or vacation.

Floating holidays are to be scheduled as far in advance as possible to permit coordination of department work loads. Scheduling of holidays on short notice for emergency purposes is at the discretion of the department or supervisor, and the supervisor may request documentation of the reason for emergency use.

Paid sick time Northwestern University provides paid time as a form of income protection for employees unable to work because of illness. Paid sick time is applicable only to absence required by bona fide disability and related visits to certified caregivers for treatment.

Accrual for nonexempt employees During each year of full-time service, a nonexempt employee may accrue up to 10 days of time that may be taken as paid time absent if a disability or illness renders the employee unable to work. Part time employees accrue the fraction of 10 days of sick time proportionate to the fraction of full time that they work.

Sick time accrues with additional service and continues to accrue from year to year without limit. Longer service employees accordingly have greater income protection in case of serious disability or sickness.

Paid sick time is not accrued on hours that are reported as absent without pay or that are taken as sick time, whether paid or unpaid.

Available paid sick time for exempt employees Paid sick time is available to exempt employees on the following schedule.

In this year of continuous service . . .	As indicated by this qualified service period (in years) . . .	The days of paid sick time available are . . .	At this percent of salary . . .
First	0.00 - 0.99	1 per completed month, up to 10	100
2nd and 3rd	1.00 - 2.99	20	100
4th and 5th	3.00 - 4.99	42	100
6th through 10th	5.00 - 9.99	65	100
		65	60
11th and after	10.00 or more	130	100

For exempt employees, unused sick time days are not accumulated and are not carried forward for use in another year. As indicated by the qualified service period, the amount of sick time changes on the service anniversary.

Transferring between nonexempt and exempt status A staff member transferring from a nonexempt position to an exempt position receives the sick time allocation for exempt staff based on the qualified service period.

An employee transferring from an exempt position to a nonexempt position receives the sick time accrual based on the accrual for the person’s qualified years of service less the number of sick days taken in those years.

Sick time and Workers’ Compensation Absence due to an injury on the job or occupational disease is not charged to sick time but rather is paid as Workers’ Compensation.

Use of paid sick time

Evidence. A supervisor may require satisfactory evidence for any claim for paid sick time. An employee who reports that his or her doctor has advised not working may be required to provide a statement from the caregiver to receive paid sick time. The caregiver's statement must say that the employee is disabled and unable to work without endangering his or her health or the health of others in the workplace. Upon returning to work after an absence of 15 or more working days, the employee is required to submit a physician's statement about ability to return. A department may require such a statement after a shorter period of absence.

Physician visit. Visits to certified caregivers for treatment or checkups qualify for use of sick time. This use of paid sick time must be scheduled at a time least disruptive to department operations and requires supervisory approval. Documentation may be required.

No advance. Paid sick time is not available in advance of accrual.

Portability. Transfer from one position or department to another does not affect an employee's sick time accumulation.

Available if disabled from work. An employee who must cease work because of illness or disability qualifies for payment of accrued sick time prior to termination or leave of absence from employment. The scheduling of this benefit may be coordinated with benefits provided by the University's short term and long term disability plans.

Abuse. Sick time abuse is a basis not only for disapproval of sick time pay but also for corrective action, up to and including termination of employment.

Retirement bonus. A nonexempt employee who retires from the University at age 60 or older is paid a bonus equal to 25 percent of the value of accumulated sick time, to a maximum of \$3,000.

Supplemental disability insurance

Disability insurance is available in addition to the paid sick time benefit. Staff members with short service with the University may find the Short Term Disability Plan insurance to be valuable protection of income in cases where they have not accrued very much sick time. Details on the Short Term Disability can be accessed at <http://www.northwestern.edu/hr/benefits/>.

Long Term Disability insurance is recommended for all. Costs and benefits for this plan are found at <http://www.northwestern.edu/hr/benefits/>.

Sick time for pregnancy and maternity

Pregnancy. Earned sick time is applicable to disabilities due to pregnancy that prevent the employee from working scheduled hours.

When a pregnant employee leaves her job while still able to work, either permanently or on an authorized leave of absence, she does not receive paid sick time, because the absence is not due to disability.

Maternity. For time off work during the disability following delivery, up to six weeks of accrued paid sick time may be used. A participant in the Short Term Disability plan may also apply for benefits from that plan.

Additional time off for maternity. An employee may seek up to an additional six weeks of leave for child care, whether the additional time is needed for disability or wanted for family care.

- Paid sick time. If additional accrued paid sick time is requested for disability beyond the six weeks accrued and made available for maternity, the employee must provide the department with a caregiver's statement to establish that the employee is still unable to work because of the disability.
- Vacation and holiday pay. For the additional six-week period, the employee may be paid by using accrued vacation and personal floating holidays.
- If disability is the reason for extending the maternity leave beyond six weeks and if the employee has participated in the University's Short Term Disability Plan, she may apply for benefits to be paid according to that plan.
- When the paid time is exhausted within 12 weeks of the delivery, including time paid from the accruals of up to six weeks of sick time and accruals of vacation and personal floating holidays, the paid time may be followed by unpaid leave of absence.

Holding the job. An employee who has completed 12 continuous months of employment and has worked at least 1250 hours during those 12 months will have the job held during the 12 week period of leave.

Sick time for illness in the immediate family

Up to five working days in a calendar year may be used from the paid sick time allowance to care for a close relative who is ill. For the purpose of this policy, "close relative" is limited to

- a child (natural, adopted, or foster child; or a stepchild or legal ward) under 18 years of age or, if older, unable to care for himself or herself because of a serious illness or disability
- a parent (natural, foster, or adoptive parent; or a stepparent) or legal guardian of the employee or employee's spouse
- a spouse or NU-registered domestic partner.

See also the provisions for leave for family care on page 31.

Election time	<p>Employees who are unable to vote before or after regular working hours on Election Day may take the time needed to vote, not to exceed two hours, during the working day without loss of pay. Prior supervisory approval is required.</p> <p>An employee must notify the supervisor in writing at least two days before the election of why he or she needs to vote during working hours.</p>
Funeral time	<p>Employees may receive paid time off from work to attend a funeral or make funeral arrangements for close relatives.</p> <p>Up to three days' absence with pay is allowed for death in the immediate family (parent, stepparent, spouse or NU-registered domestic partner, child, stepchild, sibling, or stepsibling).</p> <p>Up to one day is allowed for a grandparent, grandchild, child-in-law, parent-in-law, brother- or sister-in-law, or stepsibling-in-law.</p> <p>With prior supervisory approval, additional time for travel or making arrangements, or for the funeral of another relative such as an uncle, aunt, nephew, or niece, may be taken as vacation, personal floating holiday time, or absence without pay.</p> <p>The employee should provide the supervisor with as much notice as possible. Evidence of the death and relationship may be required.</p>
Jury duty	<p>The University encourages participation in jury duty. An employee is allowed to be absent with pay for jury duty but is expected to report for regularly scheduled work on days when not required to perform jury duty.</p> <p>Pay during jury duty. Pay for petit jury duty, such as for Cook County, may be retained by the employee. When an employee serves on a grand jury, as in federal matters, his or her regular pay is reduced by the amount of grand jury pay received. The employee should call the Payroll Office for instructions for this occasion.</p> <p>Notice. An employee should provide appropriate documentation with as much notice as possible to the department head, who forwards the notice to the Department of Human Resources. The employee must provide proof of jury duty service upon return to work.</p> <p>Reporting. Exempt employees are to send proof of jury duty service to the Payroll Division of the Department of Human Resources for the employee file.</p>

Military reserve
training

The University grants time off for mandatory periods of training to eligible employees who are members of a military reserve or National Guard unit. Employees who have completed at least six months of University service receive their regular University wages for this period, less the amount of gross pay from federal or state authorities, for training periods of two work weeks or less.

Military leave for active duty

Eligible employees who enlist or are inducted into the armed forces of the United States are entitled to military leave of absence by federal law.

Military leaves continue until any of the following:

- 90 days after date of discharge or release from active military service
- 31 days after date of release from six months of active duty training
- 90 days after release from hospitalization, provided this does not extend more than a year beyond the date of discharge

Paid time accruals. On starting military leave for active duty, the employee may have vacation and personal floating holiday accruals paid by check. Sick time accruals are not paid, but the balance of the accrual at the time of starting the leave remains available at the time the individual returns to employment with the University.

Employee requests leave. The employee's written request for a military leave of absence should be submitted to the employee's department head who forwards it to the appropriate administrator in the Department of Human Resources. Evidence of the induction or enlistment date should be attached.

Affect on benefit plans. The various benefit plans for an employee granted a military leave of absence are affected. For more information, contact the Benefits Division of the Department of Human Resources.

Return from military leave. An employee returning from military leave is reinstated to his or her former or a comparable position unless such reinstatement is impossible or unreasonable for the University. University service continues to accrue to the credit of the individual during the period of leave for active military duty.

Leave of absence	<p>For employees with at least one year of service, the University grants unpaid leaves of absence for family needs such as adoption or foster care of a child, or care of a spouse, child, or parent with a serious health condition, and grants medical leave for a personal serious health condition. The University may also grant leaves for personal development, research, or travel. Leave is provided after layoff following the discontinuation of a job.</p>
Kinds of leave	<p>Paid leave is available for absence due to sickness or injury and for military duty, as described starting on page 25.</p> <p>Unpaid leave of absence is granted for</p> <ul style="list-style-type: none"> • personal medical care, for an employee's serious health condition; • maternity, which is a form of family care leave; • family care, for adoption, or to care for a serious health condition of a spouse, parent, or child; and • personal development.
Provisions for each kind of leave	<p>Leaves of absence of each kind have provisions with respect to each of the following:</p> <ul style="list-style-type: none"> • availability • duration • holding the position • benefits available during the leave • certification and approvals <p>General descriptions of the provisions follow. Detailed provisions governing these leaves and an application form are found in the leave of absence booklet, available on line at http://www.northwestern.edu/hr/forms/LOABook2002.pdf, and at the Department of Human Resources</p>
Availability of leaves of absence	<p>Personal medical care or family care. A leave of absence is available to an employee for care of a personal serious health condition or for family care if the employee has completed 12 continuous months of employment and has worked at least 1250 hours during those 12 months.</p> <p>Personal leave. A leave of absence for personal reasons, such as personal development related to Northwestern work or career, for travel, or for research, is available to employees who have completed at least 12 continuous months of University employment.</p> <p>Unpaid leave of absence may be granted after accrued paid time benefits are exhausted. If departmental operations permit, a personal leave of absence may be granted for sufficient reason to eligible employees who wish to continue University employment but find that they need more time away from work than is available in their accrued vacation and personal floating holidays.</p>

Duration of leaves of absence **Leave for personal health or family care.** An absence of up to 12 weeks is available during which the employee's job or an equivalent job is held for the employee and benefits can be continued. Paid time for personal health for family care is used prior to unpaid time in this order:

- available paid sick time or paid family sick time,
- accrued vacation and personal floating holiday time, and
- unpaid leave.

An unpaid medical absence extending beyond two weeks requires that a medical leave of absence be approved prior to the absence or as soon as possible during the absence if the employee is to retain employment status with the University.

End of leave. A leave of absence ends on return to active employment, whether at Northwestern or any other employer. The staff member who does not report to work at the expiration of a leave or does not request an extension of the leave at least two weeks before the expiration indicates to the University that he or she is abandoning the job.

Holding positions during
leaves of absence

Personal medical care and family care. Leave for personal medical care or for care of a parent, spouse, son, daughter, or NU-registered domestic partner – and including leave for childbirth – provides for holding the employee's position or a similar position for 12 weeks from the start of the serious health condition. This 12-week period includes any paid time taken since the onset of the condition, such as holiday time, vacation, and paid sick time.

During leaves for the care of family members other than those listed above, the position can be held for the employee if departmental operations permit.

Similar position. If departmental operations require, a different position equivalent in pay and benefits and with similar responsibilities may be held by the department for the employee to assume on return from the leave.

Intermittent and reduced schedule leave. If an intermittent or reduced schedule leave is granted for family or personal medical care, the employee may be required to transfer to another, perhaps dissimilar, position in the department with equivalent pay and benefits.

Leave at large. A leave is considered at large when the position cannot be held for a personal leave or after the 12 weeks of holding the job during a medical leave. (Family care leave is not extended beyond 12 weeks, but medical leave for an employee's own serious health condition is available beyond 12 weeks.) A leave at large provides no guarantee that the employee will obtain other Northwestern University employment.

Benefits during leave of absence

Service accrual preserved. A leave of absence enables an employee to return to active employment at the end of the leave without loss of service credit accrued at the time the leave began.

Paid time benefits accruals. Employees do not accrue vacation, personal floating holidays, paid sick time, or holiday time while on an unpaid leave of absence; nor do they accrue service credit during the leave, unless on active duty military leave.

Insurance benefits availability. During leave of any length for personal medical care, the employee pays only the employee share of health plan premiums. Leave for family care permits the employee to continue insured benefits for up to 12 weeks, with the University paying the employer share and the employee paying the employee share. During a leave of absence for other reasons, and for nonmedical leave beyond 12 weeks, the employee may continue insured benefits by paying the entire premium, as usually paid by both the employer and the employee.

Long term disability. For participants in the Long Term Disability plan, benefits may be available after six months of medical disability. For eligibility requirements, call the Benefits Division of the Department of Human Resources. The employee may also qualify for Social Security disability benefits.

Certification and approval for leaves of absence.

Written request. The employee's written request specifying the reason for the leave and the start and ending dates must be submitted to the department manager at least two weeks before the leave starts, except in emergency.

Provider certification. For a medical or family medical care leave, a written statement from the health care provider is required. The certification form is available in the Leave of Absence booklet available from the Department of Human Resources or on-line at the address above.

Approval of leave. An absence of more than two weeks for medical for family care, or for other personal reasons, requires a leave of absence approved by the Department of Human Resources if the employee is to retain employment status.

Return to work. To be restored to active employment after a medical leave of 15 or more work days, the employee is required to submit a medical certification of ability to return to work.

Benefit plans

Northwestern University provides the following benefits to eligible employees:

- group term life insurance
- optional term life insurance
- health care plans
- dental care plans
- flexible spending account (FSA)
- short term disability plan
- long-term disability (LTD) plan
- accidental death and dismemberment (AD&D) plan
- educational assistance plan for employee undergraduate and graduate study at Northwestern University
- portable tuition plan
- retirement plan
- travel accident plan

No individual may be covered more than once simultaneously under any University sponsored employee benefit plans.

Plan descriptions

A companion to this handbook contains the summary plan descriptions for each of the University's benefit plans. The plan descriptions are also available on line at <http://www.northwestern.edu/hr/benefits/>.

Faculty and Staff Assistance Program

The University offers to its faculty and staff a cost-free, confidential, voluntary counseling service for help in handling issues of personal life such as problems of relationships with others, loss of a loved one, alcohol or drug use, stress from work or from emotional pressure, financial or legal issues, or other personal problems. The service is provided for the faculty and staff and for members of their families or households.

Perspectives, Inc., provides the service as a contractor to the University, but Perspectives works separately from the University and shares no files or individual names with the University. The use of their service is a matter between the faculty or staff member and Perspectives, and is not reported to the University except as summarized in statistical reports.

Perspectives, Inc., is staffed by licensed clinical social workers and has affiliated professionals at the doctoral level or equivalent in psychological, legal, financial, and other areas. Perspectives has a number of offices in the Chicago metropolitan area, and appointments can be arranged at the convenience of the faculty or staff member, whether near home or near either campus. To make an inquiry or arrange an appointment, call Perspectives at 800-456-6327. Counselors are available 24 hours a day.

Direct deposit

Direct deposit is the usual method of wage payment to employees paid through Northwestern's payroll system. It guarantees that wages will be deposited in the employee's bank account on payday, even if the employee is absent or on vacation. Each payday the employee receives a direct deposit verification, similar to a pay stub, confirming the amount paid, deductions, and the amount deposited.

Some local banks offer free checking accounts to Northwestern employees who have direct deposit. For bank information and direct deposit applications, contact the Payroll Division of the Department of Human Resources.

Employees can sign up for Direct Deposit by using the HRIS Self-Service feature at <http://nuhr.northwestern.edu/>.

Personnel records

The Department of Human Resources maintains a personal file for every employee. The file includes the record of transactions relating to employment at the University. The file is confidential, and no information is provided to persons outside the University without the employee's consent or legal authorization.

An employee interested in reviewing his or her personal file may request a review in writing to the Department of Human Resources.

After separation from employment by the University, files are available for an employee's review until one year after the separation.

Home address, telephone, and other required information

Home address and phone. Employees are required to maintain their home address and telephone number on the University's HRIS on-line self-service web page, available at <https://nuhr.northwestern.edu>.

Other information. A change of name or marital status, or information about a birth or death in the staff member's immediate family should be reported to the Payroll Division. This information is submitted on the Personal Data Form, available from the employee's department or from Human Resources and at <http://www.northwestern.edu/hr/hris/>.

Name changes must be accompanied by a copy of the Social Security Card bearing the same name as the name to be used in the payroll system.

Name and address changes are reported to the providers of benefits, such as HMOs. However, it is important to notify the Benefits Division of Human Resources of any change in family circumstances that will affect those who are covered by or who are beneficiaries of employee insurance plans.

Employee identification card

An identification card with a photograph is issued by the Department of University Services to new employees when hired. Identification cards provide access to University buildings, library borrowing privileges, personal check cashing privileges at the Bursar's Office, and discounts on tickets to certain University theater and sports events. Spouses, retirees, and registered domestic partners may also receive identification cards from the University Services department.

Net ID and Email

Each staff member is provided with a University network ID and password, as well as an email address for the conduct of University business. The individual's Net ID and password are not to be shared with anyone. Sharing of NetID or passwords is a violation of the University network policy.

Transit cards and transit checks

CTA transit farecards and RTA transit checks for purchase of Metra tickets are available to be purchased through pre-tax payroll deduction. The pre-tax deduction enables an employee to save the amount of taxes that would ordinarily be assessed on income used to pay for transit. Applications are available from the Payroll Division of the Human Resources department and on line at <http://www.northwestern.edu/hr/hris/>.

Completing the biweekly employee time report

Biweekly Employee Time Reports are distributed to the department every other week through campus mail. Each nonexempt employee should keep the Biweekly Employee Time Report form at the workplace and fill it out every day he or she is at work. After an absence, the time report should be filled out on the first day back at work.

Members of departments using the Electronic Time Entry System (ETES) instead of the printed time report will find ETES instructions starting on page 43.

Time reporting

The employee must account for all time that is to be paid, whether for work or as paid time benefits, and for all of the position's standard hours during the biweekly pay period. Time is recorded in hours and tenths of hours (6 minutes). Time that cannot be divided evenly by 6 minutes should be rounded to the nearest tenth of an hour. These hours are reported in one of the following classifications.

- **Regular.** Hours worked under 40 in a week are regular time. The timesheet code is REG.
- **Overtime.** Hours worked beyond 40 in the University's work week are paid at 1½ times the regular hourly rate. The timesheet code is OTP.
- **Paid time off.**
 - Vacation (VAC)
 - Paid sick time (SCK)
 - Personal floating holiday (PFH)
 - Jury duty (JUR)
 - Funeral leave (FNL)
 - Other paid time (OPT)
 - Workers compensation (WCK)
- **Unpaid time off.**
 - Excused absence (EXA)
 - Unexcused absence (UXA)

Reporting in each pay period. A time report must be submitted for each pay period in order for an hourly-paid employee to continue on the payroll. If an individual takes a pay period as absent without pay, a report must be made on a timesheet for the time and submitted with the supervisor's signature of approval.

Dropping below 17½ paid hours per week or below 50 percent paid time in a pay period jeopardizes continuation of employee benefits. An employee absent and unpaid for a full biweekly pay period must request and receive approval for a leave of absence to avoid termination of University employment. Ordinarily, 30 days notice is needed for planned leaves of absence. See the policy on Leave of Absence.

Approval required

After completing the Biweekly Employee Time Report, the employee should sign it and give it to the supervisor or supervisor's designee to sign. An employee cannot sign his or her own Biweekly Employee Time Report for the supervisor even if authorized to sign other documents.

Employees who expect to be absent when the report must be submitted should leave it with the supervisor, who indicates the absence on the employee signature line.

Falsifying a Biweekly Employee Time Report is a serious offense that can lead to disciplinary action up to and including discharge.

Submitting the report

The Biweekly Employee Time Report must be received in the Payroll Division of the Human Resources department by noon of the Friday before payday. If a holiday occurs during a pay week, the form must be submitted one day earlier for each holiday. A schedule of payroll deadlines is published to all departments. Missing a deadline for submitting the Biweekly Employee Time Report means not being paid the following Friday. Employees whose reports are received after noon on the cutoff day but before 5 p.m. on payday can receive their paychecks on the Wednesday following the regular payday in the employing department without direct deposit.

Supervisors should note that the signed Biweekly Employee Time Report must be delivered directly to Human Resources; it is not to be returned to the employee.

On the Evanston campus, the Biweekly Employee Time Report should be taken to Human Resources, 720 University Place, ground floor, or placed in a drop box at:

- the east entrance to the Human Resources building
- the administration office of the Kellogg Graduate School of Management, Leverone Hall 2-003
- the mail room of the School of Education, Annenberg Hall
- the mail room of the Robert R. McCormick School of Engineering and Applied Science

On the Chicago campus, the forms may be delivered to the Chicago Human Resources office, Abbott Hall, Room 150.

Use of the pink or green transmittal envelopes available at the Human Resources Department offices on both campuses helps give priority to processing this mail.

Reporting regular time

The Biweekly Employee Time Report must report every hour worked. Employees should fill in daily the number of hours worked for that given day. All hours worked up to 40 hours in the University work week are recorded as regular pay (REG).

EXAMPLE: An employee is scheduled for 37.5 hours in a work week but works 38.5. Hours should be reported as follows.

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	7.5	7.5	8	7.5	8		REG	38.5

Reporting overtime

Time worked beyond 40 hours in a work week is overtime. An employee may work extra hours only with the supervisor’s approval. The University work week begins at the start of Sunday and ends at the end of the following Saturday.

Time worked for a University department other than one’s own department is included in determining overtime.

For work beyond 40 hours in a work week, the hours beyond 40 should be recorded as overtime, coded OTP.

Only hours worked and University Scheduled Holiday hours are used in computing the hours to start overtime. Sick time, vacation and personal floating holiday time, paid Workers’ Compensation (WCK), and other paid time not worked, are not included in the accumulation of hours to qualify for overtime.

EXAMPLE: An employee works 9 hours on each of Monday, Tuesday and Wednesday, and on Thursday takes 8 hours of vacation time. After Thursday, the employee would have to work another 13 hours before receiving premium overtime. The time worked for that week would be recorded as follows:

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	9	9	9		5	8	REG	40
				8			VAC	8
						3	OTP	3

In this example, Saturday is the employee’s scheduled day off, but the first eight hours worked are regular work hours because there were only 32 hours worked before Saturday. Thus the last three hours of the 11 hours worked on Saturday are premium overtime because at the end of eight hours on Saturday, the employee had worked 40 hours for the week.

Because the scheduling policy allows adjusting an employee’s weekly schedule, the same employee with the approval of the supervisor might elect to change the schedule for that work week, working Monday, Tuesday, Wednesday, Friday and Saturday, and not using a vacation day on Thursday. The employee would report the hours for that week as follows:

Sun	Mon	Tues	Wed	Thur	Fri	Sat	Type	Total
	9	9	9		5	8	REG	40
							VAC	
						3	OTP	3

In this schedule, the work days are changed without the use of the vacation day on Thursday.

Reporting holidays

Hourly-paid employees are paid one tenth of their biweekly standard hours for each University scheduled holiday. Even if an employee’s normal work schedule for the day observed as a scheduled holiday is more or less than one tenth of the biweekly standard hours, the employee is paid for one tenth of the biweekly scheduled hours for the holiday.

EXAMPLE: An employee’s biweekly schedule is 80 hours. The employee works 8 hours on each of Tuesday, Wednesday, and Thursday in the first week, for a total of 24 regular hours. Monday of the following week is the holiday and the employee earns 8 hours of holiday pay. The employee is required to be in paid status for 16 more hours in the pay period to earn the 8 hours of holiday time.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8						8	8			REG	40
								8						HOL	8
					8	8			8			8		EXA	32

In the case above, the employee has paid time for at least 50% of the pay period, which allows payment of the scheduled holiday pay, even though the individual had excused absence (EXA) for 32 hours during the period.

Reporting sick time

Sick time is reported for all of the work hours missed due to sickness. For example, if a day missed due to sickness is scheduled for five hours of work, five hours of sick time are reported. If the day is scheduled for 10 hours, then 10 hours of sick time are reported.

Reporting holiday work

When working on a University scheduled holiday, the employee should report the number of hours worked for the holiday as regular hours worked (REG) and half of the hours worked as straight overtime (OTS). If the holiday time is to be rescheduled to a later time, note in the comment section, "Holiday to be scheduled at a later date."

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8	8			8	8	8	8	8		REG	80
								4						OTS	4

If the supervisor and the employee are not able to schedule the hours off and payment is to be made for the holiday, then one-tenth of the employee's biweekly scheduled hours are entered as holiday time, HOL. The employee will be paid the premium rate at 1½ times the regular hourly rate for the hours worked on the holiday and will be paid the regular rate for the holiday. Record on the time report the premium time as OTP and the holiday time as HOL.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8	8				8	8	8	8		REG	72
								8						HOL	8
								8						OTP	8

Reporting unpaid absence

All of the biweekly position's standard hours must be accounted for on the Biweekly Employee Time Report. If the regular hours and other paid hours do not total to biweekly standard hours, the Payroll Division will assume that the unreported hours are unexcused absences and record them as UXA.

Su	Mo	Tu	We	Th	Fri	Sa	Su	Mo	Tu	We	Th	Fr	S		Tot
		8	8	8						8	8			REG	40
								8						HOL	8
														UXA	32

Employees cannot be unpaid for a full pay period without being on an approved leave of absence.

Reporting tardiness

An employee late in arriving for work or in returning from lunch must report the tardiness as unexcused absence (UXA). The time is rounded to the nearest tenth of an hour. A shorter lunch period or extending the end of the work day does not make up for tardiness.

Correcting errors on the report

To correct an error on the Biweekly Employee Time Report, an employee must complete a Biweekly Employee Time Report marking it as “correction” and accurately account for all scheduled and extra hours worked during that pay period. The entire form should be completed, including

- the total column for each line on which a number has been entered
- the reason for the correction under “explanation”

The same supervisor who signed the original form should sign the corrected form.

When time reported on the Biweekly Employee Time Report does not conform to University policy, or the paid time off entered is more than that earned, the time will be treated as absent without pay, coded as UXA. A corrected report must be submitted to change the unpaid time to an appropriate paid time category.

If a corrected report is received by 5:00 PM of the payday, a payment correction can be paid the following Wednesday. If a corrected report is not in by 5:00 PM of the payday, the adjustment will be made in the next regular paycheck. Corrected reports must be delivered to the Payroll Division of Human Resources, 720 University Place, Evanston.

Verifying hours reported

When the paycheck or notice of deposit is delivered, the employee should compare the hours shown with those reported on the Biweekly Employee Time Report. If they are not the same, the employee should notify the Payroll Division of Human Resources at 847 467-7606.

Vacation, paid sick time, and personal floating holiday balances are shown on each nonexempt employee’s check stub. Before time off is taken, time must be available in these balances if the time off is to be considered paid time off. Any errors should be checked by calling the Payroll Division.

Using the Electronic Time Entry System (ETES)	ETES is an on-line computer system that allows biweekly regular, temporary, and work study employees to enter hours worked using a personal computer at the work station. It replaces paper timesheets. Employees complete their electronic time reports and have them approved by 5:00 p.m. on the second Friday of the pay period. An employee who works during the weekend may enter those hours worked on Friday or on the following Monday morning on return to work.
ETES instructions	Detailed instructions for using ETES are found in the on-line training at http://www.northwestern.edu/hr/hris/hris/development/etes/cbt/index.htm . Training manuals may be downloaded from: http://www.northwestern.edu/hjr/hjrs/hjris/development/etes/etesmanuals.html .
ETES automatic calculations	ETES will calculate overtime, holiday earnings, tardiness, and grace periods using rules built into the system for each employee. After each biweekly payroll, leave accruals are updated for sick time, vacation, and personal floating holidays and are available to each biweekly staff member in ETES.
Supervisor's authorization	Supervisors of biweekly employees complete an <i>ETES Authorization for Supervisors</i> and attend an ETES training session in order to access ETES. The <i>Authorization</i> can be found at http://northwestern.edu/hr/hris/hris/development/etes/etesecauth/.pdf .
Approving time in ETES	Supervisors approve time reported in ETES by Monday at 10:00 a.m. following the close of the biweekly pay period. Email notices are sent two days prior to the approval deadline, reminding supervisors to approve time in ETES. A second reminder is sent to supervisors whose approvals are missing by 8:00 a.m. Monday. If the supervisor does not approve the time in ETES by 10:00 a.m., the staff member is paid for the time reported, but a paper timesheet signed by the supervisor is required.
Access to ETES	ETES is accessed with web browsers, Microsoft Internet Explorer or Netscape, by entering the address https://www-etes.itcs.northwestern.edu/etes_prod/ . Both the staff member entering time and the supervisor approving it should use their own University NetIDs and passwords to log in. Questions about a NetID should be directed to the Help Desk at 847-491-4357.
Elapsed and positive time entry	The school or department determines whether to use elapsed time entry or positive pay for the members of the department. With elapsed time entry, the system fills in the scheduled hours as hours worked. The individual is required to adjust the hours as worked or code them as taken for sick pay, vacation, personal floating holidays, or as other absence. Positive pay entry presents an empty time report and the individual enters the time worked or paid for other reasons for each day.

Quick steps for entering time into ETES	<ol style="list-style-type: none"> 1. Open Microsoft Internet Explorer or Netscape. 2. Enter address <i>https://www-etes.itcs.northwestern.edu/etes_prod/</i> (This is easier if the address is kept as a bookmark.) 3. Log in using NetID and password. 4. Click “My Time Sheet”. 5. Enter hours worked for the current pay period. 6. For hours not worked but to be paid, select an appropriate earning code from the drop down menu and enter the hours in the “Hours/Amt” box. 7. Click “Save”. 8. View Summary. 9. Approve time sheet by clicking on the “Approve” box. 10. Click on “Save”. 11. Close the window.
Overtime calculations	<p>ETES calculates and pays overtime at 1½ times the regular hourly rate for hours reported beyond 40 in a work week. Time paid for a scheduled University holiday is considered as time worked in the week when the holiday falls for the purpose of calculating overtime for that week.</p>
Charging overtime to a special account	<p>Nonexempt staff instructed to charge overtime to a special account are to report time in ETES as follows.</p> <ul style="list-style-type: none"> • In the “Work Hrs” box, enter the number of scheduled regular hours worked. • In the “Earn Code” box, select the OTP code from the drop down list. • In the “Hrs/Amt” box, enter the hours of overtime worked on that day. • In the “Special Account” box at the far right, enter the special account to which the overtime hours are to be charged.
Holidays in ETES	<p>The Electronic Time Entry System automatically enters holiday hours into the time entry system for the days on which the University observes scheduled holidays, and it includes the earnings code HOL to identify the hours. The number of holiday hours is calculated as one tenth of the biweekly scheduled work hours. The calendar of holidays is published at the Department of Human Resources web site.</p>
Work on a holiday	<p>Instructions for entering time into ETES for work on a holiday are found in the Users Guide for ETES, pages 39-46.</p>
Unexcused absence	<p>If an employee is late or misses a scheduled work day entirely without prior approval of the supervisor, the scheduled time to work that was not excused prior to the absence is entered as Unexcused Absence, with the earnings code UX. These hours are included in the summary of hours reported but they are not paid.</p>
Jury duty	<p>Time served on jury duty is reported as follows.</p> <ul style="list-style-type: none"> • In the “Earn Code” box, select the code JUR from the drop down menu. • In the “Hrs/Amt” box, record the number of regularly scheduled work hours. • In the “Notes” field, include the comment that documentation will follow.

Funeral time	<p>Time taken to attend a funeral of a family member is indicated as follows.</p> <ul style="list-style-type: none"> • In the “Earn Code” box, select the earnings code FUL. • In the “Hrs/Amt” box, enter the number of hours taken for the funeral. • In the “Notes” for that day, indicate the relationship of the deceased to the employee. Available time for funerals is described on page 28.
Viewing leave accruals	<p>The current balances of leave accruals can be viewed by clicking on the words “Accrual Balance” at the bottom of the ETES time entry screen.</p>
Time summary in ETES	<p>The summary of hours recorded for the current pay period is viewable by clicking on the “Summary” icon at the bottom left of the ETES time entry screen. The summary shows the hours of each type, whether regular, sick, vacation, or holiday; and it shows overtime hours that will be paid for the period.</p>
Employee approval of time	<p>Each nonexempt staff member is notified by email two days prior to the end of the pay period to complete and approve time entry in ETES. If the staff member does not approve the time, the supervisor can do so without the employee’s approval.</p>
Supervisor approval	<p>Two days prior to the end of the pay period, the supervisor is notified by email to approve the time entered. The employee will be paid without the approval, but a paper timesheet will be sent to the supervisor to confirm the approval.</p>
Updating addresses	<p>The home address and phone number of biweekly and temporary employees may be updated in ETES on the “My Profile” page. Temporary employees may also update their check addresses in the “My Profile” section.</p>
Errors and warnings	<p>Yellow and red warning messages indicate entries outside of the timekeeping rules of the system. Red warnings require a correction to complete the entry. Yellow warnings indicate a possible error, but may be ignored if there is no error known in the entry. The Users Guide for ETES describes warning and error messages.</p>
Questions regarding ETES	<p>Further documentation on using ETES is available on line at http://www.northwestern.edu/hr/hris/hris/development/etes/index.html. Assistance from the ETES help desk is available at 847-467-7606 or by email from eteshelp@northwestern.edu</p>
Transferring from biweekly position to monthly position	<p>Employees who transfer from the biweekly to the monthly payroll retain their vacation and personal floating holiday balances, but not their sick leave balance. Sick leave for monthly employees is not accumulated but is allocated annually.</p>
Leaving Northwestern employment	<p>To indicate departure from the Northwestern payroll, the departing employee should circle the last day worked on the Biweekly Employee Time Report and record the final date on line marked “Explanation or comment”.</p> <p>After the employing department has notified the Payroll Division that an employee is leaving the University, a paycheck is issued after the pay period of the last work day and will include pay for any unused vacation time and personal floating holidays.</p>

Recording paid time off

This table shows the codes to use for indicating the hours of a paid absence and the reason for the absence in order to receive pay for these benefits provided by the University.

To be paid the hours for this benefit . . .	See this page ...	And for each day on the report, record the hours to be paid as . . .
Vacation	22	VAC, vacation.
Paid sick time	26	SCK, sick leave taken
Sick leave for family illness	27	SKF, sick family leave taken
University scheduled holidays	23	HOL, holiday time taken.
Work on holidays when a substitute day off is scheduled within 30 calendar days	23	REG, and half the hours worked as OTS. When the holiday is taken, record the hours as HOL.
Work on holidays when a substitute day off cannot be scheduled within 30 calendar days.	23	HOL, holiday time taken, and record the same hours as OTP, premium overtime.
Personal floating holidays	24	PFH, personal floating holiday.
Funeral leave	28	FUL, funeral leave, and record the name and relationship of the deceased in the Comment line.
Election time	28	ELE, election time.
Jury duty	28	JUR, Jury duty, and attach a copy of the court summons or the pay stub from jury duty.
Military leave, when vacation is not used for military duty	29	MIL, military leave, and write "military leave" in the comment line. Present your military pay voucher to the Payroll Office when you return.
Occupational disability leave	25	WRK for the first three days of absence due to a work related illness or injury, with an explanation. Any more lost time is paid by the insurance carrier. DIS should be reported for time after the first three days of absence, while Workers' Compensation benefits are paid.

Questions

Employees with questions about recording paid time off should call the Payroll Division at 847 467-7606.

Civility, mutual respect, and violence on campus	As members of the Northwestern community, its faculty, staff, and students are expected to deal with each other with respect and consideration.
Expected behavior	Each community member is expected to treat other community members with civility and respect, recognizing that disagreement and informed debate are valued in an academic community.
Unacceptable behavior	Demeaning, intimidating, threatening, or violent behaviors that affect the ability to learn, work, or live in the University environment depart from the standard for civility and respect. These behaviors have no place in the academic community.
Violence	Violence is behavior that causes harm to a person or damage to property or causes fear for one's safety or the safety of others. Examples of violent behavior include physical contact that is harmful and expression of intent to cause physical harm. Such behavior is unacceptable in the Northwestern community.
Weapons	Weapons of any kind are prohibited on campus except for those carried by sworn police officers or other authorized security officers.
Responsibility to act	<p>A member of the community who is involved in or witnesses behavior on campus that poses imminent danger should immediately contact the University Police.</p> <p>In situations that do not involve imminent danger or for advice on the appropriate course of action, a member of the community is to notify a supervisor, department head, or student affairs staff member. Alternatively, the observer may report the incident to the Office of the Provost, the Department of Human Resources, or the Office of the Vice President for Student Affairs.</p>
Orders of Protection	Community members who have obtained restraining or personal protection orders are encouraged to provide a copy of the order to University Police for enforcement on campus.
Visitors	Visitors, vendors, and the families of members of the community are expected to comply with the provisions of this policy. Noncompliant behavior leads to removal from the campus.
Resources	Guidance for identifying potential threatening or violent behavior and for the best ways to deal with incidents is found at http://www.northwestern.edu/hr/policies .
Violation	A community member who has violated this policy is subject to disciplinary action which may include separation of the offending party from the University, consistent with established disciplinary procedures.

Performance review

Performance evaluations for regular staff employees are conducted annually, but they may be conducted at any time.

Supervising staff or faculty members are expected to provide position descriptions, facilitate the creation of performance objectives, and monitor performance and behaviors of each staff member.

Staff members are expected to understand the position description, assist in the creation of performance objectives, monitor progress throughout the year, and meet with the supervising staff or faculty member periodically through the year.

A year-end evaluation should be completed based on a review of the periodic summary information. The results of the year-end evaluation are used to determine the merit increase and facilitate the creation of the following year's performance and development objectives. *Performance Excellence* is the standard program to conduct the performance process, although a supervisor may use an alternative process that fulfills these needs.

Violations warranting immediate discharge

Some violations of policy and rules are serious enough to result in immediate discharge. These include but are not limited to

- falsification of employee records, time reports, reasons for absence, or other University records
 - improper disclosure or use of private or confidential information
 - unauthorized use of information systems or data
 - physical violence or the threat of it
 - flagrant insubordination
 - gross dereliction of duty
 - job abandonment
 - theft
 - intentional destruction of University property
 - conviction of a felony related to the job
 - professional misconduct
 - scientific misconduct
-

Violations requiring correction

Less serious violations should be addressed through steps of correcting performance and generally do not call for immediate dismissal. These include but are not limited to

- tardiness
- absenteeism
- neglect of duty
- disruptive behavior
- resistance to supervision

An employee who is not performing the assigned job as expected is advised of the inadequate performance and counseled on needed improvement. Additional training may be appropriate.

Safety

Job safety. In the interest of their own safety and that of others, employees must read and understand the *Employee Safety Handbook*, available on line at <http://www.northwestern.edu/risk/handbook.htm> or from the Office of Risk Management (847) 491-5610.

Security of property. To avoid theft, employees should be careful not to leave personal or University property unattended during absence from their work place, no matter how short the absence. The University is not responsible for loss of or damage to an employee's personal property.

Emergency telephones. Public emergency telephones are available in several locations on both the Evanston and Chicago campuses. Maps showing their locations are available from the University Police offices on both campuses and on line at <http://www.northwestern.edu/up/prevention/sad.html>. These telephones are identifiable by their yellow color and, at night, they are identified by blue lights. Lifting the receiver on one of these telephones immediately connects the caller with University Police.

Injury or illness related to the job

In accordance with Illinois statute, the University provides workers' compensation benefits to employees who sustain job-related injuries or diseases. The Office of Risk Management administers the workers' compensation program and publishes brochures that describe in detail the University's policies and procedures. These brochures (one for the Evanston Campus, one for the Chicago campus) are available on line at <http://www.northwestern.edu/risk/claims.htm>.

Employees must promptly report such injuries or diseases to the claims manager and their supervisor.

- **For life threatening emergencies, call 911.**
 - **For the Evanston Campus during business hours**, the primary care facility is Occupational Medicine Evanston/Glenbrook Associates (OMEGA), 1000 Central Street, Suite 840, Evanston, Illinois, (847) 570-2620, or 2050 Pfingston Road, Suite 280, Glenview, Illinois, (847) 657-1700.
 - **For the Chicago Campus during business hours**, the primary care facility is the Northwestern Memorial Corporate Health, Galter Pavilion, 201 East Huron Street, 9th floor - Suite #240, Chicago, IL, (312) 926-8282.
 - **During non-business hours**, the hospital emergency rooms are used at Evanston and Northwestern Memorial Hospitals.
-

Indemnification

The University protects each employee against legal liability or legal expenses incurred in connection with the performance of his or her job as long as the employee has performed the job in line with assigned duties, has acted in good faith in the performance of the job, and has not violated any law or University policy.

Personal visitors in the workplace

Individuals who make extended visits to the workplace but who do not have official business with the University distract employees and fellow workers from their responsibilities and may put visiting children at risk. Accordingly, visits by friends, children, or other relatives at the employee's work site are to be limited to casual visits of short duration.

The responsibility for the safety of children and other personal visitors to the University lies with the University employee they are visiting.

Buildings should be considered potentially hazardous, particularly for children, and as such are not appropriate as child care sites. The University has no liability for children's or other visitors' safety and does not provide resources in office or laboratory areas for their care or hospitality.

University policy on sexual harassment	<p>It is the policy of Northwestern University that no male or female member of the Northwestern community – students, faculty, administrators, or staff – may sexually harass any other member of the community. Sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute harassment when:</p> <ul style="list-style-type: none"> • submission to such conduct is made or threatened to be made, either explicitly or implicitly, a term or condition of an individual's employment or education; or • submission to or rejection of such conduct is used or threatened to be used as the basis for academic or employment decisions affecting that individual; or • such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating what a reasonable person would sense as an intimidating, hostile, or offensive employment, educational, or living environment.
Examples	<p>Examples of sexual harassment include:</p> <ul style="list-style-type: none"> • Pressure for a dating, romantic, or intimate relationship • Unwelcome touching, patting, or hugging • Pressure for or forced sexual activity • Unnecessary and unwelcome references to various parts of the body • Belittling remarks about a person's gender or sexual orientation • Inappropriate sexual innuendoes or humor • Obscene gestures • Offensive sexual graffiti, pictures, or posters • E-mail and Internet use that violates this policy
Investigation and confidentiality	<p>All reports describing conduct that is inconsistent with these policies will be promptly and thoroughly investigated. Complaints about violations of these policies will be handled confidentially, with facts made available only to those who need to know in order to investigate and resolve the matter.</p>
Retaliation	<p>The University prohibits retaliation against anyone for registering a complaint pursuant to these policies, assisting another in making a complaint, or participating in an investigation under the policies. Anyone experiencing any conduct that he or she believes to be retaliatory should immediately report it to one of the individuals listed under “Where to go for help,” below.</p>
Resolution	<p>If a complaint of discrimination, harassment, or sexual harassment is found to be substantiated, appropriate corrective action will follow, up to and including separation of the offending party from the University, consistent with University procedure.</p>
Academic freedom	<p>Northwestern University is committed to the principles of free inquiry and free expression – to providing an environment that encourages the exploration and exchange of ideas. The University’s discrimination and harassment policies are not intended to stifle this freedom, nor will they be permitted to do so. Prohibited discrimination and harassment, however, are neither legally protected expression nor the proper exercise of academic freedom; and such conduct is incompatible with the values of University.</p>

Responsibilities under this policy	<p>All members of the University community are responsible for creating a working, learning, and living environment that is free of discrimination and harassment, including sexual harassment. It is important to contact one of the individuals listed under “Where to go for help,” if any of the following occurs:</p> <ul style="list-style-type: none"> • You believe you have been subjected to conduct or comments that may violate this policy • You believe you have been retaliated against in violation of this policy • You hold a supervisory, management or teaching position, and have been told about or witnessed conduct that you think may violate this policy.
Vendors, contractors and third parties	<p>The University's policies on discrimination and harassment, including sexual harassment, apply to the conduct of vendors, contractors and third parties. If a member of the University community believes that he or she has been subjected to conduct that violates this policy by a vendor, contractor or third party, he or she should contact one of the individuals listed under “Where to Get Advice and Help.” The University will respond as appropriate, given the nature of its relationship to the vendor, contractor or third party.</p>
If you are discriminated against or harassed . . .	<ul style="list-style-type: none"> • Don't blame yourself. • Say no. • Remember that harassment and discrimination, including sexual harassment, are against University policy and may be against the law. • Know your rights under University policy. • Keep a written, dated record of events. • Tell someone. • Get help. • Don't delay.
Are you the harasser?	<p>Accused harassers are often surprised to learn how others view their behavior.</p> <ul style="list-style-type: none"> • Review your attitudes and actions toward others. Do you base your behavior on stereotypes? Is your behavior bias free? • Consider the impact you have on others’ attitudes toward their work, education, and self-esteem. • Examine how others respond to what you say and do. • Do not assume that colleagues, peers, employees or students enjoy racial or ethnic jokes, sexually oriented comments, remarks about their appearance or religion, or being touched or stared at. • Do not assume that others will tell you they are offended – or harassed – by what you say and do.
If you think you may have offended or harassed someone . . .	<ul style="list-style-type: none"> • Apologize as soon as possible. • Change your behavior. • Read the policies on discrimination, harassment and sexual harassment • Get advice from one of the resource people listed in "Where to Go for Help."

Where to go for help

People are available to help you. The following individuals will take complaints of sexual harassment, explain complaint procedures, answer questions, and ensure that appropriate action is taken.

Director of the University Sexual Harassment Prevention Office
405 Church Street, Suite 201
Evanston Campus
(847) 491-3745

Associate Vice President for Student Affairs (student-to-student complaints)
Scott Hall, Room 36
601 University Place
Evanston Campus
(847) 491-8430

Associate Vice President for Human Resources
720 University Place
Evanston Campus
(847) 491-7505

Director of Equal Employment Opportunity, Affirmative Action, and Labor Relations
720 University Place
Evanston Campus
(847) 491-7458

Office of the Provost Rebecca Crown Center
633 Clark Street
Evanston Campus
(847) 491-7040
nu-provost@northwestern.edu

Discrimination and harassment prevention advisers

In addition to these resources, each school or unit of the University has advisers on the faculty and staff who have been trained to receive a complaint and to answer questions about these policies.

Confidential counselors

If you wish to speak with someone who is legally privileged to keep communications confidential, you may contact a confidential counselor. In order for the “confidential counselor” privilege to apply to a particular discussion, the discussion must be conducted confidentially and the complainant must have initiated the discussion for the purpose of seeking confidential counseling. After consulting with a confidential counselor, a complainant may decide to take no further action; such a decision is completely with the complainant’s discretion. Because of the confidential nature of the counselor-complainant relationship, seeking advice from a confidential counselor does not constitute reporting an incident.

Drug free workplace	<p>Northwestern University is committed to maintaining a drug free workplace in compliance with applicable laws. The unlawful possession, use, distribution, dispensation, sale, or manufacture of controlled substances is prohibited on University premises.</p> <p>Violation of this policy may result in the imposition of employment disciplines defined for specific employee categories by existing University policies, statutes, rules, regulations, employment contracts, and labor agreements. At the discretion of the University, any employee convicted of a drug offense involving the workplace shall be subject to employee discipline or required to satisfactorily complete a drug rehabilitation program as a condition of continued employment.</p>
University policy on drugs and alcohol	<p>Northwestern University prohibits the unlawful possession, use, or distribution of illicit drugs and alcohol by its students and employees on University property, as part of any University activities, in vehicles owned or operated by the University, or at any work site or other location at which University duties are being performed by Northwestern employees.</p>
Health risks and assistance	<p>The use of illicit drugs and the abuse of alcohol may pose serious health risks to the user. Appendix A is a U.S. Department of Education summary of health risks associated with alcohol. Members of the Northwestern faculty and staff are encouraged to call the Faculty and Staff Assistance Program provided by Perspectives, Ltd., at 800-456-6327 for specific information about available counseling, treatment, rehabilitation, or re-entry programs. Summary descriptions of the programs are included in Appendix B. A summary of health risks associated with controlled substances, prepared by the U.S. Department of Justice, is attached as Appendix C.</p>
Sanctions	<p>Various local, state, and federal laws govern the possession and distribution (trafficking) of drugs and alcohol. Appendix D shows the penalties under federal law for trafficking in controlled substances and in marijuana. Appendix E provides the federal penalties for illegal possession of a controlled substance. Appendix F describes the sanctions for trafficking in controlled substances under Illinois law. The Illinois sanctions for possession of a controlled substance are in Appendix G. The Illinois penalties for trafficking in or possession of marijuana are found in Appendix H.</p>

Sanctions continue

Sanctions, continued

In addition to the sanctions listed in the appendices, the following additional penalties are prescribed by Illinois law:

- Conviction of a second or subsequent offense under the Controlled Substances Act may result in imprisonment, a fine, or both up to double the maximum otherwise authorized. A prior conviction under federal law or the law of any other state makes a conviction under Illinois law a second offense.
- Conviction for "cannabis trafficking" of 2500 grams or more or for "controlled substance trafficking" (i.e., bringing these items into Illinois for purposes of manufacture or delivery) may result in a prison term of at least twice the minimum term otherwise authorized and a fine of up to twice the authorized amount.
- Delivery of a controlled substance by a person over 18 to a person under 18 may result in imprisonment for up to twice the maximum term and a fine up to twice the specified amount.
- Delivery of cannabis (marijuana or hashish) by a person over 18 to a person under 18 who is at least 3 years younger may result in imprisonment for up to twice the maximum term.
- A person over 18 who uses another person under 18 to deliver controlled substances may be imprisoned for twice the maximum term.
- Violation of provisions of the Controlled Substances Act in or on the grounds of any school or public housing complex or within 1,000 feet of the same will increase the felony status (and prison term) and the applicable fine.
- Participation in any conspiracy with respect to cannabis may result in imprisonment for two to five years and a fine up to \$200,000 plus certain forfeitures.
- Possession of cannabis plants may result, depending on the number of plants, in prison terms of up to seven years and fines of up to \$100,000 plus costs.
- Conviction under the Controlled Substances Act or the Cannabis Control Act, in addition to all other penalties, will result in a fine of not less than the full street value of the items seized.

Possession of 10 grams or less of cannabis by a person under age 17 may result in a fine of up to \$500 under Evanston ordinance.

Illinois law provides for a prison term of anything less than one year and for a fine of up to \$1000 for knowingly providing alcohol to persons under 21 or for providing false evidence of age or identity. Persons under 21 who present or offer false evidence for purposes of obtaining or purchasing alcohol may be jailed for up to six months and fined up to \$500. The same penalties apply to possession of alcohol by a person under 21 on or in any street or public place. Minors who consume alcohol are subject to prison terms of up to 30 days and fines of up to \$500.

Sanctions continue

Sanctions, continued	<p>In addition to possible prosecution under these laws, students or employees who violate the prohibitions of this policy are subject to University-imposed disciplinary sanctions consistent with applicable procedures and regulations. Sanctions may include, but need not be limited to, suspension, expulsion, termination of employment, or referral to appropriate authorities for prosecution. Any disciplinary sanction imposed may also include the completion of an appropriate rehabilitation program as a condition of reinstatement or continued employment.</p>
Monitoring	<p>Northwestern University will regularly monitor its drug and alcohol abuse prevention program to determine its effectiveness, to implement any necessary changes, and to insure that its disciplinary sanctions are consistently enforced.</p>
Notice of conviction	<p>As a condition of employment, an employee of Northwestern will notify his or her supervisor if he or she is convicted of a criminal drug offense involving the workplace within five days of the conviction. In the event any such conviction involves an employee working on a federal contract or grant, the University will notify the granting or contracting federal agency within ten days of receiving notice of a conviction.</p>

Employee complaints

Employees who believe that they have been treated unfairly on the job should voice their complaints and have them reviewed. An employee who believes that he or she has not been treated fairly in accordance with University policies and who has been unsuccessful in satisfying the complaint through discussion with the supervisor or within the department may use the complaint procedure to obtain an administrative review of the conditions or actions causing the complaint. Complaints are to receive review and response without retaliation against the employee voicing the complaint.

Employees who wish to express a complaint on the Chicago campus should contact their human resources consultant, in Chicago, at the Human Resources office in Abbott Hall, phone (312) 503-8481. In Evanston, contact their department's human resources consultant at 720 University Place, Evanston, (847) 491-7507.

Matters for complaint. Complaint matters calling for this procedure include the improper or incorrect application of policy, suspension, and employment termination.

Complaints regarding discrimination, disability, or sexual harassment may be advanced through the means described in the sections on discrimination and sexual harassment in this handbook.

Some matters are resolved by means other than a complaint procedure. For performance evaluation, the judgment of the supervisor is normally determining. An employee may include a rebuttal letter in the record if there is disagreement with the supervisor's evaluation of performance. With respect to University policy and department rules, the employee is obligated to observe these. Recommendations for change in University policy may be made to the Department of Human Resources or through NUSAC, and departmental rules recommendations should be made to the head of the department. For personnel actions such as an unsuccessful application for promotion, the employee may seek an explanation from a staffing specialist or Human Resources Consultant, but the suitability of candidates for a job is determined at the discretion of the job's supervisor.

Accompanying employee. Except in a peer review described below, an employee may choose to be accompanied by another employee who may observe and provide support through the steps of the procedure but not express advocacy.

Pay during formal process. Time spent during scheduled working hours in meetings with Human Resources or in the formal steps of the procedure is treated as time worked for pay purposes. The employee must obtain prior supervisory approval for absence from duty and must cooperate in scheduling such an absence to lessen inconvenience to the department.

Complaint Procedure

Procedural options. An employee may start with informal discussion or any of these steps.

- Informal discussion only. The employee may choose to have a confidential informal conversation with a human resources consultant. No further action need be taken.
- Personal action. The employee may decide to act on his or her own, perhaps discussing the matter with the person complained against.
- Human Resources facilitation. The employee may ask a human resources consultant to assist in a meeting with the person complained against. If this meeting concludes with a satisfactory solution, the employee may choose to take no further action.
- Formal investigation. The employee may write to the appropriate human resources consultant stating the complaint and asking for investigation and resolution of the complaint, which may include questioning the person complained against and other relevant parties. On the basis of the information, the consultant a resolution of the complaint and notifies the parties to the complaint, in writing when appropriate.

Appeal

A party dissatisfied with the result of the investigation may appeal by writing to the associate vice president for human resources within 5 days of receiving the decision. Within 30 days, the associate vice president reviews the matter and notifies both parties in writing.

A party dissatisfied with the decision of the associate vice president for human resources may appeal by writing to the senior vice president for business and finance within five business days of receiving the decision of the associate vice president.

If the appeal concerns a termination for one of the causes for immediate discharge such as those enumerated in the policy on performance management, the senior vice president reviews the matter and writes to both parties within five days of receiving the appeal, notifying them of the decision. For appeals of other matters, the employee may request a review by the senior vice president and, if the employee chooses, also request an advisory review by a peer review panel. For all appeals, the decision of the senior vice president is the final decision for the University.

Peer review

Except for matters of discrimination, sexual harassment, or conduct leading to immediate discharge, either party to a complaint may request a peer review when making the final appeal to the senior vice president. The peer review assesses whether the complaint procedure and the appeals were conducted fairly and whether the complaint process was followed according to policy; but the peer review does not take action or recommend a specific action nor does it review the substance of the complaint or any corrective action. On receiving the findings of the peer review, the senior vice president takes appropriate action.

If a peer review is requested, the senior vice president selects three members of the peer review panel from NUSAC, the faculty, or other members of the community as appropriate. The panel meets with each party to the complaint who chooses to meet with the panel and with the Human Resources representatives who have been involved in the matter. The panel reviews any documentation presented by any of those parties. There are no accompanying employees or witnesses, and the panel does not conduct further investigation beyond what is presented.

Within 30 days of receiving the appeal notice the panel writes to the senior vice president regarding the fairness and policy compliance of the complaint and of any corrective action. The memorandum is the only record of the panel's review. The documents presented by the parties are returned to them.

Within five business days of receiving the panel's memorandum, the senior vice president writes to both parties giving the final decision for the University.

Solicitation	University premises or resources are not to be used for the solicitation of business other than official University business. Employees may not use paid work time for solicitation for charitable causes not sanctioned by the University.
Personal mail and phone use	Employees may not use the campus mail system for receiving or sending personal mail. Personal phone use during working hours is to be limited to emergency calls. University stationery is for University business only, not for personal correspondence. It should not be used for business or political correspondence by employees not representing the University in an official capacity.
Equipment and facilities of the University	University equipment and facilities provided for use by employees – such as lockers, offices, desks, and personal and network computers, their files, disks, and peripherals – are University property and are fully accessible to the University at all times. Employees may not use University facilities, supplies, vehicles, or equipment for personal reasons unless authorized to do so by their supervisor.
Security of confidential information	Information contained in University files and records, whether paper or computer records, is to be used for its intended purposes only. Inappropriate employee access to, use of, or disclosure of such information will subject an employee to corrective action up to and including discharge.
Personal appearance and hygiene	Departments or their supervisors may set standards of personal appearance and hygiene as reasonable and appropriate for the operation of the department.
Smoking	Smoking is prohibited in University buildings and within 25 feet of building entrances, as well as in designated outdoor facilities.
Patents and inventions	Patentable discoveries or inventions occasionally result from the research and educational activities at the University. Northwestern University desires to assure that all ideas and discoveries are properly disclosed and used for the greatest possible public benefit. The University also desires to protect the patent rights of faculty, staff, and students and to abide by federal law, University policy, and patent regulations of agencies and other sponsors providing funds for programs. Certain staff members may be required to sign a patent understanding that assigns rights in such inventions to the University and to submit disclosures of all inventions made using University resources. If funds are received from the licensing of such inventions, they will be distributed according to the University patent policy. The Technology Transfer Program administers this policy; further information is available from that office.

Use of computers and networks

It is the policy of Northwestern University to maintain access to local, national, and international networks for the purpose of supporting its fundamental activities of instruction, research, and administration.

Users of the networks are to take the necessary measures to safeguard the operating integrity of the systems and the accessibility of other users.

System use

Network users are responsible for:

- using the network in ways that do not interfere with or disrupt the normal operation of the system,
- respecting the rights of other users, including their rights as set forth in other University policies for students, faculty, and staff – rights that include but are not limited to privacy, freedom from harassment, and freedom of expression,
- knowing and obeying the specific policies established for the systems and networks they access.

Under no circumstances may users give others access to any system that they do not administer.

Network administration

Administrators of systems and networks have the responsibility to protect the rights of users, to set policies consistent with those rights, and to publicize those policies to their users. They have authority to control or refuse access to anyone who violates these policies or threatens the rights of other users, and they will make reasonable efforts to notify users affected by decisions they have made.

Appeal of an administrative action

Individuals who disagree with an administrative decision may submit an appeal of the decision to the appropriate office. Students may submit appeals to the vice president for student affairs, faculty members may appeal to the provost, and staff members may appeal to the associate vice president for human resources.

 Conflict of interest

It is the policy of Northwestern University that its employees conduct the affairs of the University in accordance with the highest legal, ethical, and moral standards.

Northwestern University resources are to be used only in the interest of the University. An employee may not commit University resources to activities not in the interest of the University, including personal outside activities.

To avoid conflict of personal interests with University interests, an employee must not be in a position of making a decision for the University if his or her personal economic interest may be directly affected by the outcome.

Definitions

A **conflict of interest** exists where the occurrence of an outside activity competes with or diminishes the interest of the University or interferes with the employee's performance of duties on behalf of the University. A conflict of interest also exists where the outcome of a decision that should be made in the best interest of the University is in conflict with the personal or economic interest of the employee. Examples of decisions that commonly present conflicts of interest are those that require determining the use of suppliers, University resources, or one's own work time.

An **outside activity** is any paid or volunteer activity undertaken by an employee of Northwestern University outside the scope of his or her regular University duties. Outside activities include participation in professional, civic, or charitable organizations.

Paid activity includes paid services such as consulting, working as a technical or professional advisor or practitioner, or holding a part time job with another employer, whether working in one's University occupation or another.

Expectations for conduct

Northwestern University expects its employees to advance the University's mission of education, research, and service, as part of the responsibility with which they are entrusted. This includes applying the time and effort for which they are compensated, and the University resources at their disposal, toward University ends. When the application or use of these resources can result in personal advantage other than the agreed compensation or to the detriment of the University's mission, that use of resources represents a conflict of personal interest with University interest and is to be avoided.

This policy establishes a standard of conduct to enhance the reputation of the University and its employees and to protect the financial well-being and legal obligations of the University.

Since University staff are known to conduct University business with high standards, this policy also establishes a method to protect staff members from any questionable circumstances that might arise and to provide a method to resolve any apparent or real conflict of interest.

Apparent and real conflicts

Apparent conflicts of interest. On occasion, a staff member may be presented with circumstances in which personal and University interests may be unclear or where there may be an appearance of conflict of interest. For example, a staff member may have an outside business interest or time commitment that distracts attention from University work, invites use of University resources for that interest, or appears to influence judgment in University decisions. Often these conflicts are more apparent than real, but the appearance may raise a question of conflict. For example, a job outside of University business hours is not inherently a conflict of interest. Questionable situations are easily resolved by sharing them with the supervisor.

Real conflicts of interest. On other occasions, an individual may have an interest outside University work which could present a conflict in making a decision or in committing time or University resources, such as one's paid time. In these cases, informing the supervisor of the potential conflict often serves to remove the conflict because the supervisor can then become involved in the decision, removing the burden of the conflict from the staff member.

Good judgment of the staff is essential, and no list of rules can provide direction for all the varied circumstances that may arise. In case of doubt or a questionable situation, it is desirable to resolve the issue with one's supervisor.

Examples of conflict of interest

The following activities are examples of situations that may raise conflict questions.

Professional, charitable, or civic organizations. If University time or resources are used for professional, charitable, or community activities, the use of this time for those activities can be a conflict of interest. Incidental calls or interruptions by such activities are not likely in conflict with job duties. Participation in activities of a professional association representing one's assigned University work may align with rather than conflict with University interest. Conferences, workshops, and symposia as a presenter, attendee, or program organizer, or professional association business activities in the individual's professional area may advance both the individual's and the University's interests. A conflict of interest exists if the supervisor judges that the time on these matters subtracts inordinately from getting the assigned job done or judges that the activity is in conflict with department objectives or job goals. A discussion with the supervisor is needed to resolve any concern and is needed if these activities consume substantial work time or attention. A memorandum of the discussion and approval of the activity should be written to assure understanding and to document approval.

Consulting. Consulting activity that uses University resources or an individual's time on the job, because it competes with the University or conflicts with the performance of the job, presents a conflict of interest. Consulting that does not use the University's resources and does not occur during University work does not present a conflict of interest. Activities that present a potential conflict of interest require the written permission of the supervisor or department head. Permission is given if the activity does not compete with University activities or interfere with the performance of the staff member's University duties.

Examples, continued

Non-university activities during scheduled work use University resources, whether in consulting or other personal activity, and must be approved in advance by the individual's supervisor or department head. A conflict exists when University paid work time is used for activity unrelated to the University's business.

A gift or gratuity other than occasional meals. Favors of any value should be recognized for their influence on the objectivity of judgment with respect to the provider of the favor. Social invitations that do not place or appear to place the recipient under any obligation are acceptable, but their effect should be understood.

Use of University goods or services. A conflict of interest exists if University resources are used for the personal benefit of an employee or an employee's immediate family (spouse or children). Exceptions are goods or services generally available for sale to all employees, such as those advertised for disposal.

Economic interests. A business entity in which an employee has an economic interest represents a potential conflict of interest if the employee has any involvement in the selection of that entity as a University vendor. An economic interest includes the employee's or a relative's ownership or partnership in the business, including serving as stockholder, director or officer in a non-publicly held company. Engaging a relative as an independent contractor is also a conflict of interest for an employee. Conflict of interest can be avoided if the employee brings a supervisor into the decision to engage the vendor.

Approval process

Primary responsibility for conduct within this policy rests with each individual. An employee who may be involved in a conflict of interest or has any question about the application of this policy statement to his or her activities has the responsibility of advance notice and following the disclosure process outlined below.

Advance notice. An employee about to engage in an activity that may present a conflict of interest must provide written notification to the immediate supervisor or department head. The supervisor or department head considers all factors relevant to the situation and within five business days, if possible, advises the employee in writing whether the activity may be undertaken.

Disclosure. In addition to the advance notice for an individual about to undertake an activity with a possible conflict of interest, each University staff member is to affirm a lack of conflict or disclose any conflict of interest or potential conflict on a periodic basis in response to a questionnaire distributed for that purpose. The immediate supervisor or the head of the unit reviews responses to the disclosure questionnaire and approves or disapproves relationships or situations where conflict exists.

Appeal. A supervisor's disapproval may be appealed to the department head, if this is not the immediate supervisor, or to the dean of the school or to the vice president of an administrative area. The appeal should be in writing, and the individual receiving the appeal should respond within five business days.

It is expected that conflicts of interest are best resolved in the unit where the job is located, but staff members not satisfied with the appeal outcome may seek the help of the associate vice president for human resources in mediating the differences, or in further appealing the judgment if desired.

Assistance. A staff member may also wish to discuss his or her concerns regarding a conflict of interest decision with a human resources consultant in the Department of Human Resources. A member of the Northwestern University Staff Advisory Council (NUSAC), while not an advocate in an appeal, may provide support in working through an appeal.

Compliance

A member of the staff who does not comply with this policy is subject to discipline up to and including termination of employment.

Coercion or pressure imposed by supervisors on their subordinates to perform tasks unrelated to University business on University time or to behave in other ways defined in this policy statement as a conflict of interest are not tolerated and are to be reported by the employee to the dean of the school or the vice president of the administrative area. The individual may seek advice or report such incidents to the associate vice president for human resources if personal identification is a concern.

Credit union

University faculty and staff are eligible for membership in First Northern Credit Union, a not-for-profit financial cooperative. First Northern is owned and operated by its members – the people who save with and borrow from the credit union. It has no outside stockholders, so it returns profit to members in the form of higher dividends on deposit accounts, lower rates on loans, reduced or eliminated fees, and better service.

Products. The credit union offers a wide range of financial products and services, including savings accounts, checking accounts, money market accounts, IRAs, share certificates (CDs), and children’s club accounts. First Northern also provides its members with a host of loan products, including home equity loans and lines of credit, first mortgage loans, new and used vehicle loans, VISA Platinum credit cards, and more. Convenient services include free online banking, automated telephone banking program, direct deposit and payroll deduction.

Financial stability. Members enjoy the stability of a financial institution that has been growing steadily for more than half a century. All savings are insured both federally and privately for up to \$350,000 per account. Membership is free and lasts a lifetime.

To join: To join, members must deposit \$5.00 into a share savings account. Membership applications are available from the credit union, which is located in the basement of Rebecca Crown Center. First Northern Credit Union’s contact information is: 633 Clark Street, Room G-594, Evanston, IL 60208-1124. Phone: (847) 491-3062; Fax: (847) 467-2499. Their web site is www.fncu.org.

Parking

Parking permits for University parking lots in Evanston are issued for a fee by the University Police Department at 1819 Hinman Street.

University parking on the Chicago campus is limited. Permits are issued by the University Services department to each school and to certain departments and they determine who qualifies for a permit. A fee is charged. The parking office on the Chicago campus is located in room 100, Abbott Hall, 710 North Lake Shore Drive.

Parking fees are paid by monthly payroll deduction on a pretax basis.

Cultural opportunities

The University offers many cultural and recreational benefits to employees. Northwestern University is famous for the quality of its theater and music programs, and employees may attend performances at modest cost. The *Observer’s* calendar of events and *Plan-it Purple*, the University’s on-line calendar found at <http://aquavite.northwestern.edu/cal/pp/> list scheduled dramatic, musical, and film presentations; lectures; colloquia; and exhibits on both campuses.

Athletic events

Season tickets to intercollegiate athletic events are available to staff members at reduced rates. In the spring, each staff member receives an application form for football and basketball tickets for the following season. Other tickets may be obtained at the Ryan Field ticket office at 1501 Central Street in Evanston. Tickets can also be ordered by phone by calling (847) 491-CATS.

Physical education and recreation facilities

The University offers a variety of physical education and recreational facilities to its employees.

Evanston campus. The Henry Crown Sports Pavilion and Dellora A. and Lester J. Norris Aquatics Center on the Evanston campus includes an Olympic-sized pool; tennis, handball, racquetball, basketball, and squash courts; an indoor running track; and fitness equipment. Employees may use this facility on payment of either a daily fee or an annual membership fee.

The 15 outdoor tennis courts at Sheridan Road and Colfax Street and the 3 courts at the Coon Student Sports Center near Ryan Field are available to faculty, staff, and students during daylight hours. Employees need an identification card to use the courts, and in the summer a tennis pass must be purchased at the Tennis Center, 2310 Sheridan Road, from 8:30 a.m. to 7:00 p.m. Guests of employees must pay a \$5 fee. Reservations must be made a day in advance by calling (847) 491-3310 after 8:30 a.m.

The Blomquist Recreation Building, 617 Foster Street, is used for aerobics classes, volleyball, and basketball.

Tokens providing access to the Evanston campus University beach are available for a modest fee for employees and their immediate families from the Henry Crown Sports Pavilion or at the beach entrance. The beach is open from mid-June through Labor Day.

Childcare resource and referral

Northwestern staff and faculty have access to a resource and referral service through Action for Children. Call 773-564-8890 to speak with an account representative, who can help in identifying centers with spaces that meet your needs.

For additional childcare programs, visit the website for family and childcare resources at <http://www.northwestern.edu/hr/benefits/childcare>.

The Staff Advisory
Council (NUSAC)

Chartered by Northwestern University's president in 1973, NUSAC, the Northwestern University Staff Advisory Council, provides service to the University community through representation of the opinions, concerns, and experiences of its nonexempt and exempt staff. This representation takes place in meetings with the Department of Human Resources and other University administrators as well as through opportunities to nominate staff members for service on University committees and task forces.

NUSAC also provides service to University staff through networking and educational outreach by way of its newsletter, "brown bag lunch" seminars and by sponsorship of the president's annual State of the University address.

Membership. Members are regular full time or part time staff with two or more years of continuous service, and they serve no more than two consecutive three-year terms. Eighteen non-faculty employees from both Northwestern's Chicago and Evanston campuses serve on NUSAC, and each member serves on one of three standing committees.

Committees. The Human Resources Committee works with the associate vice president for human resources to provide staff input and to discuss proposed policy changes and procedures. The associate vice president reports pending matters of staff interest and asks for NUSAC's input. This committee also appoints a safety officer to serve as liaison to the University Campus Safety and Security Committee, maintains a complaint liaison for each campus, and coordinates NUSAC activities to promote policies beneficial to Northwestern's staff.

The Communications Committee coordinates the publicity and public relations activities of NUSAC to make staff, faculty, and the central administration aware of the Council's goals and activities. This committee publishes a periodic newsletter mailed to all staff and organizes "brown bag lunches" for staff to discuss issues with University representatives.

The Benefits Committee works with the director of benefits and provides a liaison with the General Faculty Committee's Benefits Committee. This committee reports staff suggestions concerning benefits policies and procedures and responds back to the staff.

Contacting NUSAC. The ideas, suggestions, and job-related questions of staff employees are important to NUSAC because it strives to address the points of view of all of Northwestern's staff members and works to represent them to the University's administration. NUSAC is listed in the University telephone directory, with the names and telephone numbers of the current chair and vice chair. NUSAC board members are also found on NUInfo.

NUSAC Meetings. NUSAC meetings are scheduled for the first Wednesday of the month, during normal working hours, on alternate campuses. The meetings are open to any member of the staff. To be included on the agenda, one should contact the chair in advance of the meeting.

Appendix A.
Health risks associated
with alcohol

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsion. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

Appendix B.
Programs available to
students and employees

Counseling and Psychological Services (CAPS). Northwestern's Counseling and Psychological Service is a university counseling center that provides counseling, crisis intervention, consultation, and outreach services for the university community. Students may seek assistance through CAPS for alcohol or substance abuse in a variety of ways. All students who seek counseling service from CAPS are screened during the assessment interview for their level of alcohol and substance use. CAPS professionals are also available for consultation with others in the University community who are concerned about a student's alcohol and substance abuse, and will assist others in planning how to refer a student for assessment and treatment. CAPS also consults regularly with the NU Health Services Alcohol and Substance Abuse Education program.

CAPS offers a variety of treatment alternatives depending upon the level of intervention needed by the student. Frequently CAPS will refer to community resources specializing in alcohol-substance abuse treatment after an initial consultation and assessment. If a student has NU student insurance, CAPS professional staff may authorize utilization of the policy for inpatient, day hospital, or outpatient services. In cases where students are referred to outside resources and CAPS has a written release of information, CAPS professionals may consult with the student's treatment providers and serve as a professional resource for the student and the treatment provider, helping to arrange medical withdrawals, medical clearance for re-entry, and follow-up services at CAPS or in the community.

PHE. Peer Health Educators (PHE) is a student group created for the University community. It is affiliated with BACCHUS, a national and community action program for alcohol abuse prevention. In addition, Peer Health Educators address alcohol abuse within the context of other health issues, including stress management, sexual health, violence, prevention, decision-making, and self-esteem.

The Peer Health Educators present firesides and conduct other educational programs on a variety of health-related topics. They receive extensive training on such issues as alcohol, tobacco, and other drug abuse; sexual health promotion; exercise and fitness; stress management; healthy eating and eating disorders. Furthermore, they receive skill-based training on such areas as communication, conflict resolution, cultural competence, and intervention. Among other areas of expertise, they are able to assist in identifying a peer who is affected by alcohol or drug abuse, as well as to provide initial support and additional resources to the affected individuals.

For more information about PHEs, contact the Health Education Department at 847 491-2146.

Appendix B.
Programs available to
students and employees,
continued

ASAEP. The Alcohol Substance Abuse Education Program (ASAEP) was developed as a means of assisting students who need more alcohol and drug information. ASAEP provides a structured educational environment designed to help students explore attitudes and actions relating to alcohol and drug abuse.

The program is designed to provide accurate information about the psychological and physiological effects of alcohol and substance abuse. It gives students the opportunity to explore their personal reasons for using or abusing alcohol or other substances; examine values and influences associated with such use; explore and discuss responsible drinking behaviors and attitudes; discuss and identify problem drinking, chemical dependency, and appropriate treatment; and identify available campus and community resources.

Students may be referred to ASAEP by members of the University staff, or they may refer themselves to the program. Students involved in ASAEP are expected to abstain from the use of all mood-altering chemicals during the period of their attendance, attend the total program (three sessions of three hours each), participate in the program and complete written assignments, and meet with ASAEP staff at the closing session.

Faculty and Staff Assistance Program. Any employee of Northwestern who has a drug or alcohol problem is invited to contact the Faculty and Staff Assistance Program provided to the University by Perspectives, Ltd. to obtain confidential information and assistance. Perspectives, Ltd., can provide counseling and referrals for diagnosis or treatment programs, including Alcoholics Anonymous. Perspectives, Ltd., has a number of offices in the Chicago metropolitan area, including offices near both campuses. Call Perspectives, Ltd., at 800-456-6327. Counselors are available 24 hours a day.

Appendix C. Controlled Substances -- Uses and Effects

Drugs CSA Schedules	Trade or Other Names	Medical Uses	Dependence Physical Psycho- logical	Tole- Rance	Duration	Usual Methods of Admini- stration	Possible Effects	Effects of Overdose	Withdrawal Syndrome	
NARCOTICS										
Opium	II III V Dover's Powder Paregonic Parepectolin	Analgesic, antidiarrheal	High	High	Yes	3-6	Oral, smoked	Euphoria, drowsiness, respiratory depression, constricted pupils, nausea	Slow and shallow breathing, convulsions coma, possible death.	Watery eyes, runny nose, yawning, loss of appetite, irritability, tremors, panic, cramps, nausea, chills, and sweating
Morphine	II III Morphine MS Contin Roxanol, Roxanol SR	Analgesic, antitussive	High	High	Yes	3-6	Oral, smoked, injected			
Codeine	II III V Tylenol w Codeine Rohitussan AC Formula w Codeine	Analgesic, antitussive	Moderate	Moderate	Yes	3-6	Oral, injected			
Heroin	II III V Diacetylmorphine Horse Smack	None	High	High	Yes	3-6	Injected, sniffed, smoked			
Hydromorphone	II Dialaudid	Analgesic	High	High	Yes	3-6	Oral, injected			
Meperidine	II Demerol, Mepergan	Analgesic	High	High	Yes	3-6	Oral, injected			
Methadone	I Dolophine, Methadone, Methadose	Analgesic	High	High-Low	Yes	12-24	Oral injected			
Other Narcotics	I II III IV V Numorphan, Percodan, Percocet, Tussionex, Fentanyl, Darvon Talwin, Lomotil	Analgesic, antidiarrheal, antitussive	High-Low	High-Low	Yes	Variable	Oral, injected			
DEPRESSANTS										
Chloral Hydrate	IV Notac	Hypnotic	Moderate	Moderate	Yes	5-8	Oral	Slurred speech, disorientation, drunken behavior without odor of alcohol	Shallow respiration, clammy skin, weak and rapid pulse, coma, possible death	Anxiety, insomnia, tremors, delerium, convulsions, possible death.
Barbiturates	II III IV Amytal, Losate Nembutal Phenobarbital	Anesthetic, anticonvulsant, Veterinary euthanasia agent	High-Mod.	High-Mod.	Yes	1-16	Oral			
Benzodiazepines	IV Xanax Serax Valium Diamane	Antianxiety, anticonvulsant, sedative, hypnotic	Low	Low	Yes	4-8	Oral			
Methaqualone	I Quaalude	Sedative, hypnotic	High	High	Yes	4-8	Oral			
Glutethimide	III Doriden	Sedative, hypnotic	High	Moderate	Yes	4-8	Oral			
Other Depressants	III IV Equanil, Miltown Placidyl, Valmid	Antianxiety, sedative, hypnotic	Moderate	Moderate	Yes	4-8	Oral			

Appendix C. Controlled Substances -- Uses and Effects, continued

Drugs CSA Schedules	Trade or Other Names	Medical Uses	Dependence		Tol- erance	Duration	Usual Methods of Admini- stration	Possible Effects	Effects of Overdose	Syndrome
			Physical	Psycho- logical						
STIMULANTS										
Cocaine	II Coke, Flake Snow, Crack	Local anesthetic	Possible	High	Yes	1-2	Sniffed, smoked injected	Increased alertness, excitation, pulse rate and blood pressure, insomnia, loss of appetite.	Agitation, increase in body hallucinations, convulsions, possible death.	Apathy, long periods of sleep, irritability, depression, disorientation.
Amphetamines	II Biphphetamine, Delcobase Desoxyn Dexedrine Obetrol	Attention deficit disorders, narcolepsy, weight control	Possible	High	Yes	2-4	Oral, injected			
Phenmetrazine	II Preludin	Weight control	Possible	High	Yes	2-4	Oral, injected			
Methylphenidate	II Ritalin	Attention deficit disorders, narcolepsy	Possible	Moderate	Yes	2-4	Oral, injected			
Other Stimulants	III IV Adipex, Cylert, Didrex, Sanorex, Tenuate, Tepanil	Weight control	Possible	High	Yes	2-4	Oral, injected			
HALLUCINOGENS										
LSD	I Acid, Microdot	None	None	Unknown	Yes	8-12	Oral	Illusions and hallucinations, poor perception of time and distance.	Longer, more intense "trip" episodes, psychosis, death.	Withdrawal syndrome not reported.
Mescaline and Peyote	I Mexc, Buttons, Cactus	None	None	Unknown	Yes	8-12	Oral			
Amphetamine	I 2.5-DMA, PMA, MDA, MDMA, TPA DOM, DOB	None	Unknown	Unknown	Yes	Variable	Oral,			
Phencyclidine	II PCP, Angel Dust, Hog	None	Unknown	High	Yes	Days	Smoked, oral, injected			
Phencyclidine Analogues	I PCE, PCPy, TCP	None	Unknown	High	Yes	Days	Smoked, oral, injected			
Other Hallucinogens	I Butotenine, Icogaine, DMT, DET, Psilocybin, Psilocyn	None	None	Unknown	Possib le	Variable	Smoked, oral, injected, sniffed			
CANNABIS										
Marijuana	I Pot, Acapulco Gold, Grass, Reefer	None	Unknown	Moderate	Yes	2-4	Smoked, oral	Euphoria, relaxed appetite, disoriented behavior	Fatigue, paranoia, possible psychosis	Insomnia, hyperactivity, appetite occasionally reported.
Tetrahydro- cannabinol	I II THC, Marinol	Cancer chemotherapy	Unknown	Moderate	Yes	2-4	Smoked, oral			
Hashish	I Hash	None	Unknown	Moderate	Yes	2-4	Smoked, oral			
Hashish Oil	I Hash Oil	None	Unknown	Moderate	Yes	2-4	Smoked, oral			

Appendix D. Federal Trafficking Penalties

CSA	Penalty		Quantity	Drug	Quantity	Penalty	
	2nd Offense	1st Offense				1st Offense	2nd Offense
I	Not less than 10 years. Not more than 40 years. If death or serious injury, not less than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 5 years. Not more than 40 years. If death or serious injury, not less than 20 years. Not more than life.	5-49 gm or 50-499 gm mixture	METHAMPHETAMINE	50 gm or more or 500 gm or more mixture	Not less than 10 years. Not more than life. If death or serious injury, not less than 20 years, nor more than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years. Not more than life. If death or serious injury, not less than life.
			100-999 gm mixture	HEROIN	1 kg or more mixture		
			500-4999 gm mixture	COCAINE	5 kg or more mixture		
			5-49 gm mixture	COCAINE BASE	50 gm or more mixture		
			10-99 gm or 100-99 gm mixture	PCP	100 gm or more or 1 kg or more mixture		
			1-10 gm mixture	LSD	10 gm or more mixture		
II	Fine of not more than \$2 million individual, \$5 million other than individual.	Fine of not more than \$2 million individual, \$5 million other than individual.	40-399 gm mixture	FENTANYL	400 gm or more mixture	\$4 million individual, \$10 million other than individual.	\$8 million individual, \$20 million other than individual.
			10-99 gm mixture	FENTANYL ANALOGUE	100 gm or more mixture		
III	Drug	Quantity	First Offense	Second Offense			
	Others	Any	Not more than 20 years If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million nor individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million not individual.			
	All	Any	Not more than 5 years.	Not more than 10 years. Fine not more than \$500.00 individual, \$2 million not individual.			
	All	Any	Fine not more than \$250.00 individual, \$1 million not individual. Not more than 3 years.	Not more than 6 years. Fine not more than \$500.00 individual, \$2 million not individual.			
	All	Any	Fine not more than \$250.00 individual, \$1 million not individual. Not more than 1 year. Fine not more than \$100.00 individual, \$250.00 not individual.	Not more than 2 years. Fine not more than \$200.00 individual, \$500.00 not individual.			

Law as originally enacted states 100 gm. Congress requested to make technical correction to 1 kg.

Does not include marijuana, hashish, or hashish oil.

Federal Trafficking Penalties - Marijuana

Quantity	Description	First Offense	Second Offense
1,000 kg or more; or 1,000 or more plants	Marijuana Mixture containing detectable quantity*	Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life Fine not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years, not more than life. If death or serious injury, not less than life. Fine not more than \$8 million individual, \$20 million other than individual.
100 kg to 1,000 kg; or 100-999 plants.	Marijuana Mixture containing detectable quantity*	Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$2 million individual, \$5 million other than individual.	Not less than 10 years, not more than life. If death or serious injury, not less than life. Fine not more than \$4 million individual, \$10 million other than individual.
50 to 100 kg	Marijuana	Not more than 20 years.	Not more than 30 years.
10 to 100 kg	Hashish	If death or serious injury, not less than 20 years, not more than life.	If death or serious injury, life.
1 to 100 kg	Hashish Oil		Fine \$2 million individual, \$10 million other than individual.
50-99 plants	Marijuana	Fine \$1 million individual.	
Less than 50 kg	Marijuana	Not more than 5 years. Fine not more than \$250,000, \$1 million other than individual.	Not more than 10 years. Fine \$500,000 individual, \$2 million other than individual.
Less than 10 kg	Hashish		
Less than 1 kg	Hashish Oil		

* Includes Hashish and Hashish Oil

Appendix E.
Federal penalties and
sanctions for illegal
possession of a
controlled substance

21 U.S.C. 844(a) First conviction: up to one year imprisonment and fined at least \$1,000 but not more than \$100,000, or both.

After one prior drug conviction: at least fifteen days in prison, not to exceed two years, and fined at least \$2,500 but not more than \$250,000, or both.

After two or more prior drug convictions: at least ninety days in prison, not to exceed three years, and fined at least \$5,000 but not more than \$250,000, or both.

Special sentencing provisions for possession of crack cocaine. Mandatory imprisonment of at least five years, not to exceed twenty years, and fined up to \$250,000 or both, if:

- a) First conviction and the amount of crack possessed exceed five grams;
- b) Second crack conviction and the amount of crack possessed exceeds three grams;
- c) Third or subsequent crack conviction and the amount of crack possessed exceeds one gram.

21 U.S.C. 853(a)(2) and 831(a)(7) Forfeiture of personal and real property used to possess or to facilitate possession of a controlled substance if that offense is punishable by more than one year imprisonment. (see the special sentencing provisions immediately above with respect to crack.)

21 U.S.C. 881(a)(4) Forfeiture of vehicles, boats, aircraft, or any other conveyance used to transport or conceal a controlled substance.

21 U.S.C. 844(a) Civil fine of up to \$10,000 (pending adoption of final regulations).

1 U.S.C. 853a Denial of federal benefits, such as student loans, grants, contracts, and professional and commercial licenses, up to one year for the first offense, up to five years for the second and subsequent offenses.

18 U.S.C. 922(g) Ineligible to receive or purchase a firearm.

Appendix F. Illinois trafficking penalties - controlled substances

Drug	Amount	Felony Status	Prison Term	Fine
Any substance containing HEROIN or analog thereof	>10 - 15 grams	Class 1	4-15 years	Up to \$250,000
	15 - 99 grams	Class X	6-30 years	Up to \$500,000
	100 - 399 grams	Class X	9-40 years	Up to greater of \$500,000 or full street value
	400 - 899 grams	Class X	12-50 years	Up to greater of \$500,000 or full street value
	900+ grams	Class X	15-60 years	Up to greater of \$500,000 or full street value
Any substance containing COCAINE or analog thereof	>1 - 15 grams	Class 1	4-15 years	Up to \$250,000
	15- 99 grams	Class X	6-30 years	Up to \$500,000
	100 - 399 grams	Class X	9-40 years	Up to greater of \$500,000 or full street value
	400 - 899 grams	Class X	12-20 years	Up to greater of \$500,000 or full street value
	900 + grams	Class X	15-60 years	Up to greater of \$500,000 or full street value
Any substance containing MORPHINE or analog thereof	>1-15 grams	Class X	4-15 years	Up to \$250,000
	15-99 grams	Class X	6-30 years	Up to \$500,000
	100-399 grams	Class X	9-40 years	Up to greater of \$500,000 or full street value
	400-899 grams	Class X	12-50 years	Up to greater of \$500,000 or full street value
	900 + grams	Class X	15-60 years	Up to greater of \$500,000 or full street value
Any substance containing PEYOTE or analog thereof	>50-200 grams	Class 1	4-15 years	Up to \$250,000
	200 + grams	Class X	6-30 years	Up to \$500,000
Any substance containing BARBITURIC or analog thereof	>50-200 grams	Class 1	4-15 years	Up to \$250,000
	200 + grams	Class X	6-30 years	Up to \$500,000
Any substance containing AMPHETAMINE or METHAMPHETAMINE or analog thereof	5-200 grams	Class 1	4-15 years	Up to \$250,000
	200 + grams	Class X	6-30 years	Up to \$500,000

Drug	Amount	Felony Status	Prison Term	Fine
Any substance containing LSD or analog thereof	3-9 grams or >3-9 objects/parts	Class 1	4-15 years	Up to \$250,000
	10-99 grams or >10 objects/parts	Class X	6-30 years	Up to \$500,000
	100-399 grams	Class X	9-40 years	Up to greater of \$500,000 or full street value
	400-899 grams	Class X	12-50 years	Up to greater of \$500,000 or full street value
	900 + grams	Class X	15-60 years	Up to greater of \$500,000 or full street value
Any Substance containing PENTAZOCINE, METHAQUALONE or PCP or analog thereof	>10-30 grams	Class 1	4-15 years	Up to \$250,000
	30 + grams	Class X	6-30 years	Up to \$500,000
Any substance containing a substance or analog of substance classified in Schedules I or II, but not listed here	50-200 grams	Class 1	4-15 years	Up to \$250,000
	200 + grams	Class X	6-30 years	Up to \$500,000
Any substance or analog classified in Schedules I or II which is a narcotic drug	Any amount not listed above	Class 2	3-7 years	Up to \$200,000
Any substance or analog classified in Schedules I or II which is not a narcotic drug		Class 3	2-5 years	Up to \$150,000
Any substance classified in Schedule III		Class 3	2-5 years	Up to \$125,000
Any substance classified in Schedule IV		Class 3	2-5 years	Up to \$100,000
Any substance classified in Schedules V		Class 3	2-5 years	Up to \$75,000

Appendix G. Illinois trafficking penalties for possession of a controlled substance

Drug	Amount	Felony	Prison Term	Fine
Any substance containing HEROIN	15-99 grams	Class 1	4-15 years	Up to \$200,000
	100-399 grams	Class 1	6-30 years	Up to greater of \$200,000 or full street value
	400-899 grams	Class 1	8-40 years	Up to greater of \$200,000 or full street value
	900+ grams	Class 1	10-50 years	Up to greater of \$200,000 or full street value
Any substance containing COCAINE	15-99 grams	Class 1	4-15 years	Up to \$200,000
	100-399 grams	Class 1	6-30 years	Up to greater of \$200,000 or full street value
	400-899 grams	Class 1	8-40 years	Up to greater of \$200,000 or full street value
	900+ grams	Class 1	10-50 years	Up to greater of \$200,000 or full street value
Any substance containing MORPHINE	15-99 grams	Class 1	4-15 years	Up to \$200,000
	100-399 grams	Class 1	6-30 years	Up to greater of \$200,000 or full street value
	400-899 grams	Class 1	8-40 years	Up to greater of \$200,000 or full street value
	900+ grams	Class 1	10-50 years	Up to greater of \$200,000 or full street value
Any substance containing PEYOTE	200+ grams	Class 1	4-15 years	Up to \$200,000
Any substance containing a derivative of BARBITURIC ACID	200+ grams	Class 1	4-15 years	Up to \$200,000
Any substance containing AMPHETAMINE or METHAMPHETAMINE	200+ grams	Class 1	4-15 years	Up to \$200,000
Any substance containing LSD	10-99 grams 10+ objects/parts	Class 1	4-15 years	Up to \$200,000
	100-399 grams	Class 1	6-30 years	Up to greater of \$200,000 or full street value
	400-899 grams	Class 1	8-40 years	Up to greater of \$200,000 or full street value
	900+ grams	Class 1	10-50 years	Up to greater of \$200,000 or full street value
Any substance containing PENTAZOCINE METHAQUALONE, or PCP	30+ grams	Class 1	4-15 years	Up to \$200,000
Any substance in Schedules I or II as a narcotic	200+ grams	Class 1	4-15 years	Up to \$200,000
Any controlled substance	Any other amount	Class 4	1 - 3 years	Up to \$15,000

Appendix H. Illinois penalties for marijuana (includes hashish) trafficking

Amount	Classification	Prison Term	Fine
Up to 2.5 grams	Class B Misdemeanor	Up to 6 months	Up to \$500
2.6 - 10.0 grams	Class A Misdemeanor	Less than 1 year	Up to \$1,000
10.1 - 30.0 grams	Class 4 Felony	1 - 3 years	Up to \$10,000
30.1 - 500.00 grams	Class 3 Felony	2 - 5 years	Up to \$50,000
More than 500 grams	Class 2 Felony	3 - 7 years	Up to \$100,000

ILLINOIS PENALTIES FOR POSSESSION OF MARIJUANA
(INCLUDES HASHISH)

Amount	Classification	Prison Term	Fine
Up to 2.5 grams	Class C Misdemeanor	Up to 30 days	Up to \$500
2.6 - 10.0 grams	Class B Misdemeanor	Up to 6 months	Up to \$500
10.1 - 30.0 grams	Class A Misdemeanor	Less than 1 year	Up to \$1,000
	Class 4 Felony for 2d and subsequent offenses	1 - 3 years	Up to \$10,000
30.1 - 500.0 grams	Class 4 Felony	1 - 3 years	Up to \$10,000
	Class 3 Felony for 2nd and subsequent offenses	2 - 5 years	Up to \$10,000
More than 500 grams	Class 3 Felony	2 - 5 years	Up to \$10,000

Useful phone numbers	University Police Emergency Phone	911
	Non-emergency, Evanston	1-3456
	Non-emergency, Chicago	3-3456
	Benefits	1-7513
	Cashiers, Bursar Office, Evanston	1-5343
	Chicago	3-8525
	Chicago Campus Human Resources Office, Abbott Hall	3-8481
	Child Care and Family Resources	3-6631
	Compensation	1-7506
	Credit Union	1-3062
	Disability Services	1-7458
	Equal Employment Opportunity and Affirmative Action	1-7461
	Employment, Evanston	1-7507
	Chicago	3-8481
	Employee Relations, Evanston	1-7507
	Chicago	3-8481
	Faculty and Staff Assistance Program	
	Perspectives, Ltd., 24 hours	800-456-6327
	Payroll	1-7362
	Parking, Chicago	3-8129
	Evanston	1-3319
	Records	1-7362
	Training and Development	7-5081
	School of Continuing Studies, Evanston	1-4114
	Chicago	3-6950
	University Library	1-7658
