Northwestern University is one of the nation’s foremost institutions of higher learning, and our unique environment unites knowledge and ideas, ambition and imagination, hard work and joy.

As a member of our staff, you play a vital role in advancing the mission of Northwestern. We are committed to excellent teaching, innovative research, and personal and intellectual growth, and we are diligent about creating an environment that is inclusive and truly diverse. Our students, faculty, and staff come from different backgrounds — intellectually, ethnically, economically, and geographically — and we wouldn’t have it any other way.

This Staff Handbook provides current information regarding the policies and programs that define your role and responsibilities as a staff member, as well as Northwestern’s responsibilities to you. If you are looking for information about University policies and programs for yourself — or to address a question posed by another staff member — this Handbook is an excellent resource. I encourage you to familiarize yourself with its content and to refer to it whenever you have an employment-related question.

I trust that you will find this Handbook to be informative and a valuable resource. If you have any questions, please contact any member of Human Resources and we will be happy to assist you.

Pamela S. Beemer
Vice President and Chief Human Resource Officer

PHOTOGRAPHS
This Handbook features nine photographs taken on both the Evanston and Chicago, Illinois and Doha, Qatar campuses:
» Kellogg Global Hub (cover photo)
» Abbott Hall
» Annie May Swift Hall
» Weber Arch
» Chicago Campus Street
» Northwestern at Doha, Qatar
» Autumn Leaves on Campus
» Chicago Campus Buildings
» Evanston Campus Gate
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Mission of the University: Northwestern 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 Northwestern University

Northwestern was established under a charter approved by the Illinois state legislature on January 28, 1851. Today, Northwestern is a private, nonsectarian university with three campuses. Two campuses are located on Lake Michigan: one campus is in Evanston, a North Shore suburb of Chicago, and the other is located in downtown Chicago. The schools on these campuses enroll approximately 18,000 students during the academic year.

In 2008, Northwestern opened an international campus in Doha, Qatar. It is one of the American universities established in Education City, Doha, as a result of collaborative agreements between the universities and the Qatar Foundation. Each of these universities brings to Qatar educational programs for which those institutions are especially renowned.

Northwestern is comprised of 12 schools:
- Bienen School of Music
- Feinberg School of Medicine
- Kellogg School of Management
- McCormick School of Engineering and Applied Science
- Medill School of Journalism, Media, Integrated Marketing Communications
- Northwestern University in Qatar
- Pritzker School of Law
- School of Communication
- School of Education and Social Policy
- School of Professional Studies
- The Graduate School
- Weinberg College of Arts and Sciences

Northwestern operates under the supervision of a Board of Trustees, whose members serve without pay. Northwestern's revenue comes from endowment and gifts, student tuition and fees, government contracts and grants, and other sources. To view Northwestern's organization chart visit www.northwestern.edu/hr/handbook/orgchart.
Northwestern University Values

Northwestern is a community of thousands of amazing and diverse staff members, students, and faculty. Each of us is on a journey to achieve excellence in our work and personal and intellectual growth. The way in which we navigate this journey is with a compass, our values, which guides each of us in our Northwestern direction.

We strive for Excellence, taking pride in what we do. This looks like:

- Taking ownership and doing what is needed without having to be asked.
- Taking responsibility for outcomes, even when things don’t turn out right.
- Bringing forward options and solutions, not just identifying problems.
- Doing what you say you will do, when you say you will do it, working through circumstances with determination.
- Producing quality work that is both accurate and insightful.
- Providing valuable and helpful service to customers, making things easier for them.
- Working efficiently, and using University resources responsibly.
- Being a good steward, always working toward a better and more sustainable future.

We learn through Discovery, growing all the time. This looks like:

- Developing your professional skills, being curious and willing to learn.
- Generating ideas and finding new ways to contribute.
- Making improvements to the way work gets done, even when things may not be your direct responsibility.
- Being open to and soliciting feedback, and applying the learnings to the way you work.

We engage in Collaboration, achieving success together. This looks like:

- Building strong working relationships and a positive work environment.
- Keeping others informed and involved.
- Finding and using the strengths of others, across the University.
- Being a great team member, pulling your weight and making space for others to shine.
- Recognizing the contributions of others.
- Helping others develop through candid and constructive feedback.

We embrace our Diversity, fostering a vibrant community. This looks like:

- Treating everyone with courtesy and respect, making Northwestern a welcoming community for all.
- Being respectfully curious about people's experiences.
- Seeking diverse perspectives from others.
- Reaching out to be inclusive of others.
- Confronting people or situations that inhibit diversity.
- Increasing diversity, through hiring, development, and engagement.

We act with Integrity, building safety and trust. This looks like:

- Acting ethically, and seeking guidance when the ethics of a situation are not clear.
- Being transparent, open, and honest.
- Holding others accountable for unethical behavior.
- Acting with the University’s best interest at heart.
- Honoring University policies and regulatory requirements.
- Doing whatever is necessary to create a safe environment for all.
- Going beyond minimal standards to assure the intentions of our initiatives are realized.

Staff members are always welcome to contact Human Resources:

» In person:
  – In Evanston at 720 University Place, 847-491-7507
  – In Chicago at Abbott Hall, Room 150, 710 North Lake Shore Drive, 312-503-8481
  – In Qatar at the NU-Q Human Resources Department, or

» Online at www.northwestern.edu/hr/contact.

In addition, staff members may submit questions pertaining to this Handbook to staffhandbook@northwestern.edu.
About This Handbook

This Handbook provides general descriptions of policies, programs, and benefits, as well as guidelines for job performance and job behavior relating to staff members who work at Northwestern University.

Staff members support the faculty, students, and University in their educational and research missions. Staff members include executive, managerial, administrative, professional, Postdoctoral Fellow, research (staff), technical, maintenance, and clerical positions. Occupational categories for staff members include jobs in maintenance, service, clerical, research, technical, professional, and administrative areas.

Some University staff positions are covered by a labor agreement. In such cases certain policies and procedures may be different and are determined by the specific labor agreement. Staff members holding such jobs should obtain a copy of the labor agreement from their union steward to determine those differences.

This Handbook also applies to staff members working at Northwestern University in Qatar. There may be differences in some employment policies, practices, and benefits. For more information about Northwestern University in Qatar, visit www.qatar.northwestern.edu. Individuals with job titles classified as Librarian Faculty are covered by Librarian Faculty: Terms of Appointment; for more information, visit www.northwestern.edu/hr/handbook/librarians.

Features of this Handbook include:

• A table of contents, which a reader can use to access sections within this Handbook. To access a specific section, click on the section heading or page number.
• A directory providing contact information for various teams within Human Resources. This directory is located at the end of this Handbook.

Throughout this Handbook:

• The term “supervisor” is used to refer to an individual who has supervisory responsibility for others regardless of title within the University.
• Links to other specified pages and sections within this Handbook – as well as to sections of Northwestern’s website and to external websites – are underscored and highlighted in blue. Readers viewing this Handbook online may click on these links to reach the referenced page, section, or website.

Disclaimer

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 Northwestern University department/unit may adopt additional policies particular to its functions.

From time to time, policies and programs of the University may change; these changes will be summarized in periodic notices. To be sure you have current information, check for these notices posted online at www.northwestern.edu/hr/handbook, confer with your supervisor, or contact Human Resources.

This Handbook is not an employment contract or an assurance of continued employment. Northwestern may change without notice any statement in this Handbook concerning rules, policies, tuition, fees, curricula, courses, procedures, benefits, or other matters. Accordingly, a staff member should check the most current information if there is any doubt about the application of a policy. For the current edition of this Handbook, visit www.northwestern.edu/hr/handbook.

Questions

For questions that are not answered in this Handbook, staff members are encouraged to ask their supervisor or email staffhandbook@northwestern.edu. Staff members also may visit Northwestern University’s policies website at www.policies.northwestern.edu.
Northwestern University is an excellent place to work, providing a challenging work environment and competitive rewards. This combination is reinforced by strong benefits and workplace opportunities, the ability of staff members to maintain an effective integration between their work and personal lives, and the personal satisfaction of advancing the goals of one of the top universities in the world.

Joining Northwestern University

Human Resources and the supervisor seeking to fill a position vacancy work jointly on recruiting, screening, and selecting candidates.

Positions are generally posted for at least five business days. Offers of employment may be made following the posting period.

To view regular and temporary job opportunities, visit www.northwestern.edu/hr/careers.

For a description of what constitutes an exempt position versus a non-exempt position, see Employment Eligibility on page 2.2.

Northwestern University is committed to:

» Affirmative action as an integral part of the process of recruitment, selection, placement, transfer, and promotion

» Consideration of all qualified candidates, and

» Non-discrimination in employment practices and procedures.

How to Apply

Northwestern requires an online application and resume to be submitted for each open job opportunity at the University. All applicants should apply for staff job openings by visiting www.northwestern.edu/hr/careers. Northwestern only accepts applications for specific openings, and resumes should be submitted online in order to be considered.

Good Faith Search

Northwestern is an equal opportunity employer. Good faith efforts are made to provide diverse candidate pools that include members of groups underrepresented in the University's workforce. All searches are conducted in compliance with the laws of the United States, the State of Illinois, local jurisdictions, and the Affirmative Action Plan of the University.

Affirmative Action

Northwestern is a federal contractor that actively participates in affirmative action planning in the areas of recruitment and retention. For each employment and promotional opportunity, Northwestern actively seeks women, minorities, veterans, and persons with disabilities to maintain a University community that is based on equal opportunity, reflects the diversity of American society, and improves opportunities for women, minorities, veterans, and persons with disabilities.
**Accommodation of Disabilities and Pregnancy**

Northwestern reasonably accommodates persons with disabilities. The Americans with Disabilities Act (ADA), as amended by the ADA Amendments Act of 2008, is a federal anti-discrimination statute that provides protections to persons with disabilities in employment, public accommodations, state and local government services, and telecommunications.

Employees and applicants with a disability (as defined under the ADA, as amended) may be eligible for a reasonable accommodation that allows them to perform the essential functions of their position or participate in the hiring process for an open position. A reasonable accommodation for an employee may include such things as changing the physical layout of the workplace, restructuring job duties, or modifying the work schedule. A reasonable accommodation for an applicant may include making certain, reasonable modifications to the application, screening, or interview process to ensure the process is accessible.

Employees who are pregnant, as defined by the Illinois Pregnancy Accommodation Act, also may be eligible for reasonable accommodations. Accommodations for pregnant workers may include more/longer bathroom breaks, access to places to sit, and limits on lifting. Access to private non-restroom areas for breastfeeding across campus can be found by visiting [www.northwestern.edu/hr/handbook/lactation-rooms](http://www.northwestern.edu/hr/handbook/lactation-rooms).

For additional information regarding the process for applying for accommodations, visit [www.northwestern.edu/hr/handbook/accommodations](http://www.northwestern.edu/hr/handbook/accommodations).

**Employment Eligibility**

Northwestern University ensures that all employees, as well as all other individuals paid through the University payroll system, are legally eligible to be employed in the United States. Failure to meet eligibility requirements will make a candidate ineligible for hire, or result in the withdrawal of an offer or termination of employment for a staff member.

Falsification or omission of information as part of the application process, including omission of felony conviction information, is grounds for denial or termination of employment. Fingerprinting may be required for certain positions; failure to comply or a negative finding is grounds for denial or termination of employment.

**Types of Employment**

There are several types of employment at Northwestern. Staff members may be full-time, part-time, or term. Northwestern also employs temporary employees.

- **Full-time staff members** are scheduled to work at least 37.5 hours per week. The most common full-time schedules total 37.5 or 40 hours per week.
- **Part-time staff members** are scheduled to work fewer than 37.5 hours per week. Part-time staff members who work fewer than 18.75 hours per week are not eligible for benefits or other paid time off accruals. See page 5.1 for additional benefits eligibility requirements.
- **Term staff members** are appointed into “term” positions and have predetermined position beginning and end dates. Term positions are not intended to be ongoing. Northwestern is an at-will employer. This means either the employee or Northwestern University may end the employment relationship at will, with or without cause or advance notice, at any time.
- **Temporary employees** are hired for occasional or casual employment. Temporary employees are not eligible for benefits and work for Northwestern fewer than 1,000 hours in a 12-month period.
- **Other instances.** There are some instances where employees have contracts and their employment status is governed by that contract. These are different from staff on term assignments.

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Northwestern is committed to providing a safe environment and endeavors to protect the health, welfare, and safety of all employees, students, and visitors. Hiring qualified individuals to fill positions contributes to the success of the University in meeting its mission and strategic priorities.
In addition, staff positions are classified as either exempt or non-exempt.

**Exempt Staff**

Exempt staff members are exempt from the minimum wage and overtime provisions of the Fair Labor Standards Act (FLSA). This exemption is determined by evaluating the duties and responsibilities required of the staff member against the criteria outlined in the FLSA. A job is classified as exempt if its duties and responsibilities are primarily executive, managerial, or administrative, or if it requires an advanced educational degree or knowledge and experience in a field considered to be professional. Exempt staff members fulfill their duties without a focus on the amount of time it takes. Therefore, exempt staff members are paid a monthly salary that does not vary between pay periods based on the quality or quantity of work, and are not eligible to receive overtime for hours worked beyond 40 hours in a workweek.

**Non-exempt Staff**

Non-exempt staff members do not qualify, by the nature of their work and responsibilities, for exemption from the overtime or minimum wage provisions of the FLSA. Non-exempt staff members are paid by the hour and must receive no less than one and one-half times their regular rate of pay for hours worked in excess of 40 hours in a workweek.

**Background Checks**

Pre-employment background checks are required for all finalists who are selected for employment. Conducting background checks of candidates prior to date of hire helps determine the employability of candidates while ensuring the protection of current employees, property, and information of the organization.

For more information, visit [www.northwestern.edu/hr/handbook/background-check](http://www.northwestern.edu/hr/handbook/background-check).

**Applicability**

A background check will be conducted for all individuals selected during the hiring process for Northwestern University positions. This includes all candidates applying to regular and temporary staff positions within the University. Prior to beginning an assignment, interns and volunteers over the age of 18 years old are also required to complete a background check. Northwestern reserves the right to background check any current employee.

**Disclosure of Convictions**

Staff members have an ongoing obligation to inform their supervisor if they:

- Are convicted of a crime
- Are added to any sexual offender registry
- Have a license or certification that is required for the position that expires, or that is suspended or revoked, or
- Are excluded, suspended, debarred, or otherwise ineligible to participate in federal programs.

Supervisors, in turn, should notify Human Resources in such instances. Registered sex offenders who are employed by the University are required by law to also register with the University Police Department.

**Types of Background Checks**

There are numerous types of background checks, depending upon the position and function, including but not limited to:

- County criminal check
- Credit check
- Driving record check
- Excluded parties list/federal healthcare reimbursement sanctions and exclusions check, such as Office of Inspector General (OIG), Food and Drug Administration (FDA), General Services Administration (GSA), and Office of Foreign Assets Control (OFAC)
- Federal felony and misdemeanor check
- National Criminal File check
- Sex offender registry check, and
- Social Security number check.
Additionally, background checks include verifications of past and/or current employment, education, and personal and professional references.

Driving record checks are conducted for individuals who are required to drive as a function of the position or who regularly operate University vehicles. Similarly, credit checks are conducted for candidates who apply to positions with significant financial responsibility and accountability, including but not limited to those employees who handle financial transactions.

Background checks, education and employment verifications, and reference checks are conducted by Human Resources or its agents or designees.

- Drug and alcohol testing is required prior to employment and at various times during employment in positions requiring such testing. For more information on the University’s Drug and Alcohol Use and Testing Policy, visit www.northwestern.edu/hr/handbook/alcohol-policy.
- An internal Trustworthiness and Reliability assessment is required for positions allowing unescorted access to a cesium irradiator. In addition, fingerprinting and a federally conducted risk assessment are required for positions that allow unescorted access to either cesium irradiators or regulated select agents.
- A physical examination is required for some positions where specified occupational health and safety standards must be met.

» Consequences

Where it relates to existing employees, the following situations are subject to corrective action, up to and including termination of employment:

- Failure to obtain and maintain required licensure and/or certification
- Current inclusion in the OIG List, GSA List, OFAC List, or Sexual Offender Registry, and
- A criminal conviction, discovered at any time during employment.

Use of Information Obtained from a Background Check

The information obtained through a background check is considered only insofar as it is relevant to performance in the position and/or as it relates to the issues of safety and security of people, property, and other University resources. A plea of guilty, a finding of guilty by a referee, jury, or court, or a conviction of a crime will be considered in determining the eligibility of an individual for employment. Conviction of a crime does not necessarily prohibit being hired.

» Fair Credit Reporting Act

Northwestern will advise the individual of any adverse findings and provide the individual with an opportunity to explain the situation and/or provide proof of error, in compliance with the Fair Credit Reporting Act (FCRA) and any other legal requirements.

If any reported information is used in denying a placement to a candidate, a representative of Human Resources or its agent will:

- Notify the candidate that the adverse action was taken by the University
- Provide to the candidate the name, address, and phone number of the reporting agency
- Inform the candidate of the right to a copy of the report to be provided by the agency, and
- Inform the candidate of the right to dispute the information with the reporting agency.
Other Employment Requirements

» Mandated Reporter Acknowledgement
As employees of an educational institution in the State of Illinois, all staff members are considered mandated reporters and required to acknowledge this upon hire.

For more information, refer to Mandated Reporters on page 3.4 of this Handbook.

» Policy on Employment or Evaluation of Relatives
For more information, visit www.northwestern.edu/hr/handbook/relatives.

» Policy on Consensual Romantic or Sexual Relationships between Faculty, Staff, and Students
For more information, visit www.northwestern.edu/hr/handbook/relationship-policy.

» Policy on Sexual Misconduct
For more information, visit www.northwestern.edu/hr/handbook/sexual-misconduct-policy.

Probationary Period

All staff members are on a six-month probationary period from the date of hire. Additionally, staff members who apply for and receive a transfer or promotion are in their probationary period for the initial six months in the new position. This period of time provides the University an opportunity to observe and evaluate the capacity of the staff member in areas that include, but are not limited to: possessing the competencies necessary to satisfactorily perform the essential functions of the job; achieving demonstrable results; as well as observations and evaluations of their behaviors, work habits, dependability, conduct, and their relationships with individuals at all levels.

In rare instances, during the probationary period, the University may terminate employment immediately, with or without cause and with or without notice. Supervisors may extend the probationary period after consultation with their Human Resources Business Partner.

Successful completion of the probationary period does not guarantee continued employment.

For information about the probationary period of police officers, contact the University Police Department at universitypolice@northwestern.edu.

Onboarding – New Employee Orientation

The staff onboarding process helps new staff members quickly learn how Northwestern University works, how to succeed here, and how to take advantage of the many resources and benefits Northwestern offers to enrich their quality of life.

Learning and Organization Development in Human Resources facilitates the new employee orientation process.

For more information, visit www.northwestern.edu/hr/handbook/orientation or call Learning and Organization Development at 847-467-5081.

Northwestern’s onboarding process features valuable guidance and a Q&A with experts and specialists from across the University. Their presentations, workshops, videos, tools, and checklists are designed to help hiring managers and new staff members fully engage in “the Northwestern experience” from recruitment through the first anniversary of employment, and beyond.
Personnel Files and Access

Human Resources maintains a personnel file for every staff member. The file includes the record of transactions relating to employment at Northwestern University. The file is confidential, and is not provided to persons outside the University without the staff member’s consent, legal authorization, or subpoena/court order. Staff members interested in reviewing their personnel file may submit a request in writing to Human Resources.

Staff members can request to review the information contained in their own personnel file. To prevent abuses of this access privilege, Northwestern reserves the right to limit the number of times staff members can access their file during a 12-month period. Staff members interested in reviewing their personnel file should make this request in writing to Human Resources.

Transfer and Promotion

Northwestern University values its staff and encourages them to continue to develop and consider other University job opportunities as part of their personal and professional growth.

» Service Requirement
To be eligible for a transfer or promotion to a different department/unit in the University, staff members must have been in their current position for at least 12 months. On rare occasions mutual agreement is reached between the current supervisor, Department/Business Administrator, new supervisor, and Human Resources to allow for a transfer or promotion within the first 12 months. Staff members may not apply online for positions prior to being in their current position for 12 months without prior approval from Human Resources and their current department. However, transfers or promotions within a staff member’s department/unit may occur at any time subject to supervisory and Department/Business Administrator approval.

» Performance Requirement
To be eligible for transfer or promotion, a staff member must be performing at a satisfactory level in his or her job and have had no disciplinary action in the prior six months. Performance that is unsatisfactory is defined as having received an overall rating on the most recent performance review of “Development Needed” or “Corrective Action.”

» Qualifications
To be considered for transfer or promotion to another position, a staff member must meet the minimum qualifications of the position and apply for the position. Background checks are required for all finalists who are selected for employment.

For more information, refer to Background Checks on pages 2.3 and 2.4 of this Handbook.
Application
To ensure consideration for a position, a staff member should apply online at www.northwestern.edu/hr/careers.

For more information and assistance, the staff member may contact Human Resources or visit www.northwestern.edu/hr/careers/help.

Selection Process
The hiring manager, in consultation with Talent Acquisition, reviews applications and determines which applicants will be invited to interview for a position.

References
A professional reference from the staff member’s current supervisor should be obtained once a staff member is offered a position. Additional references from within and outside of Northwestern may be obtained prior to a position being offered.

Offers are contingent upon successful completion of a background check and references.

Supervisor Notice
Staff members are encouraged to discuss their career plans and opportunities with their supervisor. Staff members must notify their supervisor at the point when they become the candidate of choice. Talent Acquisition may coordinate this notice.

Decision
Offer decisions are made jointly by the hiring manager and Human Resources.

Transfer Date
Talent Acquisition coordinates the transfer date with the hiring manager and the staff member’s current supervisor. Unless both supervisors agree to other arrangements:
- Exempt staff members must provide at least four weeks of working notice, and
- Non-exempt staff members must provide at least two weeks of working notice.

Vacation, Personal Floating Holiday, and Incidental Sick Time
When a current University staff member transfers to another University staff position, the staff member retains the vacation, personal floating holiday, and Incidental Sick Time balance from the former position.

For more information, refer to Section 6: Paid Time Away from Work of this Handbook.

Lateral Transfer
A staff member’s wage/salary does not increase upon lateral transfer to a position of the same pay grade or salary range.

Promotion
A staff member who transfers to a position with a higher pay grade or salary range may be eligible for a wage/salary increase. The amount of the increase is based on compensation guidelines developed by Compensation & Recognition in Human Resources.

Probationary Period
A staff member is required to complete a six-month probationary period in the new position, and will retain accrued University service after the transfer to the new position.
Reinstatement

Staff members who return to any regular staff position at the University within six months of leaving the University will be reinstated 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.

Rehire

A staff member who has been away from Northwestern more than six months and returns to any regular staff position at the University is considered a new staff member with no prior University service for the purposes of accruing paid time away from work, service recognition, and qualifying for health and dental care plans, financial protection programs, and other benefits. Additionally, a new waiting period for benefits eligibility may be required.

Eligibility for Rehire

Staff members who leave the University in good standing and want to return are considered eligible for reemployment. To leave in good standing, a staff member must have left the University performing at a satisfactory level in his or her job, and had no disciplinary action within six months prior to leaving the University.

Staff members who resign in lieu of termination may seek consideration for reemployment unless the reason for termination at Northwestern was due to a serious violation of policies, rules, or conduct, or other written agreement. Applications may be subject to review.

Reemployed staff members are subject to the probationary period requirements.

Performance Reviews

Performance Excellence is an annual process, culminating in a year-end performance summary and rating. Supervisors and staff members are encouraged to communicate frequently on priorities, expectations, performance, and professional development.

Performance Excellence promotes:

- **Effectiveness**: By helping staff members accomplish high priority objectives at progressively higher levels of performance.
- **Engagement**: By drawing a connection and meaning between a staff member's contributions and the mission of their organization.
- **Growth**: By encouraging development, and providing opportunities for staff members to learn new capabilities.

Northwestern's Performance Excellence is completed online, using myHR Learn. For additional information, visit [www.northwestern.edu/hr/handbook/myhr-learn](http://www.northwestern.edu/hr/handbook/myhr-learn).

Finalized reviews will be available to staff members and supervisors in myHR Learn. The results of a staff member's year-end review and rating should be used as an important input to determine the staff member's merit increase and facilitate the creation of the staff member's performance and development objectives for the next year.

For differences of opinion relative to performance evaluation, the judgment of the supervisor normally prevails. Staff members may include a rebuttal letter in their personnel file if they disagree with their supervisor’s evaluation.
Professional Development

Learning and Organization Development:
- Collaborates with staff and faculty who want to develop their talent and advance their workplace outcomes, processes, and engagement
- Helps members of the Northwestern community leverage strengths, acquire knowledge, build skills, change attitudes, and implement solutions in key workplace performance areas, and
- Offers a variety of engaging workplace learning and performance improvement methods including consulting, coaching, workshops, retreats, and online tools.

For more information, visit www.northwestern.edu/hr/workplace-learning or call Learning and Organization Development at 847-467-5081.

Professional development that is related to a staff member’s duties and provided by external entities may also be utilized at the discretion of the supervisor and staff member’s unit.

Staff Recognition

Northwestern University offers a variety of staff recognition programs, awards, and activities. These include:
- Annual Staff Service Recognition Luncheon
- Employee of the Year Award
- Length of Service Recognition
- Service Excellence Awards, and
- Service Excellence Recognition Luncheons.

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

Benefits-eligible staff members who are actively employed are honored with a service pin for Length of Service Recognition after their 5th, 10th, and 15th anniversaries.

Staff members who have completed 20 years of service – and in five-year increments thereafter – are honored at the annual Staff Service Recognition Luncheon. Staff members who reach the 20th milestone (or every five years thereafter) by May 31 will be recognized at the current year’s luncheon; otherwise, recognition will be held over to the following year.

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

Many of our staff recognition programs are offered in collaboration with the Northwestern University Staff Advisory Council (see Section 10: Professional and Other University Organizations on page 10.1 of this Handbook). For more information, call Employee Recognition at 847-491-7507 (Evanston) or 312-503-8481 (Chicago), or visit the NUSAC website at www.northwestern.edu/nusac.

Corrective Action Process

Staff members are expected to meet the University’s and their department/unit’s standards of work performance. Work performance encompasses many factors, including:
- Job proficiency
- Dependability
- Personal conduct
- Northwestern Behaviors (as defined by the performance management process), and
- General compliance with all University and department/unit policies and procedures.

» At-Will Employer
Northwestern is an at-will employer. That is, either the employee or Northwestern University may end the employment relationship at will, with or without cause or advance notice, at any time.

» Initial Six-Month Probationary Period
All staff members are on a six-month probationary period from the date of hire. Additionally, staff members who apply for and receive a transfer or promotion are in their probationary period for the initial six months in the new position. This period of time provides the University an opportunity to observe
and evaluate the capacity of the staff member in areas that include, but are not limited to: possessing the competencies necessary to satisfactorily perform the essential functions of the job; achieving demonstrable results; as well as observations and evaluations of their behaviors, work habits, dependability, conduct, and their relationships with individuals at all levels.

In rare instances, during the probationary period, the University may terminate employment immediately, with or without cause and with or without notice. Supervisors may extend the probationary period after consultation with their Human Resources Business Partner.

Successful completion of the probationary period does not guarantee continued employment.

For information about the probationary period of police officers, contact the University Police Department at universitypolice@northwestern.edu.

» Completion of Initial Six-Month Probationary Period

Upon completion of the probationary period, the corrective action process or plan is designed to encourage development by providing staff members with guidance on achieving standards in areas that need improvement such as meeting job expectations, dependability issues, personal conduct, general compliance with University policies and procedures, and/or other disciplinary problems. The intent of the corrective action process or plan is to formally document problems while providing a staff member with a reasonable time within which to improve performance. If a staff member does not meet work performance standards, the University may begin a written corrective action process or plan. If a staff member fails to meet the expectations included in a corrective action process or plan, the consequence may be termination of employment.

Staff members must acknowledge receipt of the corrective action process or plan and may attach any additional comments of their own. A copy of the corrective action process or plan is placed in the staff member’s personnel file in Human Resources.

Staff members who have been issued a corrective action process or plan within the last six months are not eligible for a promotion or transfer. There are infractions that warrant immediate discharge; refer to Involuntary Termination of Employment on page 2.13 of this Handbook.

Resolving Workplace Issues

Staff members who have concerns about workplace matters, and who have been unsuccessful in reaching a satisfactory resolution through discussion with their supervisor or within their department/unit, may discuss their concerns with their Human Resources Business Partner.

Time spent during scheduled working hours in meetings with Human Resources is treated as time worked for pay purposes.

Staff members who wish to make a complaint of discrimination or harassment based on the protected categories listed in the University’s Policy on Discrimination and Harassment should follow the processes detailed at www.northwestern.edu/hr/handbook/discrimination-complaints. See Discrimination and Harassment on page 4.1 for more information.

Staff members who wish to make a complaint of sexual misconduct should follow the processes detailed at www.northwestern.edu/sexual-misconduct/file-a-report. See Section 4: Workplace Commitment pages 4.1 through 4.5 for more information.
Non-retaliation

Northwestern strictly prohibits retaliation against any member of its community for reporting or inquiring in good faith about what the member believes to be wrongful or unlawful activity, or for participating in an investigation or proceeding related to such activity. The University considers such reporting, inquiring, or participating to be protected activities in which all members of the Northwestern community may freely engage.

» Encouragement of Reporting

Northwestern encourages members of its community to report all information regarding any activity they reasonably believe to be wrongful or unlawful, including activities that may constitute:
• Discrimination, harassment, or sexual misconduct
• Fraud
• Unethical business conduct
• Academic misconduct
• Research misconduct
• Fraud, waste, abuse, or mismanagement in connection with a federal contract or grant
• Circumstances of substantial, specific, or imminent danger to faculty, staff, or students, or the public’s health and/or safety
• Suspected child abuse and/or neglect
• Other violations of University policies or procedures, or
• Other violations of local, state, or federal laws or regulations.

The University is firmly committed to a policy of encouraging timely disclosure of such concerns and prohibits retaliation against any member of the Northwestern community who, in good faith, reports such concerns.

Protection from Retaliation

Retaliation is an action, performed directly or through others, that is aimed to deter a reasonable person from engaging in a protected activity or is done in retribution for engaging in a protected activity. Action in response to a protected activity is not retaliatory unless (i) it has a materially adverse effect on the working, academic, or other University-related environment of an individual; and (ii) it would not have occurred in the absence of the protected activity.

Examples of materially adverse actions that could constitute retaliation include, but are not limited to:
• Reducing one’s salary
• Giving a negative performance evaluation
• Decisions relating to one’s work assignments, vacation, or promotion or advancement opportunities (whether employment-related or academic)
• Terminating employment
• Reducing a student’s grade
• Removing one from a student organization, academic program, or lab
• Stripping one of co-authorship on a publication
• Interfering with one’s job search
• Engaging in harassing conduct that is sufficiently severe, pervasive, and/or persistent to create a hostile environment (For this purpose, the existence of a hostile environment is to be judged both objectively – meaning a reasonable person would find the environment hostile – and subjectively – meaning the affected individual felt the environment was hostile.), or
• Threats to engage in any of the actions listed above.

In addition, no community member may be retaliated against for refusing to carry out a directive ordering the member to engage in wrongful or unlawful activity.
Reporting Process

Members of the Northwestern community may report evidence of suspected wrongful or unlawful activity by contacting one or more of the following individuals or offices: the reporter’s immediate supervisor, department chair, dean, or administrative head; the Office of the Provost; Human Resources; the Dean of Students Office; The Graduate School (TGS) Dean’s Office; the Office for Research Integrity (ORI); the Title IX Coordinator; or the Office of Equity. Any instances of suspected retaliation may be reported in the same manner.

Northwestern community members who prefer to report anonymously may do so by utilizing EthicsPoint, the University’s phone- and web-based system for confidential reporting of suspected misconduct. EthicsPoint is available 24 hours a day, 365 days a year. For more information, see Ethics and Compliance on page 3.2 of this Handbook.

Reports should be made as promptly as possible after the suspected wrongful or unlawful activity (or retaliation) occurs in order to facilitate investigation of the report.

All reports will be handled as promptly and discreetly as possible, with facts made available only to those who need to know to investigate and resolve the matter.

Employment At Will

While this Handbook sets forth the current employment practices, policies, and benefits applicable to staff members, it does not constitute an employment contract. Either the staff member or Northwestern University may end the employment relationship at will, with or without cause or advance notice, at any time during or after the probationary period.

Resignation or Voluntary Termination of Employment

All staff members are expected to give two weeks of working notice when resigning their employment with the University. It is expected that a staff member in an exempt position will provide enough working notice to provide for the transition of responsibilities (generally one month).

Staff members should submit their resignations in writing to their supervisor.

Staff members may not use vacation, personal floating holidays, or any other type of paid absences to extend their termination date. Staff members may not use vacation or personal floating holidays on their last workday, unless they are planning to retire from the University.

For more information regarding the payment of vacation and personal floating holidays, refer to Section 6: Paid Time Away from Work of this Handbook.
Involuntary Termination of Employment

» Immediate Discharge
Some violations of policy and rules may be serious enough to result in immediate discharge. These include but are not limited to:
• Criminal conviction
• Failure to meet employment eligibility requirements
• Falsification of staff records, time reports, reasons for absence, or other University records
• Flagrant insubordination
• Fraud
• Gross dereliction of duty
• Improper disclosure or use of private or confidential information
• Intentional destruction of University property
• Job abandonment
• Physical violence or the threat of it
• Research misconduct
• Serious violations of University policy or state/federal law
• Theft
• Unauthorized use of information systems or data
• Unprofessional conduct, and
• Violations of the University’s discrimination, harassment, sexual misconduct, or non-retaliation policies.

» Poor Performance
Refer to Corrective Action Process on page 2.9 of this Handbook.

» Reduction In Force
Conditions may arise which necessitate a layoff due to reorganization, lack of work, and/or lack of funding. These situations are discussed between management of the unit and Human Resources, and then are communicated to affected staff members by their department/unit.

Post Resignation/Termination Procedures

» Benefits (COBRA)
When a staff member’s Northwestern University benefit coverage has terminated, the staff member will be entitled to continue certain University benefits under the Consolidated Omnibus Budget Reconciliation Act (COBRA).

COBRA Continuation of Benefits
Under COBRA terminating staff members are entitled to continue health, dental, vision, and flexible spending account (FSA) participation provided the former staff member remits premiums on a timely basis. Staff members and their dependents may be allowed to continue individual or family coverage for a specific period of time. For information on eligibility requirements and terms for continuation of coverage under COBRA, visit www.northwestern.edu/hr/handbook/cobra.
Benefits Continuation Upon Retirement

Staff members who retire from the University and are participating in a University-sponsored health, dental, and/or vision plan at the time of retirement are eligible to continue certain health, dental, and/or vision plan coverage after retirement by paying the premium on a timely basis.

Eligible participants must be at least 55 years of age and have met the length of service requirement as of the date of retirement and be currently enrolled in a University sponsored health, dental, and/or vision plan on the date of retirement. Required years of service decrease when retirement age is greater than age 57, as outlined in the following table.

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<th>Age at Retirement</th>
<th>Years of Continuous Service Required as of the Date of Retirement</th>
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<td>65 and over</td>
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Within 31 calendar days from the date of retirement, participants may arrange for the continuation or conversion of their basic term life insurance, long-term care and accidental death and dismemberment (AD&D) insurances. For a complete summary of benefits upon retirement, visit www.northwestern.edu/hr/handbook/retirement-benefits.

Exit Interview

Staff members leaving Northwestern University are requested to complete an exit interview prior to their departure from the University. Staff members should contact their Human Resources Business Partner at the time they submit their resignation to schedule the exit interview.

Employment References and Verification

Northwestern University generally does not provide employment references. The University verifies dates of employment, job title, and salary.

For more information, visit www.northwestern.edu/hr/handbook/verification.

Unemployment Compensation

Staff members who are no longer employed by Northwestern University may be eligible for unemployment compensation. Former staff members who have questions about whether they are eligible for unemployment compensation should contact the appropriate state Department of Employment Security.

University Property

Before their last day of work, staff members leaving Northwestern University must return to their department/units the following: WildCARD, keys or access cards, and any University property and/or materials. The University will take all appropriate action to recover its property.

Vacation and Personal Floating Holidays

Unused accruals of vacation and personal floating holiday time are paid in a single payment in the pay period following a staff member’s last pay period and the employing department/unit’s notice to Payroll in Human Resources that the staff member’s employment has ended.

Appeals of Involuntary Terminations of Employment

Staff members wishing to appeal their termination of employment (other than position elimination/layoff/reduction in force) may appeal by writing to the Vice President of Human Resources within 10 business days of receiving the decision. Within 45 business days of receiving the written appeal, the Vice President will review the matter and respond in writing. The decision of the Vice President of Human Resources will be the final decision for the University.
Interns and Volunteers

On occasion, individuals (who are not employees) may donate their time and services to Northwestern University. Departments/units must consult with Human Resources to determine if an individual meets the requirements and qualifies as an intern and/or volunteer. The University requires a careful review of the possible arrangement to ensure the safety of the individual and that no conflict of interest exists. Interns and volunteers should be at least 16 years of age.

Prior to beginning an assignment, interns and volunteers over the age of 18 years old are required to complete a background check. For more information, visit Background Checks on page 2.3.

For required forms or other information, visit www.northwestern.edu/hr/handbook/volunteers.

» Interns

The FLSA requires employers to pay employees for all work that is being performed. The pay requirement does not apply to interns if the interns are the primary beneficiary of the arrangement. Factors used to determine the primary beneficiary include:

• The extent to which the intern and the employer clearly understand that there is no expectation of compensation. Any promise of compensation, express or implied, suggests that the intern is an employee, and vice versa.
• The extent to which the internship provides training that would be similar to that which would be given in an educational environment, including the clinical and other hands-on training provided by educational institutions.
• The extent to which the internship is tied to the intern’s formal education program by integrated coursework or the receipt of academic credit.
• The extent to which the internship accommodates the intern’s academic commitments by corresponding to the academic calendar.

• The extent to which the internship's duration is limited to the period in which the internship provides the intern with beneficial learning.
• The extent to which the intern's work complements, rather than displaces, the work of paid employees while providing significant educational benefits to the intern.
• The extent to which the intern and the employer understand that the internship is conducted without entitlement to a paid job at the conclusion of the internship.

» Volunteers

The FLSA requires employers to pay employees for all work that is being performed. This pay requirement does not apply to volunteers at a nonprofit institution based on the nature of the entity that receives the services and if:

• The individual does not receive (nor expect to receive) any benefits from those for whom the services are performed.
• The activity is less than a full-time occupation.
• No regular employees are displaced.
• The services are offered freely without pressure or coercion, and
• The services are of the kind typically associated with volunteer work.

If all factors are met, the individual will be considered a volunteer and not an employee under the Department of Labor’s standards, which may change from time to time.
Northwestern University is a diverse, vibrant community. The policies outlined in this section are intended to help promote a welcoming, positive, and safe work environment for all staff members.

Civility and Mutual Respect

As members of the Northwestern community, staff, faculty, and students are expected to interact with each other with respect and consideration. When a community member’s conduct varies from this expectation, it is the responsibility of the supervisor, director, department chair, or dean who supervises the person engaging in the inappropriate conduct to address it. Inappropriate conduct covers a broad range of behavior from rude, obnoxious, bullying behavior to threats of violence. The level of danger in the behavior determines the action that the supervisor should take.

For guidance on identifying potential threatening or violent behavior and for the best ways to deal with these incidents, contact Human Resources. For more information, visit www.northwestern.edu/hr/handbook/civility.

» Expected Behavior
Each member of the Northwestern community 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, bullying, 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.

» Violation
A community member who displays inappropriate conduct is subject to disciplinary action up to and including separation of the offending party from the University, consistent with Northwestern disciplinary procedures.

» Visitors
Visitors, vendors, contractors, and the families of members of the community are required to display appropriate conduct at all times. Noncompliant behavior will lead to removal from the campus.
Ethics and Compliance

Northwestern University's commitment to ethics and compliance provides community members with the information needed to act appropriately. The University's Standards for Business Conduct provides a framework for administering University resources and establishes guidelines for acceptable standards of behavior.

For the complete text of Northwestern's Standards for Business Conduct, visit www.northwestern.edu/hr/handbook/standards.

Conflict of Interest

Northwestern University staff members have a primary professional obligation to act in the best interests of the University and not allow outside activities or financial interests to interfere with that obligation. As part of this responsibility, Northwestern expects staff members to apply their time and effort appropriately and use University resources toward University ends. Staff members must use their position, time, and Northwestern resources in a manner that does not detract from or interfere with their University responsibilities. If a staff member's actions provide inappropriate personal advantage, or are detrimental to the University's mission, they present a conflict of interest that must be avoided or managed appropriately. In order to identify and address actual or perceived conflicts of interest, all staff members are required to disclose outside professional activities and financial interests that relate to their Northwestern role(s) and responsibilities on an annual basis.

Northwestern's conflict of interest policy for staff members also applies to their family members. Family members include spouses or domestic partners, parents, children, siblings, aunts, uncles, nephews, nieces, grandparents, and grandchildren (whether related by blood, marriage, or adoption).

For the complete text of Northwestern's Policy on Conflict of Interest and Conflict of Commitment Policy, visit www.northwestern.edu/coi/policy.

Preventing Violence

> Weapons

Weapons of any kind, including any toy or facsimile of a weapon, are prohibited on campus except for those carried by sworn police officers or University authorized security officers. Individuals licensed for concealed carry under Illinois statutes are still prohibited from carrying weapons on Northwestern University property. For permission to use prop weapons in theatrical productions on campus, contact University Police.

EthicsPoint: A Resource for Reporting Suspected Problems and Complaints

Faculty and staff at all levels are expected to support compliance with applicable University policies and procedures as well as applicable laws, rules, and regulations and to set a tone of intolerance for noncompliance. Any faculty or staff member who has reason to believe noncompliance has occurred is obligated to report the incident(s) and all relevant information to an appropriate University authority. He or she must report the activity to his or her immediate supervisor when noncompliance is suspected, observed, or otherwise made known. If there is reason to believe the supervisor may be involved in the noncompliance, the report should be made to the next-higher level of management or to other University authorities, such as Human Resources or the Office for Audit and Advisory Services.

EthicsPoint is Northwestern's third party phone- and web-based hotline system for confidentially reporting suspected noncompliant activity. Call (866) 294-3545 or visit www.northwestern.edu/ethics. Reports made in good faith are protected under the University policy on non-retaliation and will not jeopardize the reporting person's status.
» Orders of Protection
Northwestern 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, and may provide a copy of the order to Human Resources.

» Fire and Crime Logs
The Office of Risk Management maintains a public fire log documenting reported fires occurring in Chicago or Evanston on-campus student housing facilities. This log typically provides general incident information including the date the fire was reported, nature of the fire, date and time of the fire, and the location of the fire. This log is available online at www.northwestern.edu/hr/handbook/fire-log.

A daily crime log (Blotter) is available for review 24 hours a day on the Northwestern University Police (UP) website or via a lobby kiosk at the UP stations in Chicago (211 E. Superior Street) and Evanston (1201 Davis Street). The Blotter is updated and published Monday – Friday and contains reported criminal and non-criminal incidents. Information in the Blotter typically includes the case number, incident classification, date reported, date occurred, time occurred, general location, and disposition of each incident. The Blotter is available online at www.northwestern.edu/hr/handbook/blotter.

The Chicago campus Blotter includes a web link to crime data available on the Chicago Police Department website (www.northwestern.edu/hr/handbook/cpd-data). The Evanston campus Blotter includes a web link to the Daily Crime Bulletin, which highlights selected criminal incidents reported to the Evanston Police Department (www.northwestern.edu/hr/handbook/epd-data).

A rotating 12-month period of Blotters are posted on the University Police website. Older Blotters may be requested in person at the Evanston campus University Police station Communication Center or via email: universitypolice@northwestern.edu. University Police will provide the requested information within two business days.

» Disclosure of Convictions
All individuals applying for positions, including internal candidates, are required to disclose felony conviction information as part of the hiring process. Falsification of information as part of the application process is grounds for denial or termination of employment.

» Consequences
Where it relates to existing employees, the following situations are subject to corrective action, up to and including termination of employment:
- A criminal conviction, discovered at any time during employment
- Current inclusion in the Office of Inspector General (OIG) List, General Services Administration (GSA) List, Office of Foreign Assets Control (OFAC) List, or Sexual Offender Registry,
- Failure to obtain and maintain required licensure and/or certification.

Employees have an ongoing obligation to inform their supervisors if they are convicted of a crime, added to any sexual offender registry, if their license or certification to practice expires, is suspended or revoked, or they are excluded, suspended, debarred, or otherwise ineligible to participate in federal programs. Supervisors, in turn, should notify Human Resources in such instances.

Registered sex offenders who are employed by the University are required by law to also register with the Northwestern University Police Department.
**Reporting Violence**

**Responsibility to Act**

Anyone who believes they have been treated in an inappropriate manner should contact their supervisor. It is then the responsibility of the supervisor, whether a supervisor, department chair, or dean, to work with the individuals involved in addressing the situation, so that all members of the community can work together in a professional way. Additional assistance is available in Human Resources.

**Resources**

For guidance on identifying potential threatening or violent behavior and for the best ways to deal with these incidents, contact Human Resources. For more information, visit [www.northwestern.edu/hr/handbook/civility](http://www.northwestern.edu/hr/handbook/civility) and [www.northwestern.edu/hr/handbook/violence-prevention](http://www.northwestern.edu/hr/handbook/violence-prevention).

**Behavioral Consultation Team**

Northwestern’s Behavioral Consultation Team considers potential threats and addresses aberrant, dangerous, or threatening behavior that might impact the safety or well-being of the campus community, and provides guidance and best practices for preventing violence and providing supportive services. Staff members who become aware of or are concerned that anyone may pose a threat to the Northwestern community should contact the University Police Communication Center at 847-491-3456 (Evanston) or 312-503-3456 (Chicago).

For further information about the Behavioral Consultation Team and identifying persons-of-concern, review the Northwestern Behavioral Consultation Team Policy at [www.northwestern.edu/hr/handbook/bct](http://www.northwestern.edu/hr/handbook/bct).

**Mandated Reporters**

All staff members, regardless of their position or assignment, are mandated reporters under the Illinois Abused and Neglected Child Reporting Act. As such, staff members who have reasonable cause to believe that a child under the age of 18 may be neglected or abused are required by law to report their suspicions immediately to the Illinois Department of Children and Family Services (DCFS). Reporting shall occur by calling the DCFS hotline at (800) 25-ABUSE, followed by a written report within 48 hours.

For additional information, review the University's Reporting Suspected Child Abuse and Neglect policy at [www.northwestern.edu/hr/handbook/dcfs-reporting](http://www.northwestern.edu/hr/handbook/dcfs-reporting).

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Any member of the Northwestern community who is involved in or witnesses violent behavior on campus should report the incident as follows:

- **In an emergency situation that poses imminent danger:** Call 911.
- **In a non-emergency situation:** Call the University Police by dialing 456 from a campus phone. If calling from an off-campus phone:
  - In Evanston – dial 847-491-3456 or 847-467-7883 (TDD).
  - In Chicago – dial 312-503-3456 or 312-503-3999 (TDD).
- **In a situation that does not involve imminent danger or for advice on the appropriate course of action:** Notify a supervisor or department/unit head.

Alternatively, the observer may report the incident to the Office of the Provost, Human Resources, or the Office of the Vice President for Student Affairs.

Faculty and staff who have reason to believe that a student is missing, or who receive a missing student report, must immediately contact Northwestern University Police at 847-491-3456. For more information, visit [www.northwestern.edu/hr/handbook/missing-student-policy](http://www.northwestern.edu/hr/handbook/missing-student-policy).
Use of University Facilities for Political Activities

This policy addresses the use of Northwestern University's facilities and property for political activities. Although University organizations may sponsor political forums or debates, only recognized student organizations may use University facilities to host an event on behalf of a single political candidate. This policy applies to activities on any of the University's campuses and to activities relating to any political candidate, whether domestic or foreign.

Northwestern is committed to freedom of expression by its community, including the expression of individual political views. At the same time, as a tax-exempt organization, the University may not participate or intervene in any political campaign on behalf of (or in opposition to) any candidate for public office. Care must be taken to separate individual expression from any actual or perceived participation or intervention by the University in political campaigns. Northwestern does not and cannot endorse or oppose any political candidate.

Northwestern recognizes that students, faculty, and staff may wish to participate in the political process and that such participation may, in fact, contain an educational component. Northwestern adheres to the principle that "every member of the academic community has a right to participate or not, as [they] see fit, in the election process. On the other hand, no member of that community should speak or act in the name of the institution in a political campaign" (American Council on Education, 1970).

For more information, visit [www.northwestern.edu/hr/handbook/political-activity](http://www.northwestern.edu/hr/handbook/political-activity).

University Disruption and Demonstration

This policy addresses the parameters for free expression and peaceful demonstration by members of the Northwestern University community.

Northwestern University supports freedom of speech, freedom of inquiry, freedom of dissent, and freedom to demonstrate in a peaceful fashion. University community members have a corresponding responsibility to welcome and promote this freedom for all, even in disagreement or opposition. University community members also share a responsibility to maintain an atmosphere conducive to scholarly, creative, and educational pursuits; to preserve the dignity and seriousness of University ceremonies; and to respect the rights of all individuals. In order to promote these interests and to ensure the safe and effective operation of University business, this policy describes the parameters University community members must adhere to when engaging in free expression and peaceful demonstration.

For more information, visit [www.northwestern.edu/hr/handbook/demonstration](http://www.northwestern.edu/hr/handbook/demonstration).

Drug-free Workplace

Northwestern University is committed to maintaining a drug-free workplace in compliance with applicable laws. The unlawful possession, use, distribution, sale, or manufacture of controlled substances is prohibited on University premises and, if witnessed, should be reported to your supervisor, Human Resources, and University Police. Violation of this policy may result in corrective action, up to and including termination of employment.

» Drug and Alcohol Policy

Northwestern prohibits the possession, use, or distribution of alcohol and illegal drugs by its staff members on University property, in vehicles owned or operated by the University, or at any work location or other site at which University duties are being performed by Northwestern staff. On occasion alcohol may be served at Northwestern sponsored events in accordance with the policy at [www.northwestern.edu/hr/handbook/alcohol-policy](http://www.northwestern.edu/hr/handbook/alcohol-policy). Violation of this policy is subject to corrective action, up to and including termination of employment.
Emergency Preparedness

Staff members are encouraged to talk with their supervisors regarding emergency preparedness in their work area.

For more information about the University Emergency Response Framework, visit www.northwestern.edu/hr/handbook/emergency-response.

Indemnification

Northwestern staff members are indemnified under the University statutes for acts within the scope of their job as long as the staff member has performed the job in line with assigned duties, has acted in good faith in performance of the job, and has not violated any laws or University policies.

Dress Code/Personal Appearance

Departments or their supervisors may set standards of personal appearance and hygiene as reasonable and appropriate for the safety and operation of the department/unit.

Smoking

Smoking, including the use of electronic cigarettes and vaping, is prohibited in Northwestern University buildings and within 25 feet of building entrances, as well as in designated outdoor facilities.

Personal Mail and Phone Use

» Mail System
The purpose of the campus mail service is to support the necessary communication of Northwestern University business. The Northwestern mail system should not be used for receiving or sending personal mail or other deliveries. Northwestern stationery is for University business use only, not for personal correspondence. It may not be used for political purposes or for purposes of organizations or activities not sanctioned by Northwestern.

» Phones
Northwestern expects that staff members will devote their full-time energy and attention at work to their job responsibilities and duties. Personal phone calls (regardless of what phone is used) and the use of personal cell phones or other electronic devices for non-work communication is a distraction that can affect a staff member’s productivity and efficiency, as well as workplace safety. Staff members who bring personal cell phones or other electronic devices to work for execution of University business should limit them to incidental personal use (as defined under System Use below).

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, which include education, research, and administration. Violation of policies for use of computers and networks is subject to corrective action, up to and including termination of employment.

» Net ID and Email
Each staff member is provided with a Northwestern network ID (NetID) as well as an email address for the conduct of University business. A staff member’s NetID password is not to be shared with anyone. The Northwestern NetID and its associated password are the property of the University.

» System Use
Northwestern electronic resources are primarily intended for execution of University business, with incidental personal use permitted. Incidental personal use is determined to be occasional and short-term use of Northwestern’s electronic resources that does not:
• Adversely affect a staff member’s work performance or productivity
• Cause Northwestern to incur undue cost
• Impede the performance of Northwestern’s networks and systems, or
• Violate any Northwestern policy or applicable laws or regulations.

Under no circumstances will staff members give others access to any system that they do not administer.
» **Downloading Movies, Music, and Other Content**

Staff members must abide by the terms of all software licensing agreements and copyright laws. Staff members must not make copies of or make available on the network copyright material, including without limitation, software programs, music files, video files, still and digital images, radio and television broadcasts, and written text, unless permitted by a license, by the consent of the copyright owner, by a fair use limitation under copyright law, or by permitted copying under the Digital Millennium Copyright Act (DMCA) when made by a library or archive for preservation purposes or when incidental to computer maintenance and repair. Infringement of copyrighted material is subject to corrective action, up to and including termination of employment.

» **Network Administration**

Administrators of systems and networks have the responsibility to protect the rights of the users of the systems, 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 right of other users, and they will make reasonable efforts to notify users affected by decisions they have made.

» **Privacy**

Northwestern places a high value on privacy and recognizes its critical importance in an academic setting. However, given that the University information systems are provided for the purpose of conducting Northwestern business, the University maintains the right to access system accounts. Although the University does not routinely monitor the content of communications or transmissions using University infrastructure, at times, legitimate reasons exist for persons other than the account holders to access these services. Examples include, but are not limited to:

- Ensuring the ongoing operations of Northwestern systems or business operations
- Responding to valid legal requests or demands for access to Northwestern systems and records, or
- Investigating suspected violations of Northwestern policies, regulations, or rules.

» **Threats and Harassment**

Use of Northwestern's electronic resources by any employee to send threatening or harassing content or messages or to view, download, retransmit, distribute, or otherwise communicate content or messages that may violate Northwestern's Policy on Discrimination and Harassment and/or Policy on Sexual Misconduct, is prohibited.

» **Pornography**

Use of Northwestern's electronic resources by faculty, staff, student employees, contractors, temporary personnel, vendors, and visitors to intentionally display, hold, send, view, print, download, retransmit, distribute, or otherwise communicate content which the University may deem to be indecent, obscene, sexually explicit, or pornographic is prohibited by Northwestern policy absent a legitimate academic, research, or medical purpose.

Use of Northwestern's electronic resources by anyone to display, hold, send, view, print, download, retransmit, distribute, or otherwise communicate child pornography is illegal and therefore strictly prohibited. Any occurrence of child pornography material is a violation of federal and state statutes and must be immediately reported to University Police as required by law and University policy.

For more information, visit [www.northwestern.edu/hr/handbook/electronic-resources](http://www.northwestern.edu/hr/handbook/electronic-resources).

» **Social Media**

Staff members are expected to use social media in a responsible manner that does not violate any Northwestern policy. Staff members using Northwestern electronic resources are responsible for abiding by all Information Technology policies.

For more information, visit [www.it.northwestern.edu/policies](http://www.it.northwestern.edu/policies).

» **Solicitation**

Northwestern University premises or resources are not to be used for the solicitation of business other than official University business. Solicitation is prohibited during the working time of the staff member or the working time of the staff member being solicited.
Equipment and Facilities

Northwestern University equipment and facilities provided for use by staff – such as lockers, offices, office furniture, phones, mobile devices, tablets, and personal and network computers, their files, CDs, and peripherals – are Northwestern property and are fully accessible to the University at all times.

Staff members may not use Northwestern facilities, supplies, vehicles, or equipment for personal reasons unless authorized to do so by their supervisor.

Security of Confidential Information

Information contained in Northwestern University files and records, whether paper or computer records, is to be used for its intended purposes only. Inappropriate staff member access to, use of, or disclosure of such information is subject to corrective action, up to and including termination of employment.

Patents and Inventions

Patentable discoveries or inventions occasionally result from the research and educational activities at Northwestern University. Northwestern desires to assure that all such discoveries and inventions are properly disclosed and used for the greatest possible public benefit. The University also desires to protect the patent rights in the discoveries and inventions made by members of the Northwestern community, including staff, and to abide by federal law, University policy, and patent regulations of agencies and other sponsors providing funds for programs.

Staff members may be required to sign a patent assignment agreement that assigns rights in such discoveries and inventions to Northwestern and must submit disclosures of all discoveries and inventions subject to the University’s Patent and Invention Policy to Northwestern’s Innovation and New Ventures Office (INVO).

Any invention or discovery by a staff member is subject to the Patent and Invention Policy if the staff member:

- Makes the invention or discovery within the normal field of his or her employment responsibility and activity with the University, without regard to location or salary source (specifically including individuals employed at affiliated hospitals and institutions), or
- Makes use of Northwestern University resources, except library.

If funds are received from the licensing of such discoveries and inventions, those funds will be distributed according to the Patent and Invention Policy. INVO administers the Patent and Invention Policy.

For more information, visit [www.invo.northwestern.edu](http://www.invo.northwestern.edu) and refer to the Patent and Invention Policy ([www.invo.northwestern.edu/policies/patent-invention-policy-current](http://www.invo.northwestern.edu/policies/patent-invention-policy-current)).

Copyright/Works Made for Hire

Copyright-protected works created by staff members in the performance of an administrative duty for Northwestern University are works made for hire. In accordance with United States copyright law and the University's Copyright Policy, Northwestern University owns copyright in such works and all revenues derived therefrom.

For more information, visit [invo.northwestern.edu](http://invo.northwestern.edu) and refer to the Copyright Policy ([www.invo.northwestern.edu/policies/copyright-policy](http://www.invo.northwestern.edu/policies/copyright-policy)).
Northwestern University is committed to providing a respectful, accessible, and inclusive environment for all members of its community. An inclusive workforce and environment increases effectiveness and efficiency in the way we work and learn, promotes the development of new ideas, and enhances the University’s ability to continue to be innovative in an increasingly complex, competitive, and diverse world.

Northwestern University is committed to creating and sustaining a productive, collaborative, and safe work environment. If a staff member has knowledge of an action taken by an employee of the University that conflicts with or is in violation of policies, he or she must act on that knowledge and contact the proper University office.

Discrimination and Harassment

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. Further prohibited by law is discrimination against any employee and/or job applicant who chooses to inquire about, discuss, or disclose their own compensation or the compensation of another employee or applicant.

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

Examples of discrimination and harassment may include:
- Refusing to hire or promote someone because of the person’s protected status
- Demoting or terminating someone because of the person’s protected status
- Teasing, jokes, or epithets about a person’s protected status
- Displaying or circulating written materials or pictures that degrade a person or group, or
- Verbal abuse or insults about individuals in a protected group.
Title IX Statement

It is the policy of Northwestern University to comply with Title IX of the Education Amendments of 1972, which prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. Title IX also prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. The Title IX coordinator and the deputy coordinators (listed under Where to Get Advice and Help on page 4.4) have been designated to oversee Northwestern's compliance with Title IX and to respond to reports of violations. For more information about Title IX, go to www.northwestern.edu/sexual-misconduct.

A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting https://www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling 800-42-3481.

Sexual Harassment and Sexual Misconduct

Sexual harassment is a type of conduct prohibited under the University's Policy on Sexual Misconduct, which can be found at www.northwestern.edu/hr/handbook/sexual-misconduct-policy. Other forms of conduct prohibited by this policy include sexual assault, sexual exploitation, stalking, and dating or domestic violence.

No member of the Northwestern community — students, faculty, administrators, staff, vendors, contractors, or third parties — may sexually harass any other member of the community. Sexual harassment is any unwelcome conduct of a sexual nature where:

• Submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any University program and/or activity, or is used as the basis for University decisions affecting the individual (often referred to as “quid pro quo” harassment), or
• Such conduct creates a hostile environment. A hostile environment exists when the conduct is sufficiently severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives an individual from participating in or benefitting from the University's education or employment programs and/or activities. The existence of a hostile environment is to be judged both objectively (meaning a reasonable person would find the environment hostile) and subjectively (meaning the impacted individual felt the environment was hostile).

Examples of sexual harassment may include:
• Pressure for a dating, romantic, or intimate relationship
• Unwelcome sexual advances
• Unwelcome touching, kissing, hugging, or massaging
• Pressure for or forced sexual activity
• Unnecessary references to parts of the body
• Remarks about a person's gender, nonconformity with gender stereotypes, or sexual orientation
• Sexual innuendoes or humor
• Obscene gestures
• Sexual graffiti, pictures, or posters
• Sexually explicit profanity
• Email, texting, "sexting," and internet use that violates this policy
**Additional Guidance**

» **Investigation and Confidentiality**

Reports describing conduct that is inconsistent with these policies will be investigated in a prompt, fair, and impartial manner. The University will handle complaints discreetly, with facts made available to those who need to know to investigate and resolve the matter.

» **Non-retaliation**

The University prohibits retaliation against anyone for reporting or otherwise being involved in the process of addressing allegations of discrimination, harassment, sexual harassment, or sexual misconduct. Anyone experiencing any conduct that they believe to be retaliation should immediately report it to one of the individuals listed in Where to Get Advice and Help on page 4.4 of this Handbook.

» **Resolution**

If a complaint of discrimination, harassment, or sexual misconduct is found to be substantiated, appropriate sanctions will be imposed, up to and including separation of the offending party from the University, consistent with University procedures.

» **Reporting**

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.

» **Vendors, Contractors, Visitors, Guests, and Third Parties**

The University’s policies on discrimination, harassment, sexual harassment, and sexual misconduct apply to the conduct of the entire University community, including vendors, contractors, visitors, guests, and third parties.

» **Academic Freedom**

The University strongly encourages individuals to report incidents of discrimination or harassment to one of the individuals listed under Where to Get Advice and Help on page 4.4.

Individuals in supervisory or teaching positions who are aware of conduct that may violate the Policy on Discrimination and Harassment are obligated to report it.

Under the Policy on Sexual Misconduct, all University employees (including student employees), as well as nonemployees with teaching or supervisory authority, are obligated to promptly report sexual misconduct of which they become aware in the scope of their work for the University, unless they are a resource listed in Appendix C of the Policy on Sexual Misconduct, found at www.northwestern.edu/hr/handbook/sexual-misconduct-policy.

The University is firmly committed to free expression and academic freedom. However, discrimination, harassment, and retaliation described under these policies, through speech or otherwise, are not protected expression nor the proper exercise of academic freedom.
If you believe you have been discriminated against or harassed:
- Contact one of the individuals listed in Where to Get Advice and Help on this page.
- Don’t blame yourself.
- Don’t delay reporting a problem.
- Consider keeping a written, dated record of events.

If you witness or become aware of possible discriminatory or harassing conduct by others:
- Contact one of the individuals listed in Where to Get Advice and Help on this page.

If you think you may have offended or harassed someone:
- Don’t assume others will tell you when they feel offended or harassed by what you say and do.
- Examine how others respond to what you say and do.
- Apologize as soon as possible.
- Change your behavior.

If you have experienced sexual violence, you have options:
- Seeking medical attention.
- Preserving evidence.
- Getting support from a confidential resource.
- Reporting the incident to law enforcement and/or the University.
- Learning more at www.northwestern.edu/sexual-misconduct.

Confidential Resources
- If you wish to speak with someone who is legally privileged to keep communications confidential, you may contact a confidential resource. Seeking advice from a confidential resource does not constitute reporting an incident. For more information and a list of confidential resources, visit www.northwestern.edu/hr/handbook/confidential-counselors.

Where to Get Advice and Help
- Office of Equity: Discrimination, harassment, and sexual misconduct complaints.
- Office of Student Conduct: Discrimination and harassment complaints against students.
- Title IX Coordinator or Deputy Title IX Coordinators: See www.northwestern.edu/hr/handbook/get-help/title-ix-coordinators.
  Northwestern's Title IX Coordinator is Dwight Hamilton, 1800 Sherman Avenue, Suite 4500, Evanston Campus, 847-467-6871; TitleIXCoordinator@northwestern.edu.
- Discrimination and Harassment Prevention Advisors: Each school or unit of the University has advisors who are able to answer questions about the University's discrimination and harassment policies and to receive complaints. To find an advisor, consult www.northwestern.edu/hr/handbook/dh-advisors.
- EthicsPoint: To file a report online or by phone, see www.northwestern.edu/ethics.
Accommodation of Disabilities and Pregnancy

Northwestern University reasonably accommodates persons with disabilities. The Americans with Disabilities Act (ADA), as amended by the ADA Amendments Act of 2008, is a federal anti-discrimination statute that provides protections to persons with disabilities in employment, public accommodations, state and local government services, and telecommunications.

Employees and applicants with a disability (as defined under the ADA, as amended) may be eligible for reasonable accommodations that allow them to perform the essential functions of their position or participate in the hiring process for an open position. A reasonable accommodation for an employee may include such things as changing the physical layout of the workplace, restructuring job duties, or modifying the work schedule. A reasonable accommodation for an applicant may include making certain, reasonable modifications to the application, screening, or interview process to ensure the process is accessible.

Employees who are pregnant, as defined by the Illinois Pregnancy Accommodation Act, also may be eligible for reasonable accommodations. Accommodations for pregnant workers may include more/longer bathroom breaks, access to places to sit, and limits on lifting. Access to private non-restroom areas for breastfeeding across campus can be found by visiting www.northwestern.edu/hr/handbook/lactation-rooms.

For additional information regarding the process for applying for accommodations, visit www.northwestern.edu/hr/handbook/accommodations.
Northwestern University is committed to providing a selection of cost-effective, high-quality benefit plans so staff members may choose the plans and coverage that best fit their personal needs.

Eligibility
In general, Northwestern University regular staff must be scheduled to work at least 18.75 hours per week (half-time or greater) to be considered benefits eligible. Benefits eligibility is determined by the following criteria:
• The staff member must be employed by Northwestern in a regular benefits-eligible position
• The staff member must be compensated from the Northwestern payroll system, and
• The staff member must hold a position or appointment with a total full-time equivalent (FTE) equal to or greater than 50 percent (0.50).

A staff member’s University salary must be sufficient to cover benefit plan deductions. Benefit deductions from a staff member’s University paycheck will pay for that month of coverage. Staff members and their eligible dependents may be covered by the University’s benefit plan.

For a complete listing of eligibility requirements, visit www.northwestern.edu/hr/handbook/benefits - eligibility.

The benefits summary presented in this section is for informational purposes. If there is a conflict between the legal plan documents and this summary, the legal plan documents will take precedence.

Health, Dental, and Vision Benefits
Northwestern University offers an array of health plans to benefits-eligible staff. The plans differ in the amount of monthly contributions a staff member pays and in how the costs of health care services are covered.

The University also offers a choice between dental plans, as well as a vision plan. For more information about these plans, visit www.northwestern.edu/hr /benefits.

Financial Benefits
Northwestern University offers a variety of ways to provide financial protection to benefits-eligible staff members and their family. These include:
• Basic/Accidental Death and Dismemberment Life Insurance
• Supplemental/Accidental Death and Dismemberment Life Insurance
• Spouse Life Insurance
• Dependent Child Life Insurance
• Extended Sick Time (see page 6.6 in this Handbook)
• Incidental Sick Time (see page 6.6 in this Handbook)
• Long-Term Disability Coverage
• Identity Protection Coverage — Eligible faculty and staff are provided with the following services at no cost:
  – $1,000,000 identity theft insurance policy
  – Privacy advocate remediation
  – Identity and credit monitoring
Compromised credentials monitoring
High risk transaction alerts
Financial transaction monitoring

In the event of a staff member’s death, the University remits a condolence check as an expression of sympathy and concern equivalent to two month’s pay to the staff member’s surviving spouse or partner (registered with the University). If the staff member is single at the time of death, the condolence check is paid to the staff member’s estate.

For more information, visit www.northwestern.edu/hr/benefits.

Spending Accounts
Northwestern University offers four types of pre-tax spending accounts:
• Health Care Flexible Spending Account (FSA)
• Dependent Care Flexible Spending Account (FSA)
• Limited-Use Health Care Flexible Spending Account (FSA)
• Health Savings Account (HSA)

Eligibility for these accounts is dependent upon the benefit plans in which a staff member is enrolled.

For more information, visit www.northwestern.edu/hr/handbook/spending-eligibility.

Pre-tax Commuter Benefits
Northwestern University staff members may arrange for pre-tax deductions from their pay in order to provide a tax-preferred method for commuting expenses to and from work. For more information on pre-tax commuter benefits, contact Benefits in Human Resources at 847-491-7513.

Tuition Benefits
Staff members and their dependents have access to financial assistance to take university-level courses. Northwestern University offers several tuition benefit plans:
• Employee Reduced Tuition Plan: This plan provides benefits for full-time, benefits-eligible staff members who wish to enroll in undergraduate or graduate programs at Northwestern. There is no length of service requirement for staff member tuition benefits. Employee tuition benefits above $5,250 received per calendar year are taxed as non-cash compensation and added to an employee’s taxable wages.
• Enhanced Employee Reduced Tuition Plan: This plan provides benefits for full-time, benefits-eligible staff members who wish to enroll in undergraduate or graduate programs at Northwestern. Three years of continuous, full-time, benefits-eligible service is required, and staff must be actively working and on the University payroll earning a salary of less than $100,000 gross annually. Employee tuition benefits above $5,250 received per calendar year are taxed as non-cash compensation and added to an employee’s taxable wages.
• Employee Portable Tuition Plan: This plan provides benefits for full-time, benefits-eligible staff members taking job-related courses at accredited, FAFSA-approved institutions other than Northwestern. The course(s) must be approved by the staff member’s supervisor, and the staff member must achieve a passing grade to receive reimbursement. One year of continuous, full-time, benefits-eligible service is required. Employee tuition benefits above $5,250 received per calendar year are taxed as non-cash compensation and added to an employee’s taxable wages.
• Employee Northwestern Certificate Plan: This plan provides benefits for full-time, benefits-eligible staff members who wish to enroll in job-related, short duration, certificate programs at Northwestern. (The Employee Reduced Tuition benefit covers the SPS Post-baccalaureate Certificate programs.) The program(s) must be approved by the staff member’s supervisor and the staff member must complete the course(s) to receive reimbursement. One year of continuous, full-time, benefits-eligible service is required. Employee tuition benefits above $5,250 received per calendar year are taxed as non-cash compensation and added to an employee’s taxable wages.
• Dependent Reduced Tuition Plan: This plan provides benefits for the full-time, benefits-eligible staff member’s spouse, domestic partner/civil union partner, and/or dependent child(ren) taking undergraduate credit courses at Northwestern. The benefit amount is based on the staff member’s accumulated years of benefits-eligible University service prior to the start of the student’s term. Six months of continuous, full-time, benefits-eligible service is required for any School of Professional Studies undergraduate program; five years of continuous, full-time, benefits-eligible
service is required for all other undergraduate programs. Part-time University service counts toward eligibility on a prorated basis, but the staff member must be full-time and benefits-eligible when applying for the benefit.

- **Dependent Portable Tuition Plan:** This plan provides benefits for full-time, benefits-eligible staff member’s dependent child(ren) pursuing an undergraduate degree or teaching certificate at accredited institutions other than Northwestern. The benefit amount is based on the staff member’s accumulated years of benefits-eligible University service. Five years of continuous, full-time, benefits-eligible service is required. Part-time University service counts toward eligibility on a prorated basis, but the staff member must be full-time and benefits-eligible when applying for the benefit. Benefits under this plan are available to Northwestern full-time, benefits-eligible employees at our Satellite campuses.

For more information on tuition benefits, visit [www.northwestern.edu/hr/benefits/educational-assistance](http://www.northwestern.edu/hr/benefits/educational-assistance).

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**Employee tuition benefits above $5,250 received per calendar year are taxed as non-cash compensation and added to an employee's taxable wages.**

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**Retirement Benefits**

Northwestern University offers two 403(b) Retirement Plans that allow benefits-eligible and non-benefits-eligible staff members to save and invest part of their University income on a pre-tax basis. Northwestern University offers the following plans:

- **Northwestern University Retirement Plan:**
  Any benefits-eligible staff member at least 24 years of age with at least one year of service may participate in the University’s Unmatched, Matched, and Supplemental plans.
  - **Unmatched Contributions:** 5% of eligible earnings; funded entirely by Northwestern.
  - **Matched Contributions:** 1% to 5% of eligible earnings; Northwestern matches staff member contributions.
  - **Supplemental Contributions:** Percentage of eligible earnings or flat dollar amount; funded entirely by the staff member.

- **Northwestern University Voluntary Savings Plan:**
  Any staff member not eligible to participate in the Northwestern University Retirement Plan may participate in the Voluntary Savings Plan.
  - **Voluntary Contributions:** Percentage of eligible earnings; funded entirely by the staff member.

Northwestern’s 403(b) Retirement Plans are subject to Internal Revenue Service (IRS) regulations and other federal and state laws.

The University provides financial education to assist staff members with their retirement planning. For more information, visit [www.northwestern.edu/hr/benefits/retirement-plans](http://www.northwestern.edu/hr/benefits/retirement-plans).

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**Leaves of Absence**

Northwestern University offers a variety of leaves of absence for eligible staff members. Each leave of absence varies in its provisions with respect to availability, duration, holding the position, benefits available, and contributions for those benefits, as well as documentation and approvals.

Northwestern’s leave administrator may require documentation to support the need for the leave of absence at any time.

For additional information, visit [www.northwestern.edu/hr/handbook/loa](http://www.northwestern.edu/hr/handbook/loa) or contact Benefits in Human Resources at 847-491-7513.

» **Types of Leaves of Absence**

Northwestern offers numerous types of Leaves of Absence in recognition of the diverse needs of its staff as well as to be compliant with federal and state laws:

- **Family and Medical Leave of Absence (FMLA Leave)** – in accordance with the Family and Medical Leave Act
- **Birth and Adoption Parental Leave (BAPL)**
- **Military Leave and its components are provided for by these Acts:**
  - **Active Duty Leave, under the Family and Medical Leave Act (FMLA)**
  - **Illinois Family Military Leave Act**
  - **Military Caregiver Leave, under FMLA**
  - **National Defense Authorization Act (NDAA)**
– The Uniformed Services Employment and Reemployment Rights Act (USERRA)
- Workers’ Compensation Leave
- Medical Leave
- Personal Leave, and
- Repatriation Leave (Qatar).

**Service Time Accrual While on Leave**
A paid leave of absence enables a staff member to return to active employment at the end of the leave without loss of service credit accrued at the time the leave began. Staff members who return to active employment following an approved leave of absence will not lose prior service credit. While on an unpaid leave of absence, staff members do not accrue vacation, personal floating holidays, paid sick time, or holiday time. Staff members do not accrue service credit during unpaid time off, unless on Active Duty Leave or on an approved FMLA leave.

### Family and Medical Leave Act (FMLA) Leave
In accordance with the Family and Medical Leave Act (FMLA), Northwestern will grant an eligible staff member up to a total of 12 work weeks of leave during a 12-month rolling period for one or more of the following reasons:
- For the birth and care of a newborn child of the staff member
- For the placement of a child with the staff member for adoption or foster care
- To care for an immediate family member (spouse, domestic partner/civil union partner, child, or parent) with a serious health condition, and
- The staff member’s own serious health condition, which causes the staff member to be unable to work.

### Eligibility for FMLA Leave
FMLA Leave is available to staff members who have at least a year of service and who have worked at least 1,250 hours during the past continuous 12 months of service.

Staff members who qualify for FMLA Leave are entitled to up to 12 weeks of leave in a rolling 12-month period during which time the staff member’s benefits may be continued. This leave may be on a continuous or intermittent basis. To calculate the available leave time, Northwestern looks back over the last 12 months from the date of the request.

### Eligibility for FMLA Leave – Example of Calculation of Available FMLA Leave Time
Patricia requests two weeks of FMLA Leave to begin on November 1. Northwestern looks back 12 months (from November 1 back to the previous November 2) and sees that Patricia had taken four weeks of FMLA Leave beginning January 1, four weeks beginning March 1, and three weeks beginning June 1. Patricia has taken 11 weeks of FMLA Leave in the 12-month period and has one week of FMLA-protected leave available. After Patricia takes the one week in November, she can next take FMLA leave beginning January 1 as the days of her previous January leave “roll off” the leave year.

This means Patricia would recoup (and be entitled to use) one additional day of FMLA Leave each day for four weeks, commencing January 1. Patricia would also begin to recoup additional days beginning on March 1, and additional days beginning on June 1.

Source: [www.dol.gov/whd/regs/compliance/whdfs28h.pdf](www.dol.gov/whd/regs/compliance/whdfs28h.pdf)
totals the FMLA time used during those 12 months, and subtracts that total from the staff member’s 12-week leave allotment. Staff members will return to their job or an equivalent job immediately following the expiration of their FMLA Leave.

Staff members whose positions have been eliminated or are receiving severance pay are not eligible for FMLA or Extended Sick Time (EST) beyond their last day in paid status.

FMLA Leave time runs concurrently with any other approved leave, including Extended Sick Time (EST).

**Notification and Request for FMLA Leave**

A staff member must contact the leave administrator at least 30 days in advance of the start of a planned FMLA Leave or within five days following the start of an unplanned FMLA Leave. The leave administrator may require medical or other documentation at any point during the FMLA Leave.

**Benefits While On FMLA Leave**

Staff members on FMLA Leave may continue certain benefits while on the leave. Staff members on an FMLA Leave for their own personal health condition may receive pay by using their Incidental Sick Time, Extended Sick Time, personal floating holiday, and vacation time.

While Incidental Sick Time is limited to the seven calendar days immediately prior to an approved Extended Sick Time absence, there are specific circumstances when a staff member may use up to their annual allowance of Incidental Sick Time. These are:

- Staff members with less than six months of service who are unable to work due to their own illness (this includes birth of a child)
- Staff members who have been approved for intermittent FMLA and need to be away from work, and
- Staff members who must care for a sick family member and be absent from work.

Unauthorized or misuse of sick time is subject to corrective action, up to and including termination of employment.

For more information on Extended Sick Time, visit [www.northwestern.edu/hr/handbook/est](http://www.northwestern.edu/hr/handbook/est).

Staff members on an FMLA Leave to care for a family member may use Incidental Sick Time, personal floating holiday, and vacation time as available, but must exhaust all applicable paid time off before taking an unpaid leave.

If a staff member is still unable to work after six months from the onset of the personal health condition, the staff member may apply for Long-Term Disability benefits. For more information about Long-Term Disability, visit [www.northwestern.edu/hr/handbook/ltd](http://www.northwestern.edu/hr/handbook/ltd) or contact Benefits at 847-491-7513.

**Returning from FMLA Leave**

At the expiration of an FMLA Leave, staff members return to the same or equivalent position held when the leave began.

Staff members on leave for a personal health condition must submit medical certification of ability to return to work to Benefits or its designee. A staff member may not return to work without appropriate medical documentation.

If the leave of absence extends longer than the approved period, the staff member must request an extension prior to the expiration of the FMLA Leave. If an extension is needed, it is expected that the staff member will request the extension at least two weeks prior to the expiration of the leave. Benefits will advise the staff member’s department/unit of the status of the leave. If the staff member does not return from the leave of absence and does not request and receive an extension, the staff member’s employment will be subject to termination.

In some instances, staff members may return to work with restrictions that may limit their ability to perform the essential functions of their job. In this event, a reasonable accommodation may be requested from the Office of Equity. For more information, refer to Section 4: Workplace Commitment in this Handbook.
Birth and Adoption Parental Leave (BAPL)

BAPL is paid absence from work for parents with a newborn or newly adopted child. This leave of absence allows for bonding time between the parent(s) and the child.

The staff member must have three years of continuous, full-time benefits eligible service no later than when the approved BAPL would commence.

For additional information about BAPL, please visit www.northwestern.edu/hr/handbook/parental-leave.

Illinois Victims’ Economic Security and Safety Act (VESSA) Leave

The Illinois Victims’ Economic Security and Safety Act provides a staff member who is a victim of domestic violence, dating violence, sexual assault, or stalking, or who has a family or household member who is a victim of domestic or sexual violence, with up to 12 weeks of VESSA Leave during a 12-month rolling period to address issues arising from such violence.

Eligibility for VESSA Leave

This leave has no length of service requirement.

Notification and Request for VESSA Leave

Staff members must provide the leave administrator with at least 48 hours advance notice of their intention to take a VESSA Leave, unless providing such notice is not practical.

Benefits While on VESSA Leave

Staff members have the option to take VESSA Leave without pay or may use accrued vacation, personal floating holiday, Extended Sick Time, or Incidental Sick Time to care for themselves or a family member. While Incidental Sick Time is limited to the seven calendar days immediately prior to an approved Extended Sick Time absence, there are specific circumstances when a staff member may use up to their annual allowance of Incidental Sick Time. These circumstances arise when:

- Staff members with less than six months of service are unable to work due to their own illness (this includes birth of a child)
- Staff members have been approved for intermittent FMLA and need to be away from work, and
- Staff members must care for a sick family member and be absent from work.

Returning from VESSA Leave

At the expiration of a VESSA Leave, staff members return to the same or equivalent position held when the VESSA Leave began.

New York State Disability Benefits and Paid Family Leave

In compliance with the laws of the State of New York, Northwestern University provides state-mandated short term disability and paid family leave to all eligible employees working in New York. This program has two main components, Short Term Disability and Paid Family Leave.

Short Term Disability

The Disability Benefits Law (Article 9 of the WCL) provides weekly benefits to replace, in part, wages lost due to injuries or illnesses that do not arise out of or in the course of employment (WCL §204). If you are injured or become disabled while you are eligible for or are collecting unemployment benefits, you are eligible for disability benefits if your injury or disablement results in you being ineligible for unemployment benefits.

Weekly Benefit: 50% of your average weekly wage for the last eight weeks worked, but no more than the maximum benefit allowed, currently $170 per week (WCL §204). Benefits paid are subject to Social Security and Medicare taxes.

Benefits are paid for a maximum of 26 weeks of disability during any 52-consecutive-week period (WCL §205).

You cannot collect disability benefits and paid family leave benefits at the same time. The total combined disability leave and paid family leave in any 52-week period may not exceed 26 weeks.

For more information, please visit www.northwestern.edu/hr/handbook/ny-disability.
File a New York Disability Claim:
1. Call The Hartford at (888) 541-7283 within 30 days of your disability.
2. The Hartford, the insurance carrier, reviews the claim.
3. The Hartford will contact your physician directly to clarify or seek additional information.
4. You will be contacted via phone and also by mail of the claim decision. If a claim is denied, the appeal process is outlined in the letter.
5. Benefit payments will be made by Northwestern University, and will offset any Incidental Sick Time (IST)/Extended Sick Time (EST) used.

Paid Family Leave
The State’s Paid Family Leave program (PFL) will provide employees with wage replacement to bond with a child (including adopted or foster children), care for a close relative with a serious health condition, or to help relieve the family pressures when someone is called to active military service as outlined under the military provisions in the federal Family Medical Leave Act.

A “close relative” is defined as a: spouse, domestic partner, child, parent, parent-in-law, grandparent or grandchild. “Serious health condition” is an illness, injury, impairment or physical or mental condition that involves inpatient care in a hospital, hospice, or residential health care facility; or continuing treatment or continuing supervision by a health care provider.

Employees who have been employed full-time for 26 weeks or part-time for 175 days are eligible to apply for leave effective January 1, 2018.

Weekly Benefit: The benefit will be each year’s set percentage of average weekly wage, not to exceed 50% of the New York State average weekly wage.

<table>
<thead>
<tr>
<th>Year</th>
<th>Benefit Payable</th>
<th>Maximum Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>50%</td>
<td>8 weeks</td>
</tr>
<tr>
<td>2019</td>
<td>55%</td>
<td>10 weeks</td>
</tr>
<tr>
<td>2020</td>
<td>60%</td>
<td>10 weeks</td>
</tr>
<tr>
<td>2021</td>
<td>67%</td>
<td>12 weeks</td>
</tr>
</tbody>
</table>

Eligibility: Employees with a regular schedule of 20 or more hours per week are eligible after 26 weeks of employment. Employees with a regular schedule of less than 20 hours per week are eligible after 175 days worked.

You must take any IST, vacation, or personal holiday time prior to going unpaid.

For more information, please visit [www.northwestern.edu/hr/handbook/ny-leave](http://www.northwestern.edu/hr/handbook/ny-leave).

File a PFL Claim:
1. Call The Hartford at (888) 541-7283 30 days prior to the leave if foreseeable. If your leave was not foreseeable, you must contact The Hartford as soon as possible.
2. The Hartford, the insurance carrier, reviews the leave request.
3. The Hartford will send you any necessary paperwork required to approve your leave.
4. You will be contacted via mail of the leave decision.
5. PFL payments will be made by Northwestern University. If you wish to supplement your PFL benefits with other accrued time, please contact the Benefits Division.
Military Leave

Military Leave and its components are provided for by these Acts:
- Family and Medical Leave Act (FMLA) – for Active Duty Leave
- National Defense Authorization Act (NDAA), and
- The Uniformed Services Employment and Reemployment Rights Act (USERRA).

An Active Duty Leave, under FMLA, is granted by the leave administrator when service members of the Armed Forces’ Reserve components, National Guard, retired service members, or Reservists are on active duty or called to active duty in support of a contingency operation.

Similarly, the National Defense Authorization Act provides up to 12 weeks of leave for a qualifying obligation when service members of the regular Armed Forces are deployed to a foreign country under a certain call or order to active duty.

Notification and Request for Military Leave

A staff member must provide advance notice of the need for Military Leave by contacting The Hartford and Benefits, unless circumstances make such notice unreasonable or the staff member is prevented from doing this by military necessity.

Benefits While on Military Leave

Since Military Leave is unpaid, a staff member may choose to use vacation and personal floating holiday time during the absence or receive the value of accrued but unused vacation and personal floating holiday time in a lump sum payment subject to the maximum vacation payout. The value of accrued but unused Incidental Sick Time may not be paid out in a lump sum payment, but will be available when the staff member returns to employment with the University.

Employees may continue some benefits while on Military Leave. Contact Benefits at 847-491-7513 for information.

Staff members of a military reserve or National Guard unit can receive up to two weeks’ regular University wages for training periods. A military voucher is required by Payroll in Human Resources to reimburse the difference in their gross pay and the amount received from federal or state authorities.

Returning from Military Leave

To be eligible for reinstatement with Northwestern after a Military Leave, a staff member must:
- Have given, if possible, advance notice to the University of the need for leave
- Report to or submit applications for reemployment in a timely manner, and
- Be honorably discharged from military service.

Staff members who take Military Leave and who remain qualified for their position, will be reinstated to employment with the University according to the following military service time frames:
Military Caregiver Leave

Under the Family and Medical Leave Act (FMLA), staff members can request a Military Caregiver Leave to care for a military service member who is the staff member’s spouse, domestic partner/civil union partner, child or parent with a serious illness or injury incurred in the line of active duty as a member of the Armed Forces, including the National Guard or Reserves, and is:

- Undergoing medical treatment, recuperation, or therapy
- Assigned as an outpatient to a military medical treatment facility
- Assigned to a unit providing command and control of Armed Forces’ members who are receiving outpatient medical care, or
- On the temporary disability retired list.

If the Military Caregiver Leave is approved, the University will grant up to 26 weeks of leave during a single, 12-month period to eligible staff members to care for the service member in their family as described above. Staff members who do not take all 26 weeks of leave during the single, 12-month period will forfeit the remaining part of the leave.

**Notification and Request for Military Caregiver Leave**

Staff members are expected to notify The Hartford and Benefits 30 days prior to the start of a Military Caregiver Leave.

For more information, contact Benefits at 847-491-7513.

### Active Military Service Period | Time Allowed to Return to Work
--- | ---
1-30 days | The next regularly scheduled workday after travel home and an eight hour rest period.
31-180 days | Application for reemployment must be submitted within 14 days.
181 or more days | Application for reemployment must be submitted within 90 days.

The deadlines listed above are extended in the case of disability incurred while on active military duty.

* For staff members who incur a disability or aggravate a disability during service that causes them not to be qualified for the position they would have held if no interruption of employment occurred, the University will provide them with a position that is equivalent in seniority, status, and pay.
Benefits While on Military Caregiver Leave
A staff member on a Military Caregiver Leave to care for a family member may use Incidental Sick Time, personal floating holiday, and vacation time as available, but must exhaust all applicable paid time off before taking an unpaid leave. A staff member on an FMLA Leave also may continue certain benefits while on leave.

For more information, visit www.northwestern.edu/hr/handbook/fmla-benefits.

Returning from Military Caregiver Leave
The 26 weeks of Military Caregiver Leave can include leave taken for other FMLA-qualifying reasons. A single, 12-month period begins on the first day staff members take leave to care for seriously ill or injured service members and ends 12 months after that date, regardless of which method is used to determine other types of FMLA Leave.

If the leave needs to extend longer, the staff member must request this extension with The Hartford prior to the expiration of the leave. Benefits will advise the staff member’s department/unit that the staff member is not returning at the end of the leave. Reinstatement of staff members in their position or equivalent position is determined on a case-by-case basis.

The employment of staff members who do not return from a Military Caregiver Leave and who do not request and receive an extension may be subject to termination.

Illinois Family Military Leave
Northwestern will grant up to 30 days of unpaid Illinois Family Military Leave to the spouse, domestic partner/civil union partner, parents, children, or grandparents of a soldier called to active military duty for more than 30 days.

Eligibility for Illinois Family Military Leave
This leave is available to staff members who have at least a year of service and who have worked at least 1,250 hours during the past continuous 12 months of service.

Notification and Request for Illinois Family Military Leave
Staff members must provide the leave administrator at least 14 days’ notice of the date they intend to start an Illinois Family Military Leave of five or more consecutive workdays. To the extent possible, staff members must consult with their supervisor to schedule the leave so as to not unduly disrupt the department’s/unit’s operations. Staff members taking an Illinois Family Military Leave of less than five consecutive days must give the University as much advance notice as practicable.

Benefits While on Illinois Family Military Leave
Vacation and personal floating holiday time may be used for Illinois Family Military Leave.

A staff member’s benefits will continue during an Illinois Family Military Leave. The staff member will not lose any benefits accrued before the commencement of the leave.

Returning from Illinois Family Military Leave
Northwestern will return a staff member from an Illinois Family Military Leave to the same position or a position with the same seniority, status, benefits, and pay. The University is not required to return a staff member because of conditions that are not related to taking an Illinois Family Military Leave.
Workers' Compensation Leave

Staff members suffering from a work-related illness or injury may be approved for a Workers' Compensation Leave.

Staff members who incur occupation-related injuries or illnesses are entitled to all necessary medical and hospital care. Additionally, staff members who are approved by a University-authorized physician for a Workers' Compensation Leave are entitled to certain disability benefits in accordance with the Illinois Workers' Compensation and Occupational Diseases Act.

An FMLA Leave may be used concurrently with a Workers' Compensation Leave. A Workers' Compensation Leave is managed by the Claims Division of the Office of Risk Management.

Absences under the FMLA are approved by Benefits.

If it is determined by the Northwestern designated health care provider that as a result of a work-related injury or illness, a staff member is not able to perform the normal duties of the staff member’s position, but is able to perform other meaningful tasks, the staff member may be provided a modified duty assignment within the University.

For more information, visit www.northwestern.edu/risk/workers-compensation.

Medical Leave

Eligibility for Medical Leave

Staff members who need to take a medical leave to care for their own personal serious health condition, but do not qualify for an FMLA Leave, may apply for Medical Leave as a reasonable accommodation under the Americans with Disabilities Act (“ADA”). A Medical Leave may be granted, subject to the approval of the Office of Equity, if the staff member has:

- Been employed by Northwestern less than one year
- Worked for Northwestern fewer than 1,250 hours in a rolling 12-month period, or
- Exhausted 12-weeks of FMLA Leave or job-protected EST Leave (when applicable), and
- Qualifies for a reasonable accommodation after analysis by the Office of Equity. For additional information regarding the process for applying for a reasonable accommodation, visit www.northwestern.edu/risk/accommodations.

Approval of Medical Leave

Staff members must contact the Office of Equity to request a leave of absence as a reasonable accommodation at least 30 days in advance (except in an emergency). The Office of Equity will work with the employee, the employee's medical providers, and the employee’s department to determine whether the leave request is covered by the ADA and whether the department/unit can hold the employee's position during the leave without creating an undue hardship for the department/unit.

Benefits While on Medical Leave

Staff members may use accrued sick, vacation, or personal floating holiday time during a Medical Leave.

Staff members on Medical Leave may continue certain benefits while on the leave and may be required to pay an applicable contribution.

For more information, visit www.northwestern.edu/hr/handbook/medical-leave.

Termination of Medical Leave and Return to Work

Staff members may not return to work without appropriate medical documentation.

To qualify as work-related, an injury or illness must arise out of or in the course of employment. Staff members must immediately notify their supervisor and/or Risk Management of any work-related illness or injury.
Unpaid Personal Leave

Occasionally staff members need a leave of absence for personal needs. Staff members must be in a benefits-eligible position, be in good standing, and have worked at the University for at least 12 consecutive months to be eligible for an Unpaid Personal Leave.

Operational and staffing needs, availability of replacements, the reason for the request, and the staff member’s job performance and attendance are considered in deciding whether to grant an Unpaid Personal Leave. See www.northwestern.edu/hr/handbook/personal-leave for more information on Unpaid Personal Leaves.

An Unpaid Personal Leave is not a medical leave (see Medical Leave at left for more information).

Staff members wishing to request Unpaid Personal Leave should contact their supervisor. An Unpaid Personal Leave must be approved by the department/unit and Human Resources.

Benefits While on An Unpaid Personal Leave

Staff members must exhaust all vacation and personal floating holiday time before an Unpaid Personal Leave is granted. Staff members on an Unpaid Personal Leave may continue some University benefits.

For more information, call Benefits at 847-491-7513.

Repatriation Leave (Qatar)

Staff members from Northwestern’s U.S. locations who accept an assignment in NU-Qatar will be extended a six-month unpaid Repatriation Leave upon return to the United States at the conclusion of their assignment in NU-Qatar. Service credit will continue to accrue during the leave.

Notification and Request for Repatriation Leave

Staff members should notify Benefits a minimum of 30 days prior to the start of a Repatriation Leave. The Leave of Absence Request form must be submitted to Benefits for approval of the designated leave period.

Benefits While on Repatriation Leave

Staff members may use accrued vacation or personal floating holiday time during their Repatriation Leave. Staff members may continue their participation in University benefit plans for up to six months by paying any applicable employee contribution.
6  \  PAID TIME AWAY FROM WORK

Paid time away from work is intended to provide Northwestern University staff members the time they need to rest, relax, and recharge, as well as to fulfill their personal responsibilities. Paid time away from work is provided through a number of programs, including University scheduled holidays, vacation time, the University’s Incidental Sick Time and Extended Sick Time programs, and time off for jury duty and military reserve training.

Eligibility

Eligibility for paid time away from work is determined by the following criteria:
• The staff member must be employed by Northwestern University in a regular benefits-eligible position
• The staff member must be compensated from the University payroll system, and
• The staff member must hold a position or an appointment with a total full-time equivalent (FTE) greater than or equal to 50 percent (0.50).

Paid status means being at work or on:
• A personal floating holiday
• Approved, paid Extended Sick Time
• Approved, paid Incidental Sick Time
• Jury duty
• Paid bereavement absence
• Paid military leave
• Paid vacation

For absences in excess of seven calendar days, excluding scheduled vacation time and/or personal floating holidays, refer to Leaves of Absence on pages 5.3 through 5.12 of this Handbook.

University Scheduled Holidays

Staff members are paid for these holidays observed by the University:
• New Year’s Day
• Martin Luther King Jr. Day
• Memorial Day
• Independence Day
• Labor Day
• Thanksgiving Day
• Friday after Thanksgiving Day
• Christmas Eve Day
• Christmas Day
• New Year’s Eve Day

To view the holiday calendar, visit www.northwestern.edu/hr/handbook/holidays.

Paid time away from work may not be taken before it is accrued, it cannot be cashed out, and no payment will be made to a staff member in lieu of vacation or personal floating holiday time except at termination of employment.
Usually holidays that fall on a Sunday are observed on the following Monday and holidays falling on a Saturday are observed on the previous Friday. Staff members in part-time positions are paid on a prorated basis for scheduled University holidays.

In certain circumstances, staff members may be scheduled to work on a day that the University observes as a holiday. In such cases, non-exempt staff members will receive holiday pay at the regular hourly rate or an alternate workday off (as outlined below) plus one and one-half times their regular hourly rate for the hours actually worked on the holiday.

If a holiday falls on a staff member’s scheduled day off, the staff member will receive an alternate workday off. This alternate day off must be scheduled with supervisory approval within 30 days of the holiday. For example, if a holiday falls on a Thursday when a staff member is not scheduled to work, the staff member may take another day off within 30 days of the University holiday with prior supervisory approval.

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

Winter Recess

Unless otherwise announced, the University offers Winter Recess time off for the three work days between Christmas and New Year’s Eve Day for those who are not required to provide essential services during these days. Human Resources provides additional information on Winter Recess at the appropriate time.

Personal Floating Holiday Time

Personal floating holidays are available to staff members for personal business, family sickness, and religious observance, and may also be used as an extension of bereavement absence or vacation time. Northwestern University annually provides up to three personal floating holidays as paid time away from work each fiscal year (September 1 – August 31).

Personal Floating Holiday Time

Staff members are granted three personal floating holidays on September 1 of each fiscal year (September 1 – August 31). New staff members hired on or after September 1 are granted personal floating holidays as follows:

<table>
<thead>
<tr>
<th>Hire Date</th>
<th>Personal Floating Holidays</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 1 - November 30</td>
<td>3 days</td>
</tr>
<tr>
<td>December 1 - February 29</td>
<td>2 days</td>
</tr>
<tr>
<td>March 1 - May 31</td>
<td>1 day</td>
</tr>
<tr>
<td>June 1 - August 31</td>
<td>0 days</td>
</tr>
</tbody>
</table>

The hire date is a staff member’s first day of employment.

Using Personal Floating Holiday Time

Personal floating holiday time must be scheduled in advance and in accordance with department/unit rules. Scheduling personal floating holidays on short notice for emergency purposes is at the discretion of the supervisor, who may request documentation of the reason for the emergency. The department/unit may limit the amount of personal floating holiday time taken at one time in consideration of departmental/unit needs.

Three personal floating holidays will be granted on each subsequent September 1 following the date of hire. Personal floating holiday time is not available for use during an unpaid leave of absence. Part-time staff members receive the percentage of personal floating holiday time proportionate to the percentage of full-time that they are scheduled to work.
The following conditions apply to the use of personal floating holiday time:

- **No advance:** Personal floating holiday time may not be taken before it is granted.
- **Not cashable:** No payment is made to a staff member in lieu of personal floating holiday time, except at termination of employment or upon change to a faculty appointment, or as otherwise referenced in this Handbook.
- **Portability:** Staff members who transfer from one department/unit to another staff position retain their accrued personal floating holiday time.
- **Coinciding holiday:** When a University holiday falls during a staff member’s approved paid time off, the day is paid as holiday time rather than as personal floating holiday time.

Personal floating holiday balances are maintained in the University-approved time entry system. Staff members should report personal floating holiday usage as they take the time off. For staff members in:

- **Non-exempt positions:** The staff member and supervisor must sign off on personal floating holiday usage on each biweekly timesheet.
- **Exempt positions:** The staff member and supervisor must sign off on personal floating holiday usage on a monthly basis.

**Carryover**

Personal floating holidays that are unused at the end of the fiscal year (August 31) are forfeited.

**Transfer and Separation**

When a staff member transfers to another staff position at Northwestern University, the staff member and supervisor should ensure that the University-approved time entry system is up to date and accruals are approved by the supervisor. Staff members who transfer from one department/unit to another retain their personal floating holiday time.

When a staff member’s primary role is changed from staff to faculty, all of the staff member’s personal floating holiday time will be paid out upon transfer to the faculty status.

### Vacation Time

Vacation time is available to staff members for personal business, family sickness, and religious observance. It may also be used as an extension of bereavement absence or personal floating holiday time.

**Vacation Accrual for Staff Members in Non-exempt Positions**

Vacation is calculated by multiplying the vacation factor per accrual base hour by the staff member’s accrual base hour. The vacation factor per hour is based on qualified service.

<table>
<thead>
<tr>
<th>Qualified Service</th>
<th>Vacation Factor Per Accrual Base Hour</th>
<th>Approximate Vacation Earned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under 6 months</td>
<td>.0385</td>
<td>1 week</td>
</tr>
<tr>
<td>6 through 12 months</td>
<td>.0770</td>
<td>2 weeks</td>
</tr>
<tr>
<td>After 1 completed year</td>
<td>.0575</td>
<td>3 weeks per year</td>
</tr>
<tr>
<td>After 9 completed years</td>
<td>.0767</td>
<td>4 weeks per year</td>
</tr>
<tr>
<td>After 19 completed years</td>
<td>.0958</td>
<td>5 weeks per year</td>
</tr>
</tbody>
</table>

On separation from the University, the staff member and supervisor must approve all vacation and personal floating holiday time balances in the University-approved time entry system to ensure the staff member receives the correct accrual payout.
Accrual base hours are regular, scheduled work hours. These scheduled work hours may be paid as:
- A personal floating holiday
- Approved, paid Extended Sick Time
- Approved, paid Incidental Sick Time
- Jury duty
- Paid bereavement absence
- Paid military leave
- Paid vacation
- Paid holiday

For each of these hours, the staff member receives vacation time based on the fraction of an hour indicated by the vacation factor per accrual base hour. Vacation is not accrued on hours of unpaid absence.

Accrued vacation time cannot exceed one and one-half times the annual accrual. Staff members in non-exempt positions cannot exceed one and one-half times the annual accrual in a pay period; staff members in exempt positions cannot exceed one and one-half times the annual accrual at the end of the fiscal year. If the vacation balance of an exempt staff member exceeds the maximum accrual at the end of the fiscal year or when employment is terminated, any accrual balances above the 1.5 times the annual accrual time is forfeited. Staff members and their departments/units must ensure that vacation time is scheduled to avoid losing it.

» Vacation Accrual for Staff Members in Exempt Positions

Vacation is earned at the vacation factor per month. Staff members in exempt positions earn vacation time on the 16th of each month at the monthly rate listed in the following table. A part-time exempt staff member accrues vacation time proportionate to the percentage of full-time that the staff member is scheduled to work.

<table>
<thead>
<tr>
<th>Qualified Service</th>
<th>Vacation Factor Per Month</th>
<th>Approximate Vacation Earned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under 6 months</td>
<td>0.83</td>
<td>1 week</td>
</tr>
<tr>
<td>6 through 12 months</td>
<td>1.67</td>
<td>2 weeks</td>
</tr>
<tr>
<td>After 1 completed year</td>
<td>1.25</td>
<td>3 weeks per year</td>
</tr>
<tr>
<td>After 9 completed years</td>
<td>1.67</td>
<td>4 weeks per year</td>
</tr>
<tr>
<td>After 19 completed years</td>
<td>2.08</td>
<td>5 weeks per year</td>
</tr>
</tbody>
</table>

A separate table applies to vacation accrual for staff members in exempt positions with pay grade Exempt 14 or higher and ITS 85 or higher.

<table>
<thead>
<tr>
<th>Qualified Service</th>
<th>Vacation Factor Per Month</th>
<th>Approximate Vacation Earned</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 months through 19 completed years</td>
<td>1.67</td>
<td>4 weeks per year</td>
</tr>
<tr>
<td>After 19 completed years</td>
<td>2.08</td>
<td>5 weeks per year</td>
</tr>
</tbody>
</table>

Variances to these vacation accruals must be approved in advance by the Vice President of Human Resources in Human Resources or designee.
Staff members working nine, 10, or 11 months per year accrue vacation at the rates shown in the corresponding non-exempt or exempt accrual charts above during the time paid in the nine, 10, and 11 months of the work schedule. Vacation time does not accrue during the months when a staff member is not paid. 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” in the preceding tables accrues during the time worked in the nine-, 10-, or 11-month schedule, but does not accrue in the months not paid. During the months not paid, staff members on these schedules are on leave of absence and may continue to be enrolled in certain benefits.

» Qualified Service
The qualified service period is the service since the hire date and excludes unpaid leave time off.

» Approximate Vacation Earned
For all staff members, a full-time work schedule without unpaid leaves results in accrual of the approximate vacation earned indicated in the table.

» Using Vacation Time
Vacation time must be scheduled in advance and in accordance with department/unit rules, and must be scheduled by staff members and their supervisors when it is mutually convenient.

Scheduling vacation time on short notice for emergency purposes is at the discretion of the supervisor, who may request documentation of the reason for the emergency. The department/unit may limit the amount of vacation time taken at one time in consideration of departmental/unit needs. Departments/units may specify periods when no vacation time may be taken.

Staff members may not use vacation or personal floating holidays on their last workday, unless they are planning to retire from the University.

The following conditions apply to the use of vacation time:
- **No advance:** Vacation time may not be taken before it is accrued.
- **Not cashable:** No payment is made to a staff member in lieu of vacation time, except at termination of employment, or upon change to a faculty appointment, or as otherwise referenced in this Handbook.
- **Portability:** Staff members who transfer from one department/unit to another staff position retain their accrued vacation time.
- **Coinciding holiday:** When a University holiday falls during a staff member’s approved paid time off, the day is paid as holiday time rather than as vacation time.

Vacation balances are maintained in the University-approved time entry system. Staff members should report their vacation usage as they take the time off. For staff members in:
- **Non-exempt positions:** The staff member and supervisor must sign off on vacation usage on each biweekly timesheet.
- **Exempt positions:** The staff member and supervisor must sign off on vacation usage on a monthly basis.
» Transfer and Separation

When a staff member transfers to another staff position in the University, the staff member and supervisor should ensure that the University-approved time entry system is up to date and accruals are approved by the supervisor. Staff members who transfer from one department/unit to another retain their accrued vacation time, up to the maximum allowed.

When a staff member’s primary role is changed from staff to faculty, all accrued but unused vacation time will be paid out upon transfer to the faculty status.

Incidental Sick Time and Extended Sick Time

Northwestern University provides paid time away from work as a form of income protection for a staff member who is unable to work because of illness or injury. The University’s sick time program has two main components:

• **Incidental Sick Time (IST):** Used for absences due to personal illness or the illness of a qualifying family member who requires direct care by the staff member as described in Using IST on page 6.7. For IST purposes, qualifying family members are defined as a spouse, domestic partner/civil union partner, child, stepchild, child of a civil union or domestic partner, parent, stepparent, grandparent, grandchild or sibling and those bearing the same relationship to the staff member’s spouse or domestic partner/civil union partner. The Incidental Sick Time allocation is replenished at the start of each fiscal year (September 1) with no “carrying over” or banking of sick time from one year to the next.

• **Extended Sick Time (EST):** Provides 100% of a staff member’s hourly rate or monthly salary for an approved extended illness or injury after a seven-calender day elimination period, for up to six months. Any additional compensation such as overtime, bonus, on-call pay, incentive pay, or additional pay is excluded. For a staff member on approved FMLA Leave, EST (if also approved) would run concurrently. Extended Sick Time is provided at no cost to employees and is available after a staff member has been employed in a benefits-eligible staff position for six months. If the staff member has at least five years of continuous service, the staff member will return to their job or an equivalent job for which they are qualified if able to return to work before or immediately upon exhaustion of Extended Sick Time benefits. Eligibility for this additional job protection is calculated using a rolling backwards method, making the staff member eligible for this one time within a 12-month period. A staff member hired into a term appointment with an appointment end date that is pre-determined is only eligible for EST through that appointment termination date.

Sick leave may vary by campus location or through applicable laws. If the injury or illness extends beyond six months, a staff member may apply for long-term disability benefits. For more information on any of these programs, visit [www.northwestern.edu/hr/handbook/ltd](http://www.northwestern.edu/hr/handbook/ltd). An eligible staff member who is away from work for more than seven calendar days should also apply for a Family and Medical Leave Act (FMLA) Leave.

For more information, refer to Family and Medical Leave Act (FMLA) Leave on page 5.4 of this Handbook.
**IST Accrual**

A staff member is granted Incidental Sick Time on September 1 of each fiscal year (September 1 – August 31). A new staff member hired on or after September 1 is granted Incidental Sick Time as follows:

<table>
<thead>
<tr>
<th>Current Staff</th>
<th>New Hires (September 1 – November 30)</th>
<th>New Hires (December 1 – February 29)</th>
<th>New Hires (March 1 – May 31)</th>
<th>New Hires (June 1 – August 31)</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 days</td>
<td>15 days</td>
<td>10 days</td>
<td>5 days</td>
<td>2 days</td>
</tr>
</tbody>
</table>

Incidental Sick Time will be granted on each subsequent September 1 following the date of hire. If a staff member is not in paid status on September 1, the sick time will be refreshed upon return to paid status based on the table above.

Part-time staff members receive the percentage of IST and EST proportionate to the percentage of full-time that they are scheduled to work.

**Hire Date**
The hire date is a staff member’s first day of employment.

**IST Granted Upon Hire**
Staff members receive sick time on their hire date according to the IST Accrual chart above.

**Using IST**
Northwestern University may require satisfactory evidence for any paid Incidental Sick Time. Visits to licensed/certified caregivers for treatment or checkups qualify for use of paid IST, and must be scheduled at a time least disruptive to department/unit operations and require advanced supervisory approval. Incidental Sick Time for exempt staff members is to be used in half- or whole-day increments and recorded in the University-approved time entry system. Lesser amounts may be recorded for approved FMLA leaves.

Absence due to an injury on the job or occupational disease is not charged to IST or EST if it is approved as Workers’ Compensation. For more information, refer to Workers’ Compensation on page 6.8 of this Handbook.

While Incidental Sick Time is limited to the seven calendar days immediately prior to an approved Extended Sick Time absence, there are specific circumstances when staff members may use up to their annual allowance of Incidental Sick Time consecutively. These are:
- Staff members with less than six months of service and unable to work due to their own illness (this includes birth of a child).
- Staff members who have been approved for intermittent FMLA and need to be away from work.
- Staff members who must care for a sick family member and be absent from work.

Unauthorized or misuse of sick time is a basis for denial of sick time pay and subject to corrective action, up to and including termination of employment.

Incidental Sick Time is renewed at the beginning of each fiscal year (September 1) and any unused IST at the end of the fiscal year (August 31) is forfeited. For more information, see IST Accrual above.
Transfer and Separation

When a staff member transfers to another staff position at Northwestern University, the staff member and supervisor should ensure that the University-approved time entry system is up to date and accruals are approved by the supervisor. Staff members who transfer from one department/unit to another retain their sick time balance.

When a staff member’s primary role is changed from staff to faculty, sick time will not be paid out upon transfer to the faculty status.

On separation from the University, the staff member will not be paid for accrued and unused sick time.

Workers’ Compensation

Those who sustain occupational injuries or illness while at work may be entitled to workers’ compensation. Staff members who sustain such an injury or illness must immediately report the incident to their supervisor who should then contact the Office of Risk Management.

Absence due to an injury on the job or occupational disease is not charged to Incidental or Extended Sick Time if it is approved as workers’ compensation.

For more information, visit www.northwestern.edu/risk/workers-compensation.

School Visitation

Staff members may take school visitation time off from work to visit their child’s school for conferences or classroom activities for a total of eight hours in a school year, but no more than four hours on any given day. Staff members must request this time off in advance and may be required to provide documentation regarding the need to take time off. Supervisors or departments/units may allow additional time depending on departmental/unit operations.

On separation from the University, the staff member will not be paid for accrued and unused sick time.

Vacation and/or personal floating holiday time may be used, if available, for school visitation. If no paid vacation or personal floating holiday time is available for a non-exempt staff member, an unpaid excused absence may be used for the school visits.

Voting Time

Staff members are encouraged to exercise their right to vote, voting either before or after work hours. Staff members who wish to vote and face difficulty in doing so during those pre- or post-work hours are encouraged to take advantage of early voting opportunities that provide extended and weekend hours on multiple days, usually about a week before the election.

Early voting opportunities are offered by many municipalities, including Evanston and Chicago, whose city clerk websites provide information on this topic.

If early voting is not an option, staff members need to make a request to their supervisor at least 48 hours before an election day. Staff members who are unable to vote before or after regular working hours on an election day may take the time needed to vote, not to exceed two hours, during the working day, without loss of pay.
Bereavement Absence

In the event of a death of a family member, a paid leave of absence is provided as follows to benefits-eligible staff members:

- Ten days are provided for death of a child, stepchild, foster child, adopted child, or child of a civil union or domestic partner. The first five days are paid. For the second five days, the staff member can use vacation or personal floating holiday time, or can take the days unpaid.
- Five days are provided for the death of a spouse or domestic partner/civil union partner.
- Three days are provided for the death of a parent, grandparent, grandchild or sibling and those bearing the same relationship to the staff member’s spouse or domestic partner/civil union partner (including all step categories).
- One day is provided for the death of other close family members.

The staff member’s supervisor must be notified as soon as practical. If the staff member wishes to take additional time off, then paid vacation or personal floating holiday time may be used, if the supervisor has given approval. The University may require proof of the relationship to the family member.

Military Reserve Training

The University grants time off for mandatory periods of training to eligible staff members who are members of a military reserve or National Guard unit. For training periods of two workweeks or less, active staff members of the University receive their regular University wages for this period, less the amount of gross pay from federal or state authorities. The staff member should contact Payroll in Human Resources for instructions.

For information about absences due to military service longer than two weeks, refer to Military Leave on page 5.8 of this Handbook.

Documentation of Absence

The University may require documentation from a staff member for requests for absence prior to the absence, or upon the staff member’s return to work. Documentation or justification is not required for vacation or personal floating holiday time unless an emergency necessitates short notice.

Jury Duty

The University encourages participation in jury duty. Staff members are allowed to be absent with pay for jury duty but are expected to report for their regularly scheduled work on days when not required to perform jury duty.

Pay received for jury duty service may be retained by the staff member and staff members will also receive their regular pay. Staff members must provide appropriate documentation with as much notice as possible to the supervisor or department/unit. Staff members may be required to provide proof of jury duty service upon return to work.
AUTUMN LEAVES ON CAMPUS
Northwestern University is committed to establishing compensation programs that attract, retain, and engage talented staff in an environment that promotes fairness and competitiveness, and is in compliance with applicable federal and state laws and regulatory requirements.

**Job Descriptions and Job Families**

The establishment of pay rates begins with documenting job content via a job description and organizing jobs in a manner that identifies the relationships and the natural progression of jobs within a certain function.

Job families represent a grouping of similar jobs or a hierarchy of jobs within a functional area such as research, administration, or finance. The families establish the natural progression of jobs within the function by detailing the core standards for duties, accountabilities, knowledge, skills, and educational requirements for each level of job.

Job descriptions detail the responsibilities, qualifications, skills and abilities, and physical requirements for each job and as such are required for all staff. Job descriptions also provide a basis on which to develop and assess most employment-related activities. These include goal and expectation setting, performance review and appraisal, pay determination, succession planning, training and development, and career pathing.
Salary Structures and Pay Grades

Salary structures are tools that help ensure staff members are paid in a manner that is appropriate and competitive. This is accomplished by organizing jobs that are similar in level, scope, responsibility, and labor market into groupings known as pay grades. Northwestern University has several salary structures and each job is assigned to one based on the type of work performed.

Pay grades represent various levels of work in the University, that is, staff level, management level, or executive level. Jobs that have lower levels of responsibility are placed at lower pay grades. As jobs change in complexity, scope, responsibility, breadth, and depth, pay grades generally increase as well.

Each pay grade has an associated pay range that represents the minimum and maximum wage rates/salaries for a job. Determining the specific point in the pay range at which a staff member is to be paid is dependent on several factors, including but not limited to the value of the job in the labor market, and the knowledge, skills, and abilities of the staff member. Pay rates should fall within the established pay ranges; at no time should a staff member’s pay rate be less than the minimum of the range.

Performance Management and Merit Pay

Northwestern University has an established annual process for assessing performance and granting pay adjustments based on achievement of goals, demonstration of Northwestern values, overall job performance, and the impact of contributions, known as “Performance Excellence.” Staff members may be eligible for pay adjustments based on several factors, including but not limited to the date of hire, job performance, labor market conditions, current position in the pay range, and budget considerations.

Questions or concerns about staff compensation should be directed to the staff member’s immediate supervisor.

Designation of Staff Jobs

Staff jobs are divided into two general categories referred to as exempt and non-exempt, as defined by the Fair Labor Standards Act (FLSA), the federal law that governs overtime, minimum wage, child labor, and recordkeeping.

» Exempt Staff

Exempt staff members are exempt from the minimum wage and overtime provisions of the Fair Labor Standards Act (FLSA). This exemption is determined by evaluating the duties and responsibilities required of the staff member against the criteria outlined in the FLSA. A job is classified as exempt if its duties and responsibilities are primarily executive, managerial, or administrative, or if it requires an advanced educational degree or knowledge and experience in a field considered to be professional. Exempt staff members fulfill their duties without a focus on the amount of time it takes. Therefore, exempt staff members are paid a monthly salary that does not vary between pay periods based on the quality or quantity of work, and are not eligible to receive overtime for hours worked beyond 40 hours in a workweek.

» Non-exempt Staff

Non-exempt staff members do not qualify, by the nature of their work and responsibilities, for exemption from the overtime or minimum wage provisions of the FLSA. Non-exempt staff members are paid by the hour and must receive no less than one and one-half times their regular rate of pay for hours worked in excess of 40 hours in a workweek.
By defining work schedule and payroll policies, Northwestern promotes a shared understanding — and ensures consistency and fairness among staff members — regarding these matters.

The Workday

The most common Northwestern University office hours are 8:30 a.m. to 5:00 p.m., Monday through Friday. However, each department/unit determines the hours of work for its staff members as necessary to staff its operations. Departments/units and supervisors may set and adjust individual staff member schedules to meet department/unit operational needs.

Northwestern’s workweek generally starts at 12:00 a.m. Sunday and ends at 11:59 p.m. the following Saturday. Most work schedules continue throughout the year, but some are partial year (for example, nine, 10, or 11 months). Staff members who work such shortened schedules are considered full-time during the months when they work their full workweek.

Attendance

Prompt and reliable attendance is an expectation of performance for all employees, as it directly impacts Northwestern’s productivity and ability to meet operational needs and commitments. Staff members are expected to report to work on time and to return from lunch on time.

Staff members may be disciplined for unreliable attendance and/or lack of dependability. Authorized absences such as approved leaves of absence and pre-approved time off do not constitute violations of attendance expectations.

Unscheduled Absence

Unscheduled absences are all instances when a staff member is scheduled to come to work and does not, unless the staff member has an approved time off request. On each day that a staff member takes an absence not scheduled in advance with the supervisor, the staff member must notify the supervisor and give the expected return date and time. Excessive unscheduled absences or lack of notice during an absence is subject to corrective action, up to and including termination of employment.

For unscheduled medical absences, the staff member or the supervisor should contact the Office of Equity.
Job Abandonment

Lack of notice to the supervisor for an absence of three consecutive days indicates that the staff member has abandoned the job and is grounds for termination of employment.

Pattern Absence

Pattern absences are absences that consistently occur before or after scheduled holidays, personal floating holidays, or vacation days; on scheduled weekend shifts; on days for which the time off request was denied; on a desirable day off; or on the same day each week or month. Disciplinary action up to and including termination may be taken when a pattern of absences has been identified. Northwestern retains discretion in determining what constitutes a pattern.

Tardiness

All staff members are expected to report to work at the scheduled work time, to work the full duration of the scheduled shift, and to take reasonable meal or break periods. A staff member is tardy if he or she fails to report to the assigned workplace, prepared to work and at the scheduled time. This includes returning from breaks and meal periods. Each department/unit defines the punctuality standards for its operations and communicates them to staff members. Staff members who expect to be late must notify their supervisors according to department/unit procedures. Excessive tardiness is grounds for corrective action, up to and including termination of employment.

Supervisors may adjust work schedules to accommodate a staff member’s scheduling needs. A non-exempt staff member may not be paid for time not at work — for example, when tardy — and may not work any hours (such as to compensate for tardiness) without being paid for them. The staff member must be paid according to the time actually worked, even if this time does not coincide with the planned work schedule.

Varying Schedule

A work schedule for non-exempt staff members is determined by the supervisor and can be any combination of days and hours totaling no more than 40 hours in a workweek. The hours scheduled for work must not exceed those hours budgeted for the position.

Examples of flexible scheduling with this policy include a schedule in which a staff member works four days of 10 hours each for a total of 40 hours in the week. Another example is a work schedule of three days of 9.5 hours each and one day of nine hours, totaling 37.5 hours in the week. When a staff member uses vacation, personal floating holiday, or sick time, the amount of paid time away from work used is equal to the scheduled work hours for that day.

For more information, refer to Flexible Work Arrangements on page 9.1 of this Handbook.

Overtime

Non-exempt staff members are paid for the hours worked beyond 40 hours in a workweek at the rate of one and one-half times their hourly rate. Prior supervisor approval is required in order to work overtime.

Time paid for University scheduled holidays is considered time worked when computing overtime in a week where a University scheduled holiday falls. Other paid time away from work is not considered time worked for purposes of calculating overtime.
Reporting Hours
Non-exempt staff members are required to report accurately all work hours, as well as paid time away from work in the University-approved time entry system. Non-exempt staff members are encouraged to submit each day’s hours on a daily basis, but are required to report their time no less than biweekly.

Exempt staff members must accurately report all paid time away from work on a monthly basis. Supervisors must approve all time reported by their direct reports in the University's approved time entry system.

Anyone falsifying the reporting of time worked or paid time away from work is subject to corrective action, up to including termination of University employment.

For more information regarding documentation, policies and procedures, visit www.northwestern.edu/hr/handbook/time-entry. For assistance from the Help Desk call 847-467-7606 or email payrolltime@northwestern.edu.

Compensatory Time
Compensatory time (time off taken in lieu of pay) is strictly prohibited.

Lunch Periods
Lunch periods for non-exempt staff members are unpaid and range from a minimum of 30 minutes to a maximum of one hour. Staff members are expected to return to work promptly at the end of the scheduled lunch period. However, for certain staff members who are required to remain on duty or on call through the lunch period, the lunch period is part of the paid work shift. Staff members are not allowed to shorten or eliminate scheduled lunch periods to alter the beginning or ending of a workday. In a work period of 7.5 hours or more, a meal period of at least 30 minutes must be provided and taken before the end of five hours of work.

Rest Periods
In work situations where staff members are free to move about and visit restrooms from time to time, formal rest periods are not designated. Therefore, many departments/units and offices do not have formal rest breaks. However, staff members who are substantially bound to one work site and to continuous tasks with limited freedom to move about should have a specific rest break each half-day and staff members who work at least four but less than seven hours per day are eligible for one such rest break per day.

Rest breaks are paid and 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.

For more information, refer to Break Time for Nursing Parents on page 9.4 of this Handbook.

Pay Day
Non-exempt staff members are paid every two weeks on the Friday following the end of each two-week pay period. Exempt staff members are paid monthly, on the last working day of each month.

Direct Deposit
Direct deposit is the standard method of paying staff through the University's payroll system. Staff members who elect direct deposit will have their pay deposited into their bank account on pay day, even if a staff member is absent from work. In most cases, enrollment is immediate when entered through www.northwestern.edu/myhr. Staff members with direct deposit are able to split their paycheck between multiple bank accounts.

For more information on direct deposit, visit www.northwestern.edu/hr/handbook/direct-deposit.

Individual paycheck details can be viewed online and printed through www.northwestern.edu/myhr.
Exempt Pay Deductions

Staff members in positions classified as “exempt” in accordance with the Fair Labor Standards Act (FLSA)—see Exempt Staff on page 7.2 of this Handbook—receive a monthly salary that does not vary based on the amount or quality of work performed and does not vary between pay periods.

However, the FLSA identifies several situations where it is appropriate to deduct from an exempt staff member’s pay; these situations are:

- Absences for one or more full days for personal reasons, other than sickness or disability
- Absences for one or more full days due to sickness or disability if deductions are made under a bona fide plan, policy, or practice of providing wage-replacement benefits for these types of absences
- Unpaid disciplinary leaves or suspensions of one or more full days imposed in good faith for violations of serious workplace conduct rules
- Full or partial day absences for a Family and Medical Leave Act (FMLA) qualifying absence
- Partial week worked during the first or last week of the staff member’s employment, and
- Penalties imposed in good faith for violating safety rules of “major significance.”

If you believe that an error in your pay has been made through a deduction based on a situation that is not included in this list, you must notify your supervisor or Human Resources immediately. (If you notify your supervisor, your supervisor must promptly elevate the issue to Human Resources.) The appropriate staff in Human Resources will investigate all claims regarding possible improper deductions. Corrective action will be taken as soon as possible to resolve any identified improper deductions, including reimbursement of the improper deduction.

Required Staff Information

Staff members are required to maintain their home addresses and telephone numbers at www.northwestern.edu/myhr.

Staff members are also required to list at least one office phone number, home phone number, and/or a cell phone number. These phone numbers will be used for any emergency disaster notifications at the University.

Staff members must also include an emergency contact in www.northwestern.edu/myhr, whether a family member or friend, who could be contacted in case of an emergency.

A change of name, marital status, or tax withholding should be reported to Payroll in Human Resources. Name changes must be accompanied by a copy of the Social Security Card bearing the new name to be used in the payroll system.

It is important to notify Benefits in Human Resources at 847-491-7513 of any change in family circumstances that will affect those who are covered by or who are beneficiaries of the staff member’s benefits and retirement plans. For retirement plans, staff members also must notify the providers directly.
Flexible Work Arrangements
Northwestern University recognizes that staff members may face competing demands from their work and personal lives and supports alternative work arrangements where possible. Flexible work arrangements are a key component of work/life effectiveness and a source of many added benefits, such as improved productivity, enhanced staff engagement, and opportunities for cross training.

For more information, refer to Varying Schedule on page 8.2 of this Handbook.

Types of flexible work arrangements include:

- **Flextime:** A work schedule that permits flexibility in beginning and ending times of the workday without changing the total hours worked in a workweek. Most flextime arrangements specify a core period of time during the day in which staff members must work.

- **Compressed Workweek:** A full-time work schedule compressed into less than the traditional five-day workweek. An example would be four 10-hour workdays for a 40-hour workweek.

- **Telecommuting:** A work schedule that allows staff members in exempt positions to work some of their work hours from a location other than their regular work site. An example would be a staff member who works from a home office one day per week.

- **Part-time:** A work schedule of less than full-time. Part-time staff members who work less than 18.75 hours per week are not eligible for benefits or other paid time off accruals.

- **Job Sharing:** A work arrangement in which two staff members share the responsibilities of one full-time position. Job sharing differs from part-time work in that job share partners are expected to be interchangeable in work assignments and represent a single staff member.

The approval or denial of a request for a flexible work arrangement is at the supervisor’s discretion. Schedules may be adjusted during holiday weeks.
Considerations

An important consideration in setting up a flexible work arrangement is determining how the work will be completed. Although personal needs are a factor in any such arrangement, University/department requirements remain the primary consideration.

Any non-exempt staff member’s flexible work schedule cannot exceed 40 hours for any workweek even if the other week of the pay period has fewer hours.

For additional information regarding the approval process for flexible work arrangements, visit www.northwestern.edu/hr/handbook/flexible-work. For additional information or consultation about flexible work arrangements, call Work/Life & Family Resources at 847-491-3612 or a Human Resources Business Partner.

There is no cost to the staff member for the services provided by the EAP. If a staff member is referred to a resource outside the Employee Assistance Program, there may be additional costs, some of which may be covered under the staff member’s health plan.

Employee Assistance Program (EAP) — a program for faculty and staff

The Employee Assistance Program is a voluntary program offered by Northwestern University to provide faculty, staff, and their household members with no-cost, confidential professional support to help them work through personal challenges that interfere with work/life balance. These personal challenges might include:

- Balancing competing demands
- Emotional concerns
- Family issues
- Financial or legal difficulties
- Stress
- Work-related concerns, or
- Substance abuse.

Northwestern works with an external employee assistance provider, which works separately from the University and shares no files or individual names with the University. The use of this service is a confidential matter between the staff member and the provider, as required by law.

EAP is staffed by licensed professionals and has several offices in the Chicago metropolitan area. Appointments can be arranged at the convenience of the staff member, whether near home or near either campus.

For more information or to get contact information, visit www.northwestern.edu/hr/handbook/eap. In the event of an emergency, counselors are available 24 hours, seven days a week.
NU Cares
The Northwestern University Staff Advisory Council (NUSAC) established NU Cares to provide an opportunity for staff and faculty to help one another during a time of need. All health benefits-eligible employees in good standing are eligible to apply, whether or not they donate to the fund. The fund is administered by the Work/Life & Family Resources team within Human Resources. Assistance granted is not a loan and is not required to be repaid.

For more information, visit www.northwestern.edu/hr/handbook/nu-cares.

Work/Life Educational Programs
Work/Life & Family Resources sponsors free workshops that address a variety of personal and family concerns. These informal lunch-and-learn workshops provide staff members and their families access to relevant work and life topics from experts in the field. For additional information or to suggest a topic, call Work/Life & Family Resources at 847-467-6518.

For more information, visit www.northwestern.edu/hr/handbook/work-life-programs.

Adoption Assistance Reimbursement
» Eligibility
All active benefits-eligible faculty and staff with at least three years of continuous service at the time of the adoption. Part-time University service counts toward eligibility on a prorated basis, but the employee must be full-time when applying for adoption reimbursement.

» Eligible Child
The term “Eligible Child” means any child who has not reached age 18 and who is not the child of the employee's spouse or domestic partner.

» Limitation on Adoption Assistance Reimbursement
Adoption assistance is limited to $5,000 with respect to any Eligible Child. This is a limit on the total qualified adoption expenses that may be reimbursed in connection with any Eligible Child. There is also a limit of two adoptions per household for the lifetime of employment with the University. For example, if both parents are employed at Northwestern University, together they are eligible for a maximum of two adoption reimbursements per lifetime. All adoptions covered under this reimbursement program must be finalized after the faculty or staff member has completed the third year of employment with the University, and after the effective date of the program.

For information about reimbursable expenses under this program and/or to learn about reimbursement procedures, contact Work/Life & Family Resources at 847-491-3612 or visit www.northwestern.edu/hr/handbook/adoptions-assistance.

Child Care Benefits
Work/Life & Family Resources offers assistance with a variety of needs through a network of nationally accredited child care centers. Faculty, staff, and students are eligible for priority enrollment, discounts, back-up care, and/or fee assistance.

For more information, visit www.northwestern.edu/hr/handbook/child-care or contact Work/Life & Family Resources.

» Child Care Resource and Referral Service
Northwestern offers a free resource and referral program to help working parents and students find child care solutions. Parents can conduct an efficient, well-informed search with information and advice provided by these resource and referral services. However, parents need to carefully evaluate each provider to determine what is best for their family’s needs. Neither Northwestern nor this service will make recommendations.

For more information, visit www.northwestern.edu/hr/handbook/finding-childcare. To speak with a child care specialist, call 773-356-8135.
Child Care Fee Assistance Programs
Northwestern allocates funding for child care fee assistance each year. Subject to IRS limits, these funds are awarded to families who demonstrate financial need and meet the eligibility requirements. Fee assistance recipients must be full-time staff, faculty, or eligible students. There are tax implications for participation in the child care fee assistance program; for more information, visit www.northwestern.edu/hr/handbook/child-care-fee.

Dependent Care Flexible Spending Account and University Contribution
The Dependent Care Flexible Spending Account (FSA) assists employees in managing eligible child care expenses and certain costs associated with the care of a dependent child (under the age of 13), spouse, or parent. Participants make pre-tax contributions by payroll deduction, and the contributions are allocated to an account maintained on the participant’s behalf.

Northwestern provides non-taxable funds directly to eligible staff members’ accounts to assist in meeting a portion of their annual dependent care expenses.

For more information about eligibility requirements, visit www.northwestern.edu/hr/handbook/dependent-fsa.

Back-up Child Care Assistance
Northwestern provides reimbursement of up to $25 per event for a maximum of $150 each period from September 1 – August 31 directly to staff members to assist them in meeting a portion of their back-up child care expenses. These funds may be taxable. It is recommended that participating individuals consult with a tax advisor to determine any associated tax liability.

For more information, visit www.northwestern.edu/hr/handbook/backup-care.

Care.com
Staff members have free access to a database of thousands of babysitters, senior caregivers, pet sitters, housekeepers, and tutors. To take advantage of this membership, access the Care.com site through northwestern.com.

For more information, visit www.northwestern.edu/hr/handbook/finding-childcare.

Nanny Share Network
Work/Life & Family Resources assists Northwestern families with networking to look for a nanny share arrangement. For more information, visit www.northwestern.edu/hr/handbook/nannyshare or call Work/Life & Family Resources at 847-467-3631.

Lactation Rooms
Lactation Rooms are available at various locations across campus. For location and information about how to access, visit www.northwestern.edu/hr/handbook/lactation-rooms.

Break Time for Nursing Parents
The University provides “reasonable break time” for an employee to express breast milk for her nursing child. Employees who are breast feeding must be provided with a private place other than a bathroom where the employee can express breast milk.

For a list of Lactation Rooms visit www.northwestern.edu/hr/handbook/lactation-rooms. Both exempt and non-exempt staff will be compensated for the time they are expressing breast milk while at work.

For additional consultation, contact your Human Resources Business Partner. Additional resources may be found at www.northwestern.edu/hr/handbook/nursing-mothers.

For additional information, refer to Rest Periods on page 8.3.
Senior & Adult Care Program

Northwestern offers support and resources to staff and faculty who may be caring for an older adult relative. Through a program called Northwestern Senior Care Connections – managed by an outside firm specializing in senior care – staff, faculty, and their family members may access expert senior care advisors for assistance, advice, subsidized back-up care, and referrals. For more information, visit www.northwestern.edu/hr/handbook/elder-care.

Discounts, Facilities, and Services

» WildCARD Advantage Discounts
WildCARD is an official Northwestern photo identification card issued to new staff members by Auxiliary Support. A regular staff member, spouse, or domestic partner may also receive a card. Retirees of the University can retain active WildCARD privileges by submitting a retiree privileges form to Payroll in Human Resources. To obtain a copy of the request form, visit www.northwestern.edu/hr/handbook/retiree-privileges.

For more information, visit www.northwestern.edu/hr/handbook/wildcard.

» Discounted Fitness and Recreation Memberships
Regular staff members who work 18.75 or more hours per week and have a valid Northwestern University WildCARD are eligible to purchase a gym membership at a reduced rate.

For more information, visit www.northwestern.edu/hr/handbook/fitness.

» Campus and Intercampus Shuttle Service
Safety and Security manages transportation options for both the Chicago and Evanston campuses. These services include shuttle buses free to faculty, staff, and students that operate on or near both campuses and between the campuses.

For schedules and more information, visit www.shuttle.northwestern.edu.

» Parking
Parking permits for Northwestern parking lots in Evanston are issued for a fee by Safety and Security. For more information, visit www.northwestern.edu/hr/handbook/evanston-parking or call 847-491-3319.

University parking on the Chicago campus is limited. Permits are issued by Safety and Security to each school and to certain departments/units so that they can determine who qualifies for a permit. A fee is charged.

For more information, visit www.northwestern.edu/hr/handbook/chicago-parking or call 312-503-1103.

Parking fees are paid by payroll deduction on a pre-tax basis.

» University Library Privileges
Northwestern staff members are granted library borrowing privileges with their WildCARDs. For more information about the University Library, visit www.library.northwestern.edu or call 847-491-7658.

» Athletic, Cultural, and Recreational Opportunities
Northwestern offers many cultural and recreational opportunities to staff members. It is a member of the Big Ten Conference and is famous for the quality of its theater and music programs, which staff members may attend at modest cost.

For more information, visit planitpurple.northwestern.edu.
Northwestern University supports numerous social and professional organizations in which staff members are invited to participate.

Social and professional organizations in which staff members are invited to participate include but are not limited to:

- **Association for Higher Education Administrators’ Development at Northwestern University (AHEAD@NU)**
  - visit [www.northwestern.edu/ahead](http://www.northwestern.edu/ahead)
- **Association of Northwestern University Women (ANUW)**
  - visit [www.northwestern.edu/anuw](http://www.northwestern.edu/anuw)
- **Gay and Lesbian University Union**
  - visit [www.northwestern.edu/gluu](http://www.northwestern.edu/gluu)
- **Northwestern University Circle**
  - visit [www.northwestern.edu/university-circle](http://www.northwestern.edu/university-circle)
- **Northwestern University Research Administration Professionals (NURAP)**
  - visit [www.nurap.northwestern.edu](http://www.nurap.northwestern.edu)
- **Northwestern University Staff Advisory Council (NUSAC)**
  - visit [www.northwestern.edu/nusac](http://www.northwestern.edu/nusac)
- **Northwestern University Women’s Center**
  - visit [www.northwestern.edu/womenscenter](http://www.northwestern.edu/womenscenter)

### NUSAC

Chartered by Northwestern University’s president in 1973, NUSAC, the Northwestern University Staff Advisory Council, provides service to the University community by advising University leaders on the opinions, concerns, and experiences of its staff. This takes place in meetings with Human Resources and other University administrators. Members are regular full-time or part-time staff in good standing with two or more years of continuous service. Service on NUSAC is subject to supervisory approval. For more information, visit [www.northwestern.edu/nusac](http://www.northwestern.edu/nusac).
Benefits
Phone: 847-491-7513
www.northwestern.edu/hr/benefits

Compensation & Recognition
www.northwestern.edu/hr/compensation

Conflict of Interest
Phone: 847-467-4515
www.northwestern.edu/coi

HR Business Partners & Employee Relations
Phone: 847-491-7507 – Evanston
Phone: 312-503-8481 – Chicago
www.northwestern.edu/hr/consulting-and-er

HR Operations, Reporting & Analytics
Phone: 847-467-4800
www.northwestern.edu/myhr

Learning and Organization Development
Phone: 847-467-5081
www.northwestern.edu/hr/workplace-learning

Office of Equity
Phone: 847-491-7458
www.northwestern.edu/hr/equlopp-access

Vice President and Chief Human Resource Officer
Phone: 847-491-7505
www.northwestern.edu/hr

Payroll
Phone: 847-491-7362
www.northwestern.edu/hr/payroll

Time Entry and Reporting Support
Phone: 847-467-7606
www.northwestern.edu/hr/kronos

Work/Life & Family Resources
Phone: 847-467-1460
www.northwestern.edu/hr/work-life