

---

# 2012 FACULTY HANDBOOK



NORTHWESTERN  
UNIVERSITY

The information contained in this Faculty Handbook is current as of August 2012. Information concerning, but not limited to, such matters as the conditions of faculty employment, benefit plans, and University policies is subject to change from time to time. Notice of such changes will be promulgated to all members of the faculty in the University's internal newspaper, the Observer, and by memorandum distributed through campus mail or by electronic mail. Faculty members are encouraged to confirm that information in this edition of the Faculty Handbook is current by consulting the websites of the Office of the Provost or the Department of Human Resources, as appropriate. Many changes in policy, or announcements of new policy, are included on the website of the Office of the Provost; current benefit programs and policies are described in the Benefits Division section of the Human Resources website.

This handbook is available online at <http://www.northwestern.edu/provost/docs/faculty-handbook.pdf>.

This Faculty Handbook is a product of a cooperative effort between the elected Faculty Senate and the administrative officers of Northwestern University. In preparing this handbook, we have incorporated actions of the University Senate/Faculty Assembly and agreements between the administration and the General Faculty Committee/Faculty Senate. In addition, we have drawn upon widely accepted academic policy and practice as reflected in the recommendations of the American Association of University Professors and others.

We are pleased to be able to provide the faculty of Northwestern University with a handbook endorsed both by the administration and by the Faculty Senate.

Paul H. Arnston, Chair  
Faculty Senate

Daniel I. Linzer, Provost

This handbook constitutes a brief description of the rights and responsibilities of membership in the faculty of Northwestern University.

More complete treatments of many of the issues covered by this document are found in individual policy statements published by the University from time to time. The appendix to this handbook lists many of those statements and the offices from which they can be obtained. Faculty, like all other employees, are also expected to follow all policies and procedures promulgated by schools, departments, and other administrative offices. If policies and procedures of schools, departments, or other administrative offices are in conflict with information in this Faculty Handbook, the statements in this handbook take precedence.

## **Table of Contents**

### Academic Freedom

### The Faculty

#### Officers of Instruction

#### Organization of the Faculties

Voting Members

Powers

The Graduate School

School of Professional Studies

Summer Session

#### Faculty Governance

### Responsibilities of the Faculty

#### Teaching Responsibilities

Academic Integrity Violations

Advisory System

Students with Disabilities

Recommendations and Confidentiality

Personal Problems of Students

Student Handbooks

Access to Scheduled Classes

#### Scholarly Activities of the Faculty

Proposals to External Agencies

Human and Animal Subjects

Research Safety

Patents and Inventions

Integrity in Research

Conflicts of Commitment, Conflicts of Interest

### Conditions of Faculty Service

#### Appointments

Joint Budgetary Appointments

#### Tenure

#### Promotion and Tenure Procedures

Assistant Professors

Associate Professors

Professors

#### Evaluation

#### Notice of Release

#### Appeal Procedures

#### Faculty Grievances

[Petition or Report to the Board of Trustees](#)

[Faculty Records](#)

[Leaves of Absence](#)

Personal Leaves of Absence

Academic Leaves of Absence

Procedures

[Summer Medical Leaves for Untenured Tenure-Track Faculty](#)

[Release from Teaching for Tenure-Track Faculty](#)

[Notice of Resignation](#)

[Retirement](#)

[Indemnification](#)

[Eligibility for and Privileges of Emeritus Faculty](#)

[Travel Allowances](#)

[Salary Payments](#)

[University Disciplinary Procedures](#)

[Imposition of Minor Sanctions](#)

[Termination or Suspension of Faculty for Cause](#)

[Procedures for Termination or Suspension of a Faculty Member for Cause and for Appeal of Minor Sanctions](#)

[Faculty Benefits](#)

[Retirement and Other Benefit Programs](#)

[Retirement Savings Plan](#)

[Flexible Spending Account \(FSA\)](#)

[Social Security](#)

[Medical Leave](#)

[Leaves for Childbearing, Adoption and Childrearing](#)

[Medical Leave/Fitness-for-Duty](#)

[Insurance](#)

[University-Financed Plans](#)

Group Term Life Insurance

Travel Accident Life Insurance

Workers' Compensation

[Contributory Plans](#)

Accidental Death & Dismemberment (AD&D) Insurance

Health Insurance

Dental Insurance

Supplemental Term Life Insurance

Long-Term Disability (Salary Continuance)

[Other Benefits](#)

[Housing Assistance](#)

[Reduced Tuition, Portable Tuition, and Educational Assistance Plans](#)

[Child-Care Referral Service](#)  
[Roycemore School Tuition Discount](#)  
[North Shore Country Day School Tuition Discount](#)

## [Appendix](#)

[Policy on Discrimination and Harassment](#)

[Policy on Sexual Harassment](#)

[Statement on a Drug-Free Workplace](#)

[Trustee Statement on Disruption](#)

[Sources for Selected Policy Statements and Other Resources Referenced in This Handbook](#)

[Acceptable Use of Electronic Resources](#)

[Copyright Policy](#)

[Ethics and Compliance](#)

[Faculty Conflict of Commitment and Conflict of Interest](#)

[Faculty Housing Assistance Program](#)

[Guidelines for Investigators in Scientific Research](#)

[Human Resources Policies and Procedures](#)

[Integrity in Research and Procedures for Reviewing Alleged Misconduct](#)

[Patent and Invention Policy](#)

[Policy Statement on Student Rights and Responsibilities](#)

[Principles Regarding Academic Integrity](#)

[Relocation Resources](#)

[Standards for Business Conduct](#)

[Student Handbooks](#)

[Summary Plan Descriptions of University Benefits Plans](#)

[Trademark Licensing Policy](#)

[Travel Policies and Procedures](#)

[What You Should Know about Sexual Harassment: Policy and Guidelines for the Northwestern Community](#)

[Glossary of Faculty Appointments](#)

# Faculty Handbook 2012

## Academic Freedom

Northwestern University subscribes to the principles of academic freedom stated by the American Association of University Professors (AAUP) as follows:

- (1) The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of [his/her] other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- (2) The teacher is entitled to freedom in the classroom in discussing [his/her] subject, but [he/she] should be careful not to introduce into [his/her] teaching controversial matter which has no relation to [his/her] subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- (3) The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When [he/she] speaks or writes as a citizen, [he/she] should be free from institutional censorship or discipline, but [his/her] special position in the community imposes special obligations. As a [person] of learning and an educational officer, [he/she] should remember that the public may judge [his/her] profession and [his/her] institution by [his/her] utterances. Hence [he/she] should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that [he/she] is not an institutional [spokesperson].

## The Faculty

### *Officers of Instruction*

Appointments and promotions of officers of instruction (except for students serving as teaching assistants) are made by the Board of Trustees upon nomination by the president of the University, after consultation with the provost and the appropriate school deans. (For a complete listing of faculty categories see the Glossary of Faculty Appointments at the end of this handbook.)

The officers of instruction rank as follows: professors (including visiting and adjunct professors and professors in residence), associate professors (including visiting and adjunct associate professors and associate professors in residence), assistant professors (including visiting and adjunct assistant professors and assistant professors in residence), lecturers (including professors of instruction, distinguished senior lecturers, senior lecturers and lecturers), instructors and associates. A person holding a rank designated as clinical is considered to be an officer of instruction.

Students serving as teaching assistants are officers of instruction but are not considered faculty members for the purposes of this handbook. Clinical associates (in the Medical School), on the other hand, are members of the faculty, but are not officers of instruction, as they are not

engaged in either the teaching or research activities of the University. Likewise, persons holding faculty-level research appointments (appointed by the vice president for research) are not officers of instruction as their efforts are directed exclusively to research and publication. Further information governing faculty-level research appointments is available from the Office for Research (<http://www.research.northwestern.edu/policies/research-appointments/research-faculty.html>).

### ***Organization of the Faculties***

The faculty of a college or school consists of the president of the University, the provost, the dean of the school, and all of the school's officers of instruction (with the exception of students serving as teaching assistants).

The president of the University serves as the presiding officer of each faculty and casts a deciding vote in case of a tie. In the absence of the president, the dean of the school presides at faculty meetings.

### **Voting Members**

The president of the University, the provost, and the dean of the school and all professors, associate professors, and assistant professors (except visiting, adjunct, and contributed service faculty members) are voting members of the faculty of the school in which they hold appointment. Each faculty sets the conditions under which professors emeritus, associates, instructors, lecturers (including professors of instruction, distinguished senior lecturers and senior lecturers) and persons holding a rank designated as clinical may vote, but no such person may vote before completing one year of service as a member of the faculty. Other officers of instruction, including contributed service faculty, but not students serving as teaching assistants, are faculty members but do not have voting privileges. Secondary, non-budgetary appointments generally do not confer voting rights in the secondary department, though it is up to departments to set uniform rules for voting.

### **Powers**

Each faculty (excepting that of the School of Professional Studies) has the power to determine how it exercises the powers committed to it under University Statutes and this Handbook, including the timing, agenda and conduct of its meetings. Subject to the approval of the Board of Trustees, each faculty determines the requirements for admission of students to its school, prescribes and defines the course of study, determines the requirements for degrees, and recommends candidates for those degrees. Each faculty has power to establish rules and regulations for the academic discipline of students. The University itself oversees the rules and regulations for the nonacademic discipline of students.

### **The Graduate School**

The Graduate School (TGS) is charged with supervision of graduate work leading to advanced academic degrees, offering the Master of Arts (MA), Master of Fine Arts (MFA), Master of Public Health (MPH), Master of Science (MS) and Doctor of Philosophy (PhD) degrees. The Graduate Faculty is composed of persons of demonstrated ability and continuing interest in research whose academic duties normally involve instruction and supervision of graduate students. Membership in The Graduate School faculty is granted automatically to persons who

hold the academic rank of assistant professor or above on the tenure track. Moreover, term appointments of four years (renewable) to the Graduate Faculty for non-tenure line members of our academic community may be requested by school deans and approved by the Dean of The Graduate School. The Graduate Faculty determines the conditions for admission to The Graduate School, for admission to candidacy for the degrees of doctor of philosophy, and for awarding of master's and doctoral degrees. The Graduate Faculty also recommends for these degrees students that have satisfied the appropriate requirements.

### School of Professional Studies

The faculty of the School of Professional Studies includes all persons who teach courses in that school during a given academic year and have been designated as officers of instruction in another school of the University or appointed to a faculty rank by the School of Professional Studies. The faculty of each school is responsible for establishing degree requirements for undergraduate programs under the academic charge of the School of Professional Studies. In consultation with an appointed Faculty Council, the dean of the School of Professional Studies coordinates the policies of the various schools and the educational offerings for study in the school, admitting and registering students and directing their activities.

### Summer Session

The School of Professional Studies coordinates the offering of undergraduate courses during the summer session. Persons teaching during the summer session are appointed to serve as officers of instruction in one of the schools of the University. In consultation with an appointed Faculty Council, the dean of the School of Professional Studies oversees the activities of the Summer Session.

### ***Faculty Governance***

The 2010-2011 Northwestern University Shared Governance initiative, approved by faculty, administration and trustees, created two new bodies: a Faculty Assembly, comprising all regular, full-time faculty members in both tenure-track and non-tenure track positions, and a Faculty Senate comprising tenured and tenure-track members elected by every university department. Non-tenure track full time faculty are eligible for election to the Senate after one year of service. The Senate is empowered to consider, make recommendations, and pass resolutions concerning matters of general university interest including all educational and research endeavors, policies governing faculty hiring, tenure, promotion and appeals, and campus life. Additional information concerning Shared Governance, including Assembly and Senate Statutes and Bylaws is available online (see <http://www.northwestern.edu/faculty-senate/about/bylaws.html>)

## **Responsibilities of the Faculty**

The faculty of the University is responsible for transmitting accumulated knowledge. Faculty whose appointments entail research expectations are also responsible for discovering new knowledge. In addition, faculty members are responsible for participating in the business of the University, as well as its schools and departments, through committee service, attendance at faculty meetings and other customary ways.

Faculty are members of a community including students, staff, and faculty colleagues. Members of the Northwestern community are expected to deal with each other in a civil manner. While faculty enjoy freedom from institutional censorship in their scholarly pursuits and teaching activities, such freedom carries with it a responsibility to be accurate in speech and writing and to maintain civility, even in cases of disagreement and heated argument.

The University makes electronic resources available to support the University's educational mission and general administration. It is the responsibility of all faculty to be familiar with and to adhere to University policies on the use of technology, including policies on the use of central network and computing resources and on the use and duplication of computer software. Relevant policies governing these activities are available on the Northwestern University Information Technology (NUIT) website (<http://www.it.northwestern.edu/policies/index.html>).

The University recognizes that teaching responsibilities take a variety of forms, including but not limited to fostering students' performance or skills in the studio or laboratory, tutoring undergraduate students, supervising graduate students and clinical trainees, and developing courses and curricula. Through the work of the Searle Center for Advancing Learning and Teaching, the University seeks to support effective and innovative teaching. Faculty are encouraged to participate in the activities and avail themselves of the services of the Searle Center.

Because of the many scholarly and professional enterprises represented at Northwestern, the University does not provide a common standard for faculty productivity. Faculty members are responsible for being active and productive in the creative, artistic, scholarly, and research pursuits appropriate to their respective fields. Descriptions of expectations of faculty productivity should be provided by the school in concert with the department of the faculty member. The University is responsible for providing adequate facilities and resources to support the scholarly efforts of its faculty and students. The University recognizes that faculty time devoted to research, scholarship, and artistic endeavors is of vital importance in promoting the University's central goals of excellent scholarship, stimulating teaching, and a vigorous, creative academic community.

Throughout a faculty member's career at Northwestern, the proportion of effort devoted to teaching, research and administrative activities may change. While it is the duty of the faculty to remain engaged fully and productively in these various pursuits, it is the responsibility of the departments and schools to monitor their activities and to assist faculty in redistributing their efforts as appropriate.

As members of the Northwestern community, faculty may encounter individuals (students, faculty, staff, visitors, etc.) whose behaviors raise concerns about their health, their safety or the safety of others or that are highly disruptive, aggressive or violent. Such individuals may make explicit threats of violence against another member of the Northwestern community or express overtly suicidal thoughts. Faculty members who encounter such individuals must report their concerns promptly to the dean's office of the school to which they belong or to the Office of the Provost or, if the risk of danger appears imminent, to University Police by calling 911.

### ***Teaching Responsibilities***

School deans, department chairs, and program directors assign teaching responsibilities and courses to each faculty member with consideration for a faculty member's engagement in research, service and other professional activities.

Before student registration, faculty members should make available to students a written description of each course they will teach, in accordance with the policy of the school. Every member of the faculty is responsible for ordering books and other required teaching materials in advance of class, meeting classes at scheduled times, honoring reading and examination periods, and evaluating students' work, including providing adequate and timely feedback to students and submitting grades by the stated deadlines. Faculty members are responsible for informing students in their classes of the criteria and methods to be employed in determining final course grades. Faculty should report major academic problems (poor performance, frequent absences, etc.) to the Office of the Dean of the school in which the student is enrolled.

In case of illness, emergency, or other pressing reason necessitating absence while the University is in session, faculty members should observe the policies of their department or school. Affected students should be informed promptly.

Faculty members should hold regular office hours, although in exceptional circumstances faculty members may, instead, with the approval of the department chair, offer students an alternative, easily accessible, regular method for communicating outside class. For students whose schedules conflict with the instructor's posted office hours, opportunity for consultation by appointment should be provided. Graded examinations and papers should be provided for student inspection and discussion with the instructor. The faculty member is responsible for all work carried out by teaching assistants. During the term, tests and quizzes should be graded and returned promptly. Reasonable opportunity shall be provided for students to review final examinations and papers with their instructors during a period of at least two weeks at the beginning of the subsequent term. Instructors normally retain students' papers and answers to examination questions during this period. In order to verify grades recorded by the registrar and to answer possible inquiries, instructors should retain their grade books for at least one year.

When reproducing materials for class, faculty should take care to secure the author or copyright owner's permission in cases where reproduction may exceed the "fair use" permitted under copyright laws.

### **Academic Integrity Violations**

It is the responsibility of each faculty member to maintain standards of student academic honesty in accordance with the University's "Academic Integrity: A Basic Guide" and school policy (<http://www.northwestern.edu/uacc/>). Individual cases of alleged student academic dishonesty are handled by the Office of the Dean of the appropriate school. Each faculty member is responsible for promptly reporting cases of suspected academic dishonesty to the Office of the Dean of the school in which the course is offered. Each school has available in the Office of the Dean a written statement of policy assuring fair consideration of students in cases of alleged academic dishonesty, specified hearing procedures, possible sanctions, and routes for appeal of decisions.

### Advisory System

All Northwestern faculty have a responsibility to advise students. Faculty should make themselves available on a regular, and publicized basis for consultation with students and inform themselves concerning academic and procedural matters that they may be asked to discuss with students seeking their counsel. In addition to general advising duties, some faculty fulfill programmatic advising functions. All new undergraduate students are assigned to faculty advisers, who are expected to assist them in planning their academic work and in dealing with problems related to that work; since advisers are frequently the students' initial personal contact with the University faculty, such meetings are especially important. Students beyond their first year also should have access to faculty advising. Often this takes the form of having a designated adviser in the student's chosen field of study. Advisers should acquaint themselves as fully as possible with their advisees' academic interests and achievements in order to give them appropriate guidance in planning their academic programs. Insofar as is practical, advisers are assigned to students within their particular discipline.

Departments are responsible for making arrangements for academic advising during registration and for posting faculty office hours for advising during those periods.

### AccessibleNU (formerly Services for Students with Disabilities)

It is University policy to ensure that no qualified student with a disability is denied the benefits of, excluded from participation in, or otherwise subjected to discrimination in any University program or activity. In response to a request made by a qualified student with a disability, the University will arrange, at no cost to the student, for the provision of educational auxiliary aids, including sign language interpreters, determined by the University to be necessary to afford such student the opportunity for full participation in University programs. Faculty members with questions regarding the implementation of this policy should contact the director of AccessibleNU (see <http://www.northwestern.edu/accessiblenu>).

### Recommendations and Confidentiality

Faculty members are frequently asked to provide recommendations for students. Faculty should honor any written third-party request for information or recommendation to which the affected student has consented in writing. In the absence of such written consent, the Family Educational Rights and Privacy Act (FERPA) permits faculty members to provide only very limited information such as is included in the published University directory (for further information see [http://www.registrar.northwestern.edu/academic\\_records/FERPA\\_policy.html](http://www.registrar.northwestern.edu/academic_records/FERPA_policy.html)). Faculty who have questions about the propriety of providing information or recommendations or who receive any request for information in the form of a summons, subpoena, or other official document should immediately consult the Office of General Counsel.

### Personal Problems of Students

Students may come to faculty members when they are experiencing personal problems. Faculty members may be able to assist these students by referring them to offices that can assist them directly. If the faculty member is unsure where to refer a student or needs direct assistance in dealing with a student problem, he/she should contact the office of the vice president for student affairs for assistance and advice. Alternatively, faculty can refer students directly to Counseling

and Psychological Services (CAPS). Additional information is available online ([www.northwestern.edu/counseling/faculty-staff/index.html](http://www.northwestern.edu/counseling/faculty-staff/index.html)). Among students with personal problems some may raise additional concerns that they represent a threat to themselves or others. Faculty who encounter such students must report their concerns promptly to the dean's office of the school to which they belong or to the Office of the Provost or, if the risk of danger appears imminent, to University Police by calling 911.

### Student Handbooks

In addition to detailed information on academic and general regulations, student handbooks contain complete texts of several documents, such as the "Policy Statement on Student Rights and Responsibilities," and descriptions of the University Hearing and Appeals System, the Sexual Assault Hearing and Appeals System, and the University's policy on sexual harassment. Most schools also issue handbooks for students relating to academic policies of the schools. Faculty members are urged to become familiar with relevant handbooks, available to faculty through school and department offices.

### Access to Scheduled Classes

Scheduled University classes normally are open only to students who have formally registered for the classes in the customary manner. The instructor responsible for a class may give permission to attend to a person not duly registered for the class and may require unauthorized persons to leave the classroom. The instructor may establish limits concerning the extent to which class proceedings may be recorded and may permit or prohibit the use of electronic recording devices at his/her discretion.

### ***Scholarly Activities of the Faculty***

#### Proposals to External Agencies

The University strongly urges faculty members to seek external support for their research. The Office of Sponsored Research (OSR) and Accounting Services for Research and Sponsored Programs (ASRSP) handle administrative details and provide assistance. OSR facilitates research by identifying funding sources, assisting in proposal development, reviewing and endorsing proposals, negotiating agreements, accepting and appropriating awards, interpreting guidelines, and promoting compliance with agency and University policies. ASRSP is responsible for effort reporting, invoicing, coordinating audits, and preparing financial reports.

Proposals originate with an individual faculty member or a group of investigators. Once completed, a proposal must be reviewed by the investigator's department chair and dean (or center director) for compliance with University policies and for availability of resources. Following endorsement by the department chair and dean (or center director), the proposal is forwarded to OSR, where it is recorded, reviewed for adherence to University and agency requirements and University budget regulations, signed on behalf of the University, and sent to the sponsor.

OSR provides pre-award and post-award service to investigators. Members of the staff are available for consultation on all matters concerning the external funding of sponsored programs.

The Policy and Guidelines for Investigators in Scientific Research, available online (<http://www.research.northwestern.edu/information-for/faculty-researchers/index.html>), is a compilation of policies, guidelines, and procedures governing the conduct and administration of research at the University, including submission of proposals, administration of awards, and compliance with prevailing regulations. Additional information, forms and a listing of research-relevant University policies may be found on the website for the Office of the Vice President for Research (<http://www.research.northwestern.edu/policies/index.html>).

Faculty members may not approach foundations, corporations, or individual donors for support without prior review and approval of such contacts by the school dean.

### Human and Animal Subjects

All biomedical and behavioral research, clinical trials, teaching, and related activities involving human or animal subjects conducted at or sponsored by the University, regardless of the source of support, must be reviewed and approved by the University's Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC), as appropriate.

All research involving human subjects must either be reviewed and approved by IRB or be certified by IRB as exempt from review before any research is undertaken. IRB approval is required for research utilizing questionnaires, interviews, and other means of gathering attitudes, opinions, and views, as well as research involving direct biological or behavioral interventions. Studies involving retrospective chart review, database analysis, prospective collection of biological specimens, and collection of blood samples must also be reviewed by IRB before the study is conducted.

Faculty members are reminded that surveys or questionnaires distributed to students in connection with faculty research or teaching activities may require IRB review; the IRB should be consulted before any such instruments are distributed. When students under faculty supervision are themselves engaged in research involving human subjects that requires IRB approval, the faculty member is responsible for ensuring that the students are informed of the need for IRB review.

Further information regarding the use of human subjects can be obtained from the Institutional Review Board website: <http://irb.northwestern.edu/>

In the case of animal subjects, IACUC determines that the animals are used in a humane manner, proper anesthesia procedures and euthanasia methods are observed, and the proposed projects are in accordance with federal, state, and local regulations and laws. In addition, IACUC inspects animal facilities and investigator laboratories and reports its findings to the vice president for research (VPR). IACUC also makes recommendations to the VPR regarding any aspect of the institution's animal program, facilities, or personnel training.

Further information may be obtained from the Institutional Animal Care and Use Committee website: <http://www.research.northwestern.edu/oprs/acuc/>

### Research Safety

The Office of Research Safety (ORS) fosters safety awareness and assists faculty, staff, and students in achieving a safe workplace in which to pursue research, teaching, and clinical activities. The Office also educates the University community regarding compliance with regulations related to health, safety, and protection of the environment, as well as other federal, state, and local regulations. In carrying out this mission, ORS performs a basic risk management function in facilitating protection of University and individual interests against loss from accident, civil or criminal penalties, and litigation. ORS develops, implements, and coordinates the radiation, chemical, and biological safety programs for all research laboratories and all other areas of the University where hazardous chemicals and human blood or other potentially infectious human materials are used. Additional information may be found on the ORS website (<http://www.research.northwestern.edu/ors/>).

### Patents and Inventions

Patentable discoveries or inventions may result from research or educational activities performed at the University. Northwestern wants to ensure that all ideas and discoveries are properly disclosed and used for the greatest possible public benefit. The University also wants to protect the patent rights of the University faculty, staff, and students, as well as those of the institution itself, and to abide by any patent regulations of agencies providing funds for sponsored programs. All faculty members are subject to Northwestern University's policies on intellectual property, including the "Patent and Invention Policy," (see <http://www.invo.northwestern.edu/policies/patent-invention-policy-current>) which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. If the University decides to protect the invention through patent, and it is subsequently licensed, a portion of the net proceeds will be made available to the inventor, as well as to his/her department and school or center, as described in the "Patent and Invention Policy." Additional information is available from the Innovation and New Ventures Office website (<http://www.invo.northwestern.edu/>).

### Integrity in Research

It is the policy of the University to require high ethical standards in research; to inquire into and, if necessary, investigate and resolve promptly and fairly all instances of alleged misconduct; and to comply in a timely manner with agency requirements for reporting on cases of possible misconduct when sponsored project funds are involved. Further details are found in "Guidelines for Investigators in Scientific Research" and "Procedures for Reviewing Alleged Research Misconduct," available from the website of the Office of the Vice President for Research (<http://www.research.northwestern.edu/ori/policies/index.html>).

### Conflicts of Commitment, Conflicts of Interest

Faculty holding full-time appointments may not hold full-time appointments of any type in any other organization, nor may they hold faculty appointments at other educational institutions without written approval from their dean. Part-time and contributed-service faculty may hold multiple appointments but must disclose any other educational appointments at the time of their initial appointment or request approval from the dean prior to accepting such appointments.

Professional activities conducted by faculty members outside the University are a privilege, not a right, and must not interfere with a faculty member's University responsibilities. Faculty may be permitted up to twenty percent (20%) of professional effort for activities beyond the scope of their primary faculty duties involving teaching and research. Effort devoted to administrative activities, in contrast, is not associated with any privilege to engage in outside activities and, consequently, faculty with substantial effort devoted to administration have less time potentially available for extramural activities. Extent of outside activities permitted clinical faculty is determined by the entity (NMFF, affiliated institutions, etc.) through which the faculty member carries out his/her clinical duties. Professional activities beyond the scope of a faculty member's primary duties are subject to approval by their department chair and dean.

In no case may such activities be carried on either directly or by implication in the name of the University without the consent of the president of the University, who shall from time to time report such arrangements to the Board of Trustees. Consent should be requested through the appropriate dean's office. Faculty members shall not use the name Northwestern University in connection with outside activities in a manner that implies the University's sanction or support, unless the required consent has been obtained. Further details are found in the University's "Policy on Conflict of Interest and Conflict of Commitment," available at the website of the Conflict of Interest Office (<http://www.northwestern.edu/coi/>). Failure to comply with this policy or to disclose outside activities or interests may lead to disciplinary sanctions up to and including termination of faculty appointment.

When responding to inquiries in their fields of professional competence or acting as private citizens on issues of general public interest, faculty members may use their academic titles for purposes of identification but should make it clear that they speak, write, and act for themselves and not for the institution. Under Internal Revenue Service regulations applying to tax-exempt organizations, faculty members may not use University facilities for activities connected with political campaigns.

Any use of University symbols and seals must follow the "Northwestern University Trademark Licensing Policy," available from University Services and its website ([http://www.northwestern.edu/uservices/printing\\_trademark/trademark\\_licensing/licensing\\_policy.html](http://www.northwestern.edu/uservices/printing_trademark/trademark_licensing/licensing_policy.html)).

## **Conditions of Faculty Service**

Northwestern University is an equal opportunity employer. The University is engaged in a program of affirmative action that seeks to ensure adequate representation of minorities, women, qualified veterans, and individuals with disabilities among both its academic and nonacademic employees. All members of the faculty and staff are expected to cooperate in ensuring the success of this effort.

The Office of Human Resources is responsible for the recruitment, hiring, promotion, salary adjustment, and termination of staff employees. Policies and procedures concerning staff are specified in the University's Human Resources Policies and Procedures Manual and Staff Handbook, available in each departmental office and on the office's website

(<http://www.northwestern.edu/hr/>). Faculty and staff are also expected to be familiar with and act in accordance with the University's Standards for Business Conduct (<http://policies.northwestern.edu/standards/index.html>). Faculty are also expected to comply with the University's policies and procedures that are published and available to the faculty, as well as with federal and state regulatory requirements.

### ***Appointments***

Written procedures and regulations governing appointments for each school are available from the Office of the Dean of the school. Letters offering appointment to the faculty are official only when written by the dean or associate dean of the school. All offers are subject to the prospective faculty member's demonstrating employment eligibility as required by state and federal law. When necessary, and without providing legal counsel, the International Office assists prospective faculty members in obtaining proper immigration status permitting work in the United States. It is in all cases the faculty member's responsibility to maintain proper immigration status and work authorization in the United States. Unless the faculty member's letter of appointment specifies that the appointment is not tenure track, the ranks of professor, associate professor, and assistant professor, are considered to be tenureline faculty ranks, and full-time service in these ranks is counted as part of the probationary period during which a decision about the granting of tenure is made.

The ranks of (associate) professor emeritus, professor of instruction, distinguished senior lecturer, senior lecturer, and lecturer and any position denominated as visiting, adjunct, clinical, contributed service, in-residence or part-time are nontenured positions. Service in any of these ranks may not be counted as part of the probationary period. These nontenured appointments in certain schools of the University perform various specialized functions and are generally considered as annual appointments; appointments as professor of instruction, distinguished senior lecturer, senior lecturer, lecturer or clinical or adjunct (assistant, associate, or full) professor may be multiyear appointments. Such appointments are made only in accordance with established procedures formulated by the faculty of the school concerned. Moreover, the special conditions of such appointments must be explicitly stated in advance.

### **Joint Budgetary Appointments**

Regular faculty appointments may be held simultaneously in more than one department. If both departments provide salary support, the appointment may be referred to as a joint budgetary appointment. The department providing the major portion of salary support is the primary department; if two departments contribute equally, one must still be designated as "primary". The "primary" department takes responsibility in reviewing the faculty member for annual salary changes, reappointment or award for tenure; the second department plays an advisory role and submits its recommendations to the "primary" department in a timely manner. In circumstances in which a faculty member is shared equally by two departments, the faculty member may choose which department should serve as primary, a choice that may be changed subsequently with the approval of the respective chairs and deans. The initial selection, however, should be specified clearly in the faculty member's letter of appointment. For faculty with joint budgetary appointments faculty rank and tenure status must be the same in all participating departments.

## ***Tenure***

Tenure signifies an appointment for an indefinite period. Service as full-time, tenureline faculty in the ranks of instructor (except in the Medical School), assistant professor and associate professor is counted as part of the probationary period, by the end of which a decision about the granting of tenure is made according to the procedures described below. “Clinical” appointments, appointments on “the clinical track,” and appointments in the Medical School on the “clinical scholar” track are nontenured appointments.

Except in the Medical School, where the probationary period may be as long as nine years, decisions regarding tenure at Northwestern are generally made in the sixth year of full-time paid service in a tenureline faculty rank. Following the review of the faculty member’s candidacy for tenure, the faculty member is notified either that tenure has been granted or that a decision has been made not to grant tenure. The academic year following the tenure review is either the faculty member’s first year with tenure or the terminal year (non-tenure eligible) on the faculty. Neither service as a visiting faculty member at Northwestern nor service at another institution prior to appointment at Northwestern is counted as part of the probationary period; in some cases, however, the probationary period at Northwestern may be abbreviated in consideration of previous service at another institution.

Tenure-track faculty members with budgetary appointments in more than one school should be provided by the deans of those schools with written statements setting forth the process by which they will be evaluated for promotion and/or tenure.

Before taking leaves of absence, faculty members may petition in writing that the leave time not count as part of the probationary period; this request may be made for such reasons as public or private service outside Northwestern University, or for personal reasons such as childbearing, adoption, child rearing, personal or family emergencies, or illness. The University determines whether the leave time counts as part of the probationary period. (See Leaves of Absence and Medical Leave). Faculty members in doubt as to the status of their tenure, or as to the details concerning the timing of the decision on their tenure, should ask their deans or the Office of the Provost.

Independent of a faculty member’s taking a leave of absence, Northwestern will permit faculty members to request extensions of their probationary period in cases where circumstances have arisen to interfere substantially with the research and/or other projects the faculty member intends to submit as part of his/her tenure review. Such circumstances may include parental responsibilities relating to the birth, adoption, or rearing of a child; personal or family emergencies, for example, chronic illness of the faculty member or a member of her/his immediate family; or problems beyond the faculty member’s control relating to his/her research or scholarly activities. While the decision on each request will depend on the specific circumstances, requests to stop the tenure clock for a one-year period for circumstances relating to the birth, adoption, and/or rearing of a dependent child will be approved, subject to a limit of two one-year tenure clock extensions, regardless of the number of children. All requests for an extension of the probationary period must be made by the faculty member in writing and be submitted before the beginning of the final year of the probationary appointment. Procedures for requesting such an extension are set forth in the University’s “Policy on Extending the

Probationary Period,” available from the Office of the Provost (<http://www.northwestern.edu/provost/policies/statements/extendprob.html>).

Some persons in programs such as the Center for Public Safety, the Department of Athletics and Recreation, and the Reserve Officer Training Corps and certain administrators elsewhere in the University may be given courtesy faculty appointments that are coterminous with, and secondary to, their primary administrative appointments and do not lead to tenure. In most matters, administrators holding these coterminous appointments are covered by the provisions for exempt personnel in the Staff Handbook.

### ***Promotion and Tenure Procedures***

Although procedures concerning promotion and tenure vary somewhat from school to school, the University’s goal is to ensure that faculty approved for promotion and/or tenure have met the highest standards with respect to professional achievement in the areas of scholarship/creative work and teaching. (See Policy on Tenure and Promotion Standards and Procedures, <http://www.northwestern.edu/provost/policies/statements/tenure.html>). Procedures governing promotion and tenure review for each school are available in written form from the Office of the Dean of the school. In all cases, promotion and tenure procedures call for faculty committee evaluation and recommendation, followed (in cases where promotion or tenure is recommended) by a recommendation by the dean of the school to the provost, and thence to the Board of Trustees. The individual’s record is carefully considered with regard to teaching, research accomplishments and potential, service, and the relative quality of his/her academic and professional achievements as a whole. A negative decision at any level is subject to appeal within the procedures provided by the University. A faculty member may request to be considered for tenure at any time, but the consideration for tenure takes place no later than during the final year of the probationary period. Should a faculty member request review for tenure earlier than required and not be approved for the award of tenure, the faculty member may re-submit his/her request a second time, but no later than the final year of the probationary period

### Assistant Professors

Though appointment lengths may vary, depending upon a faculty member’s prior experience, tenureline assistant professors are normally appointed for a three-year term. The appointment may be renewed for a second three-year term (and for a third three-year term at the Medical School). A decision regarding continued service as an assistant professor at the University is made no later than before the end of the individual’s third year of full-time service. Teaching records, publication records, and service all factor into this decision.

### Associate Professors

Associate professors with less than six years of service at Northwestern may or may not be tenured. A decision regarding tenure is made before the expiration of six years of full-time service in all tenureline faculty ranks, except at the Medical School where the decision on tenure must be made before the end of nine years of full-time service.

### Professors

Professors with tenure have appointments of indefinite duration. Professors without tenure are on term appointments specified at the time of the appointment.

### ***Evaluation***

The substance of any evaluation initiated by a department chair or dean and conducted by a standing or ad hoc faculty committee, department chair, dean, or central administrator of a faculty member's performance in teaching, research, or service will be made available to the faculty member upon request. This shall include evaluations for purposes of setting salaries, granting promotion and tenure, reassigning duties, and reassigning laboratory space or other research facilities. At the request of any faculty member, the dean or department chair will meet with him/her to discuss informally the content of such evaluations. Untenured faculty members and their department chairs are encouraged to seek such meetings annually.

Should such an evaluation indicate that the faculty member is failing to meet minimum expectations with respect to teaching and/or research, the dean or department chair will meet with the faculty member to discuss corrective action. This may include, but is not limited to, academic leave to further career development (see Academic Leaves of Absence below) or medical evaluation to identify remediable factors contributing to unsatisfactory performance (see Medical Leave below).

Faculty members are subject to dismissal by the Board of Trustees for grave misconduct, neglect of duty or incapacity. (See University Disciplinary Procedures, page 26.)

### ***Notice of Release***

If a faculty member without tenure in a regular faculty rank (as defined above in the section on Tenure) is to be released at the expiration of his/her appointment, written notice of such intended release is given a year in advance of the expiration of the appointment, except in the case of one-year appointments.

### ***Appeal Procedures***

Faculty members will be notified of decisions on reappointment, promotion, or tenure. If the decision is negative, the faculty member may request reasons for the decision and a meeting with the chair or dean at his/her request in a timely fashion. The dean (or his/her designee) will supply written reasons for the nonrenewal of appointment or denial of promotion or tenure. The faculty member denied reappointment or tenure may believe that there has been inadequate consideration of his/her case; a violation of academic freedom in the decision process; or discrimination on a basis not demonstrably related to the faculty member's performance, including but not limited to race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, or veteran status. In such a case, the faculty member may, within 60 days from the date notification of the decision is given, file a written appeal with the University Faculty Reappointment, Promotion, Tenure, and Dismissal Appeals Panel (hereafter referred to as the Faculty Appeals Panel); the grounds for the appeal should be stated with reasonable specificity. The faculty member must at the same time send a copy of the appeal to the school dean and the provost. The Faculty Appeals Panel conducts its proceedings in accordance with guidelines available from the Office of the Provost website: ([http://www.northwestern.edu/provost/docs/2004\\_ufrptdap\\_guidelines.pdf](http://www.northwestern.edu/provost/docs/2004_ufrptdap_guidelines.pdf)).

Upon receiving notification of an appeal, the provost or the dean will defer implementation of his/her decision on the matter until after receipt of the recommendation of the Faculty Appeals Panel. If, following review of the Faculty Appeals Panel recommendation, the administration affirms the original decision, the year specified as the terminal year of the appointment will remain the terminal year. Faculty denied promotion or the award of tenure following review of their appeal by the Faculty Appeals Panel may petition the Board of Trustees. The Board will consider whether or not the faculty member's appeal received due process, not whether the faculty member merits the promotion or award of tenure. Appointments to positions such as program head, department chair, etc., are administrative appointments, and decisions regarding such appointments are not appealable to the Faculty Appeals Panel.

### ***Faculty Grievances***

Faculty members with grievances unrelated to reappointment, promotion, or tenure should raise their grievance with their department chair or the administrator responsible for that University unit. If discussion does not lead to an acceptable resolution, the faculty member should bring the grievance to the attention of the appropriate dean, associate dean, or other administrative head, who should meet with the faculty member and address the matter within a reasonable time. If the faculty member is still unsatisfied, he/she should raise the grievance with the provost or with the vice president to whom that unit reports, who should respond promptly.

In AY2009-10 at the request of the General Faculty Committee (precursor to the Faculty Senate) the University agreed to establish a Faculty Ombudsman Program to receive, advise and assist faculty with grievances, misunderstandings or concerns (<http://www.northwestern.edu/faculty-senate/resources/ombudsman-program.html>). While the ombudspersons are not empowered to address the complaints themselves, they are intended to provide advice, information and referral to University personnel or bodies that are. Since ombudspersons are to treat any information provided by faculty as confidential, communication with an ombudsperson on any matter does not constitute formal notice to the University.

Faculty members who desire to appeal disciplinary actions imposed by the administration should refer to University Disciplinary Procedures (see page 26).

### ***Petition or Report to the Board of Trustees***

A faculty or any member of a faculty may submit a report or petition to the Board of Trustees, or its Executive Committee, on any matter concerning the interests of any school of the University. A copy of the report or petition must be delivered to the provost and the president of the University.

### ***Faculty Records***

To the extent possible and consistent with applicable law, the University will protect the confidentiality of confidential documents relating to members of the faculty.

### ***Leaves of Absence***

Unless they have been formally granted leaves of absence, or special arrangements have been made with the school dean, and apart from University holidays and brief absences required for professional or other reasons, faculty members are expected to be in residence and available to

students and colleagues throughout the period of their appointment — in the case of faculty on nine-month appointments, from the arrival of students in the fall through Commencement.

Leaves of absence rather than sabbatical leaves are given at Northwestern. Northwestern is committed to the scholarly and professional development of the faculty. The University recognizes the need for its faculty to engage in research and professional development activities that will benefit both the scholar and the University. Active encouragement will be given to providing opportunities for professional and research leaves.

Leaves of absence may be granted for academic/professional reasons (academic leave) or personal reasons (personal leave). A leave of absence releases a faculty member from on-campus teaching and service responsibilities for a specified period of time. Academic leaves are granted to facilitate scholarship or faculty development. Scholarship may include development of original works or creative activities. Faculty development includes such activities as the preparation of grant proposals, efforts to develop expertise in a new field, or the acceptance of visiting positions at other institutions.

A faculty member is not considered to be on leave during a term in which he/she happens not to have any scheduled classroom responsibilities but maintains all educational and service responsibilities, such as advising, departmental administration, committee assignments, and other forms of service. Such a faculty member is considered to be “in residence.” However, if the faculty member desires to be absent from campus for any substantial period during the nonteaching quarter, i.e., a month or more, a formal leave of absence should be requested for that specific time period.

Leaves of absence must be approved by the provost and the Board of Trustees, following recommendation by the school dean. Faculty members who seek a leave of absence should apply through the department chair and/or dean.

#### Personal Leaves of Absence

A faculty member may be granted a personal leave of absence of fixed duration for reasons such as childbearing, adoption, child rearing or fostering, personal or family emergencies, required military service, and illness. Northwestern faculty are covered by the provisions of the Family and Medical Leave Act (FMLA). Leaves as provided for under FMLA are generally unpaid, while those taken due to illness or under the auspices of the Faculty Family Leave Policy are paid for a specified period (<http://www.northwestern.edu/provost/policies/statements/familyleave.html>). Personal leaves of absence must be coordinated with leaves as provided for under FMLA.

#### Academic Leaves of Absence

The University recognizes the need to provide academic leaves of absence in a manner that minimizes the disruption of educational and research activities. For this reason, the following general rules govern the awarding of leaves. A faculty member

(1) is encouraged to secure outside funding to at least partially recover school costs. Provision of financial support is the responsibility of the faculty member in concert with the school dean. In

cases where funding for a warranted leave is not readily available, the applicant and the dean should seek support in a variety of ways, making full use of all University resources. On occasion, special circumstances may arise that warrant funding from central administrative resources to promote professional development.

(2) will continue to meet certain responsibilities to graduate students, e.g., directing thesis progress; and

(3) will not be granted a leave of absence to accept a tenure-track or tenured faculty appointment or permanent full-time administrative position at another academic institution.

### Procedures

Each school publishes policies and procedures for faculty leaves of absence, including guidelines concerning the length and frequency of leaves. In evaluating the request for an academic leave of absence, the dean, with the advice of the chair of the faculty member's department, will consider

- The faculty member's rationale and plan for the leave
- The faculty member's prior performance and achievements
- The faculty member's past leave history
- The impact on the department and/or school in meeting its educational mission
- The financial impact on the department and/or school

In making recommendations to the provost, the school dean may propose exceptions to the general standards stated above in order to meet the unique needs of particular scholars and disciplines. In any event, exceptions to these policies may only be made with the approval of the provost. All leaves must have final authorization from the Board of Trustees.

A faculty member interested in exploring a new career may be eligible for a renewable, nonsalaried leave of absence. Interested faculty should consult the dean of the school or the provost.

In authorizing a leave, the University determines the length of the leave, whether any portion of the faculty member's salary and benefits will be provided during the leave, and the conditions of the leave with respect to the retirement program, tenure, and other relevant matters. Individual and institutional obligations in connection with any leave of absence, including its relation to the timing of subsequent tenure decisions (where applicable), should be confirmed in writing to the faculty member prior to commencement of the leave. (See policy under Tenure, page 18, and Medical Leave, page 35.)

Leave without pay is granted for qualified military service, as provided by law. According to policy established by the Board of Trustees, faculty members serving in the United States armed forces will be rehired at their former academic ranks upon returning from service.

### ***Summer Medical Leaves for Untenured Tenure-Track Faculty***

Tenure-track faculty members on nine-month appointments who receive medical leave as described in the section of this handbook on Medical Leaves for six weeks or longer during a summer of the tenure probationary period may request release from teaching responsibilities for

one academic term in the subsequent academic year. Such release from teaching responsibilities will not be granted if the medical leave occurs after the school dean's negative decision regarding tenure.

### ***Release from Teaching for Tenure-Track Faculty***

In addition to any release from teaching due to summer medical leave as described above, faculty members appointed as untenured, tenure-track assistant professors in the schools educating undergraduate students may request a total of three academic quarters free from formal course teaching during their first four years in that rank. Such requests will generally be granted, provided that neither a recommendation for promotion and tenure nor a decision not to reappoint has been made regarding the faculty member. Generally no more than one such quarter will be granted in a single academic year. In most cases the teaching load for the year will remain the same, with courses redistributed throughout that academic year. Faculty members with probationary periods of fewer than six years will be granted fewer than three such quarters.

### ***Notice of Resignation***

In order to ensure appropriate staffing and continuity for the University's educational and research programs, a faculty member who desires to resign his/her faculty appointment is expected to notify the dean of the school no later than May 1 of the academic year prior to the academic year in which the resignation would take effect or 30 days after receiving notification of the terms of continued appointment for the academic year in which the resignation will occur, whichever is later. Northwestern follows the widely recognized practice that offers of appointment made or pending on May 1 or thereafter are effective only after the intervention of an academic year, unless special release has been granted to permit an earlier departure.

### ***Retirement***

Retirement intentions of current faculty members figure importantly in planning for faculty hiring. Faculty members who are contemplating retirement, especially those seeking special arrangements, should consult with the dean of the school or with the Office of the Provost. University policy regarding special arrangements for retirement is governed by two considerations: the faculty member's judgment on what is best for him/her personally and the University's responsibility to maintain superior programs of teaching and research. The goal is both to maximize flexibility for faculty and to maintain the quality of the University's programs. As referred to in this policy, retirement is the point at which a faculty member ceases to work full-time, not merely ends his/her employment at Northwestern University.

Phased retirement of up to three years' duration is available to faculty members 55 years of age or over who have at least 15 years of service at Northwestern University and wish to retire at an age agreeable both to the faculty member and to the administration. Faculty members who select this option are assigned 50 percent of their normal academic responsibilities (as defined by the dean of the school) and receive 60 percent of their normal academic year salary. University contributions to benefits treat the faculty member as full-time but are based on the reduced salary. Upon selecting phased retirement, a faculty member enters into an agreement with the University that specifies financial arrangements and an agreed-upon retirement date; all other protections of tenure continue to apply. During phased retirement, faculty members may supplement their income by withdrawals from a retirement account; such withdrawals while

faculty remain in service to the University can only occur if the faculty member is 59 and one-half years of age or older. Faculty members who are considering phased retirement should consult the dean of the school or the Office of the Provost.

Provided that they do not take other employment where they would be eligible for such coverage, faculty members with at least 10 years of continuous full-time service who participate in a University health or dental plan as of the date of retirement are eligible to continue such coverage through Northwestern retiree health and/or dental insurance programs — including family coverage — beginning at age 55. Faculty members with fewer than 10 years of full-time service may qualify according to a schedule available on the Benefits Division website. Participants in retiree health and/or dental plans must pay the full premium for Northwestern coverage, without any University contribution. Should a retired faculty member's Northwestern retiree health and/or dental insurance coverage be discontinued for any reason as permitted by the plan, such coverage may not be reinstated. Persons may not be added to the retiree's coverage following enrollment in the retiree health or dental insurance plan. Should a faculty member die while actively employed by the University, his/her surviving spouse or domestic partner may continue health and/or dental coverage under the retiree plan even if the faculty member did not qualify for retiree coverage at the time of death (in terms of age or service).

### ***Indemnification***

All members of the faculty are indemnified by the University against liability for acts within the scope of their duties for the University, including service for another organization undertaken at the University's request. Excluded from indemnity are acts involving a breach of duty of loyalty to the University, acts involving intentional misconduct or a knowing violation of the law, or transactions from which the individual derives an improper personal benefit.

### ***Eligibility for and Privileges of Emeritus Faculty***

Any faculty member who resigns from his/her academic position and retires after reaching the age of 55 following a minimum of 10 years of continuous service to Northwestern University is eligible for emeritus status, subject to approval by the Board of Trustees. An eligible faculty member who desires emeritus status asks the school dean to make such a recommendation to the provost. In considering such requests, the provost weighs the faculty member's contributions to the University's teaching and/or research activities and service to the University community. Service to one's discipline outside the University or to an institution affiliated with the University is not considered.

If a faculty member who would be eligible for emeritus status under the conditions described above accepts a full-time academic appointment at another institution, the conferral of emeritus status would be delayed until the faculty member actually retires from full-time faculty service.

Because they typically have significant professional responsibilities beyond the University, part-time and adjunct faculty will generally not have achieved the record of service specifically to Northwestern necessary to merit appointment to emeritus status. Emeritus standing is not granted to persons whose faculty status has been largely nominal and who have not carried the independent instructional and/or research responsibilities generally associated with a faculty position in the field (e.g., administrators who hold coterminous faculty titles.)

The names of emeritus faculty are listed in the University directory as long as those persons annually submit information for the directory. They may use Northwestern University stationery for scholarly activities. They are given University identification cards. They have access to routine University computer network services. They are invited to attend all University functions usually open to faculty members, including faculty meetings, although they are not eligible to vote. When applicable, they retain membership in the Graduate Faculty. They receive pertinent University mailings, including minutes of faculty meetings. They may purchase campus parking permits under the same terms applicable to other faculty members and may obtain tickets to athletic and cultural events and access to recreational facilities at faculty rates. They and their spouses or domestic partners are invited to University functions. They have library privileges.

Although it is ordinarily not possible to provide office and laboratory space for an emeritus faculty member, such space will be made available where possible, and school and department offices will do their best to be helpful in recording and relaying telephone messages. Proposals for research by emeritus professors will be considered and forwarded to funding agencies in the same manner as for faculty members. Department chair approval for submission of a research proposal by an emeritus faculty member does represent a departmental commitment to provide appropriate laboratory or other required space should the proposal be successful.

Because of their long and distinguished service in support of the teaching and research missions of the University, emeritus faculty may be asked to serve in a paid capacity for teaching or administrative duties following retirement. Those who obtain salary from extramural research funding may also be paid by the University. With respect to benefits, however, emeritus faculty are considered retirees, not paid employees, and are only eligible for benefits available to all retirees.

### ***Travel Allowances***

Faculty members are encouraged to participate in the activities of learned societies, and when they take a significant part in the meetings of such groups, the University makes every effort to help defray their travel expenses. Requests for such allowances should be made to the Office of the Dean of the school. Faculty members are reimbursed for travel expenses according to the guidelines set forth in the booklet "Travel Policies and Procedures," available from Northwestern University Travel Services and through the University Services website (<http://www.univsvcs.northwestern.edu/travel>).

In addition, the University offers tenure track faculty a taxable grant for qualified short-term dependent care expenses incurred when traveling to attend professional meetings, conferences, workshops and professional development opportunities. The grant is intended to provide full compensation for approved incremental expenses for either child or adult dependent care. Awards may be used for additional dependent care at home while the recipient is traveling, for on-site dependent care at a conference or meeting, or for the cost of transporting the dependent and/or caregiver to a conference or meeting location. Further information regarding this policy and how to apply are available through the Office of the Provost website (<http://www.northwestern.edu/provost/faculty/work-life-family/dependent.html>).

Individual schools may offer dependent care travel grants to their clinical and continuing lecturer faculty. Faculty should inquire with their dean's office to see if such a program exists at their school.

### ***Salary Payments***

The University's fiscal year begins September 1 and ends August 31. All faculty members (whether on 9-, 10-, 11-, or 12-month appointments) receive their salaries in 12 monthly installments during the fiscal year. Salary checks are distributed on the last business day of each month. Salary payments must be deposited directly to faculty members' bank accounts; the Office of Human Resources will furnish information on this direct deposit program (<http://www.northwestern.edu/hr/payroll/payment/direct-deposit/index.html>).

## **University Disciplinary Procedures**

Two faculty committees consider matters concerning reappointment, promotion, and tenure and disciplinary proceedings initiated by the administration. Appeals from faculty members relating to reappointment, promotion, and tenure are considered by the University Faculty Reappointment, Promotion, Tenure, and Dismissal Appeals Panel (the Faculty Appeals Panel), as described earlier in this handbook under the section on Promotion and Tenure. As described below, the Faculty Appeals Panel also deals with charges against faculty members initiated by the administration that may lead to the imposition of a major sanction such as suspension or dismissal. Such charges are referred first to the Faculty Committee on Cause. This committee also deals with appeals by faculty members in cases where the administration has imposed a minor sanction such as a reprimand. The Committee on Cause is selected annually by the Faculty Senate and consists of seven faculty members. No faculty member may serve on the Committee on Cause during the same year(s) he/she is a member of the Faculty Appeals Panel.

### ***Imposition of Minor Sanctions***

If the University administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a written reprimand or warning, it will notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to persuade the administration that the proposed sanction should not be imposed. Within 20 days of receipt of that notification, a faculty member who believes that a proposed minor sanction is unjust may request, in writing, mediation and review by the Faculty Committee on Cause, followed, if necessary, by appeal to the Faculty Appeals Panel according to the procedures set forth below.

### ***Termination or Suspension of Faculty for Cause***

Termination of an appointment with tenure, or of a probationary or special appointment before the end of the specified term, may be effected by the University for adequate cause and in conformity with the procedures outlined below. If the University believes that the conduct of a faculty member, although not constituting adequate cause for termination, poses a sufficiently grave infraction of the principles of academic freedom or of faculty responsibility to justify suspension from service for a stated period or some other severe sanction, the University will

follow the procedures below in conducting proceedings that may impose such sanctions. Adequate cause for termination of an appointment or the imposition of some other severe sanction will be related, directly and substantially, to the faculty member's performance in his/her professional capacities as a teacher or researcher, which includes conduct consistent with principles of academic freedom and faculty responsibility. Termination, suspension, or other severe sanction will not be used to restrain faculty members in their exercise of academic freedom or other rights of United States citizens. Suspension or other severe sanction under this provision includes any substantial changes in the responsibilities and/or University support of a faculty member that are imposed on the faculty member as a result of alleged misconduct or failure to perform in his/her professional capacities as a teacher or researcher and include, but are not limited to, reduction in salary, denial of access to university facilities, support services and/or in use of office or laboratory facilities.

***Procedures for Termination or Suspension of a Faculty Member for Cause and for Appeal of Minor Sanctions***

Proceedings for termination or suspension of a faculty member with indefinite tenure, or with a special or probationary appointment before the end of the specified term, shall commence by notification of the faculty member of a reasonably particularized statement of charges against the faculty member by the president of the University or the president's delegate ("the Administration"). In the event that the discussions between the faculty member and appropriate administrative officers do not produce a mutual settlement, the charges and the responses thereto by the faculty member shall be referred to the Faculty Committee on Cause for mediation. If such mediation fails, the Committee on Cause will advise the Administration as to whether, in its opinion, there is probable cause for implementing proceedings toward the termination or suspension of the charged faculty member. It is not the function of this committee to make formal findings of fact or to evaluate the particular charges. The opinion of the Committee on Cause shall be advisory to the Administration.

If, after reviewing the advice of the Committee on Cause, the Administration finds there to be cause to continue proceedings leading to possible termination or suspension of the charged faculty member, it will specify the sanctions sought. An ad hoc panel of the Faculty Appeals Panel (the "Ad Hoc Panel") will, at the request of the faculty member made within 20 days of administrative notice of the proposed sanction, conduct a hearing on the charges to make findings of fact about their validity and to make recommendations to the Administration about the proposed sanction in light of such findings of fact. Members disqualified for bias or interest will be removed from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two challenges without stated cause.

Pending a final recommendation by the Ad Hoc Panel, the faculty member will not be suspended or assigned to other duties in lieu of suspension, unless immediate harm to the faculty member, to others or to the institution is threatened by continuance. If the Administration wishes to suspend a faculty member pending an ultimate recommendation on the faculty member's status through the hearing procedures, the Administration will consult with the Faculty Appeals Panel's Executive Committee concerning the propriety, the length, and the other conditions of the suspension. A faculty member who is temporarily suspended may request review of the temporary suspension by the Faculty Appeals Panel itself. Salary and faculty privileges unrelated

to the alleged behavior will continue through the period of such suspension. A suspension that is intended to be final is a dismissal and will be treated as such.

The Ad Hoc Panel may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (1) simplify the issues, (2) effect stipulation of facts, (3) provide for the exchange of documentary or other information, and (4) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.

Service of notice of hearing, with specific charges in writing, will be made at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Ad Hoc Panel will evaluate all available evidence and rest its recommendation only upon the evidence in the record.

The Ad Hoc Panel, in consultation with the Administration and the faculty member, will exercise its judgment as to whether the hearing should be public or private.

During the proceedings the faculty member will be permitted to have an academic adviser and counsel of the faculty member's choice.

A verbatim record of the hearing or hearings will be taken, and an electronically printed copy will be made available to the faculty member without cost, at the faculty member's request.

The burden of proof that adequate cause exists rests with the Administration and will be satisfied only by clear and convincing evidence in the record considered as a whole.

The Ad Hoc Panel will grant adjournments to enable either party to investigate evidence to which a valid claim of surprise is made.

The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The Administration and the faculty member will cooperate with the Ad Hoc Panel in securing witnesses and making available documentary and other evidence.

The faculty member and the Administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the Ad Hoc Panel determines that the interests of justice require admission of their statements, the Ad Hoc Panel will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

In a hearing on charges of incompetence, the testimony will include that of qualified faculty members from this or other institutions of higher education.

The Ad Hoc Panel will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved. The findings of fact and the decision will be based solely on clear and convincing evidence in the hearing record.

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided insofar as possible until the proceedings have been completed, including consideration by the University's Board of Trustees. The Administration and the faculty member will be notified of the Ad Hoc Panel's decision in writing and will be given a copy of the record of the hearing.

The Ad Hoc Panel may conclude: i) that adequate cause for dismissal or other severe sanction has (or has not) been established by the evidence in the record or ii) that even though adequate cause for dismissal has been established, an academic penalty less than dismissal would be more appropriate. The Ad Hoc Panel will then report its findings and recommendations, in writing, to the Administration and to the faculty member. The Administration will weigh carefully the findings and recommendations of the Ad Hoc Panel.

It is the expectation of the Faculty and Administration that rejections of the findings and recommendations of the Panels will be rare. Should the Administration reject the Panel's recommendations in a particular instance, however, it will provide the full Faculty Appeals Panel and the faculty member specific reasons, in writing, for any such rejection and will meet with the Panel, if so requested, to discuss its rejection of the Panel's recommendations. The Administration will also afford the Panel or the faculty member a period of not less than 15 days to respond after such notice is given before transmitting the case to the Board of Trustees.

The Board's review will be based on the record of the Ad Hoc Panel's hearing and on such other evidence or arguments as the Board chooses to consider. The decision of the Ad Hoc Panel will either be sustained or the proceeding returned to the Ad Hoc Panel with specific objections. The Ad Hoc Panel will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the Ad Hoc Panel's reconsideration.

## **Faculty Benefits**

The University offers a variety of employee benefits, described briefly below. This description is not a full explanation of University-sponsored benefits. A summary of current benefits plans for full-time faculty is available from the Benefits Division of the Office of Human Resources (see <http://www.northwestern.edu/hr/benefits/>). The University intends to continue these plans indefinitely, but reserves the right to change, modify, or terminate any plan.

Insurance and retirement benefits are provided for faculty members appointed to one of the faculty instruction ranks (see Officers of Instruction, page 6) on a half-time or greater basis for the entire academic year or on a full-time basis for half the academic year. Additional information for faculty members who are eligible for benefits, but are employed less than full time is also available through Human Resources (<http://www.northwestern.edu/hr/benefits/>). Research faculty are eligible for benefits similar to full-time, non-tenured faculty (with the exception of the childbearing, adoption and childrearing leaves described later in this handbook) provided they are paid exclusively by the University or an affiliated institution. Visiting faculty members are generally assumed to retain benefit status in their home institution. However,

visitors may participate in selected University-sponsored health insurance plans if they meet benefits eligibility requirements. Otherwise, visitors may purchase the health insurance plan offered through the Office of Risk Management.

New faculty must complete their online benefits enrollment through FASIS Self Service at <https://nuhr.northwestern.edu> within 31 days of the beginning of the appointment.

To qualify a same-gender or opposite gender civil union partner for coverage under University-sponsored benefit plans, an employee and his/her same-gender or opposite gender civil union partner must submit to the Benefits Division of the Office of Human Resources a civil union certificate prior to enrolling in any Northwestern University plans. Opposite gender civil union partners may only enroll in the insured plans.

### ***Retirement and Other Benefit Programs***

#### **Retirement Savings Plan**

The University provides faculty with a contributory retirement program through the Teachers Insurance and Annuity Association (TIAA), the College Retirement Equities Fund (CREF), and the investment funds offered by Fidelity Investments. TIAA invests primarily in a broadly diversified group of bonds, mortgages, and direct loans to business and industry, with the intent of providing a steady retirement income, while CREF and Fidelity offer common stock funds that provide variable or fluctuating retirement income.

Faculty members may elect to invest the full contribution in TIAA, CREF, or Fidelity, or they may elect to apportion the contribution among TIAA, CREF, and Fidelity. By arrangement between the University and Fidelity Investments, no initial investment or load fee is charged against such investments. Under certain conditions, participants may transfer accumulated assets among TIAA, CREF, and Fidelity Investments funds.

The 403(b) retirement plan consists of three parts: a matched retirement plan, an unmatched plan and a voluntary plan. The matched retirement program is funded by contributions from both the faculty member and Northwestern. The unmatched plan is funded by contributions only from Northwestern (5% of salary once the faculty member is eligible), while the voluntary plan is funded solely by employee contributions. All deductions, including both University and faculty members' contributions cease when contributions reach the relevant annual federal maxima. Detailed information regarding these plans is available from the Benefits Division of the Office of Human Resources (see "2010 Summary-Faculty Benefits"). Faculty members, upon termination or retirement, may receive certain accumulated retirement plan assets in cash. Otherwise, a faculty member may elect from a number of annuity or systematic withdrawal options. Withdrawal of retirement plan monies should be undertaken with the advice of a tax counselor unless the monies are transferred by direct rollover to another investment company.

#### **Flexible Spending Account (FSA)**

Under this plan, participants may transfer income to the health- and dependent-care accounts to pay for eligible (tax-deductible) expenses not otherwise covered by insurance or other benefit plans. Payments made to these accounts are excluded from federal and state income taxes and

from Federal Insurance Contributions Act (FICA) taxes (i.e., Social Security and Medicare). Currently, the maximum annual contribution for the health-care account is \$12,000, and the maximum monthly contribution for the dependent-care account is \$416.66 (\$5,000 annually) for a single individual or a married individual who files taxes jointly or \$208.33 per month (\$2,500 annually) for a married individual who files taxes individually. IRS regulations specify that any plan year-end account balances are forfeited. Employees wishing to continue their participation in these plans must re-enroll each year during the annual Open Enrollment period.

The University provides nontaxable matching funds directly to eligible full-time employees to assist in meeting a portion of their annual dependent care expenses; the matching amount is based on total household income.

### Social Security

Under FICA, which authorizes Social Security and Medicare taxes to be deducted from employee paychecks, the University matches Social Security and Medicare taxes paid by faculty. These taxes finance a program that includes retirement and survivor income, disability income, and medical expense coverage during retirement or disability.

### ***Medical Leave***

Faculty members with half-time or greater appointments who are unable to work as a result of a medically certified disability become eligible for paid sick leave. Faculty members with tenure may receive up to six consecutive months (including summer) at budgeted salary. Faculty members without tenure may receive up to three months at budgeted salary and up to three additional months at 60 percent of budgeted salary; untenured faculty members with 10 or more years of continuous full-time service receive the same sick leave benefit available to tenured faculty. The University reserves the right to determine a faculty member's ability to resume normal duties upon returning from sick leave. Expected medical-disability absences that will interrupt scheduled teaching duties need special prior planning and consideration and should be discussed with the department chair and/or dean's office before the beginning of the affected term.

Additional protection against loss of income due to disability is available to eligible faculty members who enroll in the long-term disability (salary continuance) plan.

### Leaves for Childbearing, Adoption and Childrearing

When childbirth, adoption or childrearing within the first 12 months following birth or adoption necessitates cessation of active service, paid leave is provided to full-time, benefits eligible tenure track faculty. Full-time, benefits eligible instructional faculty who have completed three years of continuous, full-time service or who hold an academic appointment of three years or longer at the time of the leave are also eligible for paid leave. For faculty members whose primary academic appointment is in WCAS, SESP, School of Communication, Medill, McCormick, Bienen School of Music or Kellogg paid leave is provided for up to one academic term; for faculty in Feinberg or the Law School paid leave is provided for up to ten weeks. While paid leaves for childbirth are only available for female faculty, those for adoption or childrearing are available to both male and female faculty. Childrearing leave is limited to eligible faculty (male or female) who are at least an equal partner in caring for the child.

Instructional faculty members who do not meet the eligibility requirements described above are eligible for up to six weeks of paid leave for childbearing, but not for adoption or childrearing leaves. All faculty are eligible for 12 weeks of unpaid leave under the provisions of the Family and Medical Leave Act (FMLA) for the birth and care of a newborn child or for placement of a child for adoption or foster care. Leave taken under FMLA should be coordinated with the leaves for childbirth, adoption or childrearing described above.

If a medically certified disability arises as a result of pregnancy or childbearing which renders the faculty member unable to work before or after the academic term in which the faculty member takes this childbearing leave, the faculty member is eligible for additional leave described in the “Medical Leave” section above. Further information regarding University policy pertaining to family leave is available from the Provost’s website (<http://www.northwestern.edu/provost/policies/statements/familyleave.html>).

#### Medical Leave/Fitness-for-Duty

If an evaluation of faculty performance indicates that a faculty member is failing to meet the essential functions of his/her position, the faculty member will have an opportunity to provide documentation of medical or psychological conditions that may be contributing to unsatisfactory performance. Such information may serve as a basis for reasonable workplace accommodations or for voluntary medical leave to remedy the problem. The University will review the documentation provided and may request independent evaluation of any mitigating condition either by review of information provided by the faculty member or by examination of the faculty member by a healthcare professional of the University’s choosing.

Where the University, through its designated Behavioral Consultation Team, has reason to believe that a faculty member poses a direct threat to his or her own safety or to the safety of others and/or the University, the faculty member may, to the extent permitted by law, be required to undergo evaluation for fitness-for-duty. This evaluation will be conducted by a healthcare professional of the University’s choosing and at University expense. The faculty member will be notified in advance of the purpose and type of evaluation to be performed. If the evaluation affirms that a faculty member does pose a direct threat, the faculty member may be offered a voluntary medical leave. If the faculty member declines to take a voluntary medical leave, the University may place the faculty member on involuntary medical leave. Such an involuntary leave is considered a temporary suspension and is subject to review by the Committee on Cause, if requested by the faculty member, consistent with the University’s Disciplinary Procedures.

Once a faculty member has been relieved of his/her responsibilities pursuant to a voluntary or involuntary leave following an evaluation of fitness for duty, the faculty member will not be permitted to return to his or her position until the University is satisfied that the faculty member is able to perform the essential functions of the position or no longer poses a direct threat. Prior to returning to his/her position in such circumstances, the faculty member must provide documentation establishing his/her fitness to return. The faculty member may also, at the University’s option and to the extent permitted by law, be required to undergo an appropriate

evaluation for fitness by a healthcare professional of the University's choosing prior to returning to his/her position.

The University and Faculty Senate will jointly develop guidelines in order to permit access to such information to the faculty member in question and to limit the access to such information only to those at the University with a need to know and to otherwise assure the maintenance of confidentiality of all information provided by any of the above-mentioned healthcare evaluations.

### ***Insurance***

The University offers a variety of insurance plans, described briefly below. Faculty members are urged to review the provisions of each plan and, if any questions remain, to consult the Benefits Division of the Department of Human Resources. In the following paragraphs, retirement refers to a faculty member's departure from the University at age 55 or later following 10 years of consecutive service; the service requirement is reduced year-for-year when a faculty member leaves the University after age 57.

#### University-Financed Plans

**Group Term Life Insurance** Faculty members are provided with coverage under a group term life insurance program paid for by the University. The amount of coverage is calculated by a factor of 2.5 times a faculty member's academic year salary, up to a maximum salary of \$100,000 and maximum benefit of \$250,000. This coverage factor is reduced by 35 percent starting the calendar year in which the faculty member reaches age 65. A faculty member's group term life insurance coverage expires when the individual leaves Northwestern's employ unless an application for conversion is submitted to the insurance company within 31 days of the termination date.

**Travel Accident Life Insurance** Faculty members are covered under the University's travel accident life insurance plan when on University business. The amount of coverage is three times the employee's salary, with a minimum coverage of \$100,000 and a maximum of \$250,000. Coverage ends upon termination or retirement.

**Workers' Compensation** Workers' compensation insurance, provided by the University for all employees, covers injury or illness arising out of and in the course of employment. Coverage includes authorized medical costs and additional compensation for temporary total or permanent disability resulting from such injury or illness; it ends upon termination or retirement.

#### Contributory Plans

The University offers several optional programs through which faculty members may obtain coverage by paying at least part of the premiums. All faculty contributions toward premiums are deducted from the participating faculty member's paycheck. Faculty members who, at the initial opportunity, do not elect to participate in optional insurance programs must present satisfactory evidence of insurability if coverage is desired at a later date.

Family members and their unmarried dependent children age 25 or younger are eligible for coverage under the Health, Dental, and Accidental Death and Dismemberment (AD&D) plans.

Dependent status requires individuals to be an eligible tax dependent on the faculty member's federal and state income tax returns. Dependent children include natural, step-, and legally adopted children, and any children who are in the faculty member's legal custody under an interim court order prior to finalization of adoption proceedings. No individual may be covered more than once under University-sponsored benefit plans.

At retirement, a faculty member who meets specified age and service requirements may elect to continue health, dental and vision coverage for himself/herself as well as for a spouse or domestic partner and any eligible dependent children. Participants pay 100 percent of total premium costs. A faculty member otherwise leaving the University may elect to continue health, dental and vision coverage subject to COBRA (Consolidated Omnibus Budget Reconciliation Act) provisions. Upon the death of a faculty member, the surviving spouse or domestic partner may elect coverage under the retiree health, dental and vision insurance plans for himself/herself and any dependent children.

**Accidental Death & Dismemberment (AD&D) Insurance** Under the group accident insurance program, faculty members who serve at least half time for an academic year or longer may cover themselves and eligible dependents for accidental death or dismemberment. Coverage may be purchased in units of \$10,000 to a maximum of \$1,000,000 (not to exceed ten times academic year salary). A faculty member's AD&D coverage expires when the individual leaves Northwestern's employ unless an application for conversion is submitted to the insurance company within 31 days of the termination date.

**Health Insurance** Faculty members may enroll at the time of employment in one of the health insurance plans offered by the University. For full-time participants, the University contributes a portion of the premium for the type of coverage selected (e.g., you only, you+spouse). For benefits-eligible part-time faculty (i.e., faculty who hold appointments that are designated half-time or more but less than full-time), the University pays a smaller portion of the total cost. The faculty member pays the remainder of the premium through payroll deductions taken from income prior to the calculation of federal, state, and FICA taxes. The faculty member has a choice of an HMO and three PPO plans. Premium contributions to the PPO and HMO plans are based on the faculty member's salary. For Medical School faculty, premium contributions are based upon the faculty member's total professional (academic full-time) salary. There is an annual open enrollment during which the faculty member may elect to change plans.

**Dental Insurance** Faculty members are eligible to participate in the University's group dental plans. Enrollment occurs at the time of employment via online enrollment using FASIS Self Service or within 31 days of a qualifying change in family or employment status using the Benefits Change Forms found on the Benefits Division website. The faculty member's contribution is taken from income prior to the calculation of federal, state, and FICA (Social Security) taxes.

**Supplemental Term Life Insurance** Faculty members who desire additional term life insurance may apply for such coverage under the University's supplemental term life insurance plan. The amount that may be purchased is a multiple of a faculty member's academic year salary, up to a maximum of \$2,000,000. Three- to five-times coverage may be available based upon evidence of

insurability. If the application for three- or more-times coverage is not approved, the faculty member is guaranteed a maximum of two-times coverage. A faculty member's supplemental term life insurance coverage ends when the individual leaves Northwestern's employ unless arrangements are made to continue the coverage. Term life insurance is also available for a faculty member's spouse, civil union partner and/or dependent children.

**Long-Term Disability (Salary Continuance)** The University's long-term disability (LTD) plan is an important supplement to the sick leave policy. Under this plan, a faculty member disabled due to injury or illness for a period of more than six consecutive months is entitled to the continuation of up to 60 percent of budgeted salary (to a maximum benefit of \$11,500 per month) or up to 70 percent of budgeted salary when benefits from this plan are combined with certain other income such as Social Security disability payments. The six-month waiting period includes vacation time and sick leave taken. Faculty members who serve at least half time, who have reached the age of 24, and who have completed one year's service may participate in this plan. The one-year waiting period is waived if the individual had group-sponsored LTD coverage immediately prior to beginning employment at Northwestern. The University pays 50 percent of the cost of the premium for this insurance; the participant's contributions are made from income subject to federal, state, and FICA taxes. Coverage ends upon termination or retirement.

### *Other Benefits*

#### Housing Assistance

Through its Faculty Housing Assistance Program, the University assists faculty members with the purchase of a home. A local bank (First Bank & Trust, Evanston, IL) offers mortgage loans with preferred features to Northwestern faculty. The program also provides preferential interest rates on primary and secondary mortgages and bridge loans for both tenure-track and non-tenure-track faculty members who meet normal bank underwriting approval. The mortgage application fee is refunded to the faculty member at closing. The faculty member is responsible for down payment and closing costs.

In addition to mortgage assistance, the Office of the Executive Vice President can provide assistance with relocation services and apartment rentals.

#### Reduced Tuition, Portable Tuition, and Educational Assistance Plans

Provided that they meet specified eligibility requirements, regular full-time faculty members may participate in Northwestern's Educational Assistance Plan for Employees. The Educational Assistance Plan provides faculty with the opportunity for academic enrichment through part-time enrollment in the University's educational programs at reduced tuition. Employees must complete the Educational Assistance application form once per calendar year. Individuals are subject to the rules and prerequisites of their school of attendance. Portable tuition assistance is also available for faculty who wish to attend another university. This benefit is for undergraduate and graduate education for job-related courses outside of Northwestern University. The benefit is limited to tuition and eligible fees only. Reimbursement will be at 100% of mandatory tuition and fees up to a maximum of \$2,500 per calendar year. Please refer to

<http://www.northwestern.edu/hr/benefits/educational-assistance/index.html> for more information.

Eligible faculty may benefit from reduced tuition for a spouse or civil union partner or an eligible dependent child taking undergraduate courses at Northwestern (Reduced Tuition Plan) or an eligible dependent child taking undergraduate courses at schools other than Northwestern (Portable Tuition Plan). Information regarding eligibility of faculty for these plans is found under “Educational Assistance and Tuition Plans” in the Benefits section on the Human Resources website (<http://www.northwestern.edu/hr/benefits/educational-assistance/index.html>).

The Reduced Tuition Plan provides reduced tuition for specified undergraduate courses taken within the University by a spouse, civil union partner, and dependent children of eligible faculty. For dependent children only, a Portable Tuition benefit is available for undergraduate study at other institutions. Service requirements and benefit levels for the Reduced Tuition Plan and the Portable Tuition Plan vary with the service date of the faculty member, with changes in the plan taking effect October 1, 1985, and January 1, 2000. Dependent children are eligible up to age 25. Students must be enrolled in a degree program or working toward a teaching certificate. Tuition benefits are limited to a total of eight academic full-time semesters or 12 full-time quarters.

Faculty members who retire at age 55 or older and have 10 years or more of continuous, full-time regular service are eligible for educational assistance. To benefit from reduced tuition for a spouse, domestic partner, or dependent child, a retiree must have contributed 10 or more years of continuous, full-time service. A faculty member who retires at age 55 or older with fewer than 10 years of qualifying service may continue any benefit being applied to a spouse, domestic partner, or a dependent child’s enrollment through the completion of that program of study only. (As stated above in the “Retirement” section, retirement is the point at which a faculty member ceases to work full-time, not merely ends his/her employment at Northwestern University).

A spouse, civil union partner, or dependent child of a deceased faculty member is eligible for tuition benefits as determined by the faculty member’s years of qualified service at the time of death. This eligibility ceases upon remarriage of the spouse/civil union partner or adoption of the child.

#### Child-Care Referral Service

The University provides faculty with child-care referral services, including individual consultation, parenting educational materials, a guidebook with detailed information on choosing and evaluating child care, and up-to-date information on child-care credits and related tax laws. Additionally, the child-care referral service provides, based upon selection criteria specified by the faculty member, the names of at least three child-care providers with vacancies. The service also sponsors workshops on child-care related topics. The Department of Human Resources’ Child-Care Office prepares a resource book outlining information about facilities and child-care providers in the greater Chicago metropolitan area as well as resources near the Evanston and Chicago campuses. Included are lists of day-care centers, nursery schools, schools that provide special education, and day-care facilities for children who are sick.

#### Roycemore School Tuition Discount

Children of faculty receive a 25 percent tuition discount on educational programs and a 25 percent discount on extended-day (preschool and after-school) and summer programs at the

Roycemore School. Located at 1200 Davis Street, Evanston, Roycemore is a private day school serving children from kindergarten through grade 12.

North Shore Country Day School Tuition Discount

Children of full-time benefits-eligible faculty in grades 9–12 are eligible for a tuition discount of up to 50 percent at North Shore Country Day School. Recipients must successfully complete the admission process. The tuition discount may not be applied with any merit-based award; families may apply for additional need-based aid. Located at 310 Green Bay Road in Winnetka, the North Shore Country Day School is a private, coeducational college-preparatory school of 430 students in junior kindergarten through grade 12.

## **Appendix**

### ***Policy on 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, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, or veteran status in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

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

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

### ***Policy on Sexual Harassment***

It is the policy of Northwestern University that no member of the Northwestern community — students, faculty, administrators, or staff — may sexually harass any other member of the community. Sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute harassment when:

- Submission to such conduct is made or threatened to be made, either explicitly or implicitly, a term or condition of an individual's employment or education;
- Submission to or rejection of such conduct by an individual is used or threatened to be used as the basis for academic or employment decisions affecting that individual; or
- Such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating what a reasonable person would sense is an intimidating, hostile, or offensive employment, educational, or living environment.

Members of the faculty are responsible for adhering to these policies. In addition, faculty who have been told about or who have witnessed conduct that they think may violate these policies have a duty to report it to one of the offices listed below as soon as possible.

All reports describing conduct that is inconsistent with these policies will be promptly and thoroughly investigated. Complaints about violations of these policies will be handled discreetly, with facts made available only to those who need to know to investigate and resolve the matter.

The University prohibits retaliation against anyone for registering a complaint pursuant to these policies, assisting another in making a complaint, or participating in an investigation under the policies.

If a complaint of discrimination, harassment, or sexual harassment is found to be substantiated, appropriate corrective action will follow, up to and including separation of the offending party from the University, consistent with University procedure.

Any alleged violations of this policy or questions regarding the law with respect to sexual harassment should be directed to the Director of the University Sexual Harassment Prevention Office, Rebecca Crown Center, Room 2-636, Evanston, Illinois 60208-1117, phone (847) 491-3745 or email [sexual-harassment@northwestern.edu](mailto:sexual-harassment@northwestern.edu). Faculty have a responsibility to report possible violations of these policies, as stated above.

Queries regarding other forms of discrimination or harassment should be directed to the Director of Equal Opportunity and Access, 720 University Place, Evanston, Illinois 60208-1145, phone (847) 491-7458. Questions or complaints regarding discrimination or harassment may also be directed to the Director, Office of Sexual Harassment Prevention, Rebecca Crown Center, Room 2-636, Evanston, Illinois 60208-1145, phone (847) 491-3745, or to any of the faculty or staff Discrimination & Harassment Prevention Advisors listed at [www.northwestern.edu/sexual-harassment](http://www.northwestern.edu/sexual-harassment)

### ***Statement on a Drug-Free Workplace***

(1) Northwestern University is committed to maintaining a drug-free workplace in compliance with applicable laws. The unlawful possession, use, distribution, dispensation, sale, or manufacture of controlled substances is prohibited on University premises. Violation of this policy may result in the imposition of employment discipline as defined for specific employee categories by existing University policies, statutes, rules, regulations, employment contracts, and labor agreements. At the discretion of the University, any employee convicted of a drug offense involving the workplace shall be subject to employee discipline up to and including termination and/or required to satisfactorily complete a drug rehabilitation program as a condition of continued employment.

(2) The illegal use of controlled substances can seriously injure the health of employees, adversely impair the performance of their responsibilities, and endanger the safety and well-being of fellow employees, students, and members of the general public. Therefore, the University urges employees engaged in the illegal use of controlled substances to seek professional advice and treatment. Anyone employed at Northwestern who has a drug problem is invited to contact the administrator, Employee Support Programs, to obtain information about available assistance; the office can be contacted anonymously by calling (847) 491-7461. Employees engaged in contracts with the U.S. Department of Defense are additionally subject to D.O.D. requirements and may be required to submit to tests for the illegal use of controlled substances.

(3) As a condition of employment, an employee of Northwestern will notify his/her supervisor if he/she is convicted of a criminal drug offense involving the workplace within five days of the conviction. In the event any such conviction involves an employee working on a federal contract or grant, the University will notify the granting or contracting federal agency within 10 days of receiving notice of a conviction. A copy of this statement shall be given to all employees.

(4) This statement and its requirements are promulgated in accordance with the requirements of the Drug-Free Workplace Act of 1988 enacted by the United States Congress. The University will continue its efforts to maintain a drug-free environment by adhering to the above policy and by providing ongoing drug awareness programs.

### ***Trustee Statement on Disruption***

Northwestern University stands for freedom of speech, freedom of inquiry, freedom of dissent, and freedom to demonstrate in peaceful fashion. The University recognizes that freedom requires order, discipline, and responsibility and stands for the right of all faculty and students to pursue their legitimate goals without interference. The University, therefore, will not tolerate any attempt by any individual, group, or organization to disrupt the regularly scheduled activities of the University. Any such effort to impede the holding of classes, the carrying forward of the University's business, or the arrangements for properly authorized and scheduled events would constitute an invasion of the rights of faculty and students and cannot be permitted.

### ***Sources for Selected Policy Statements and Other Resources Referenced in This Handbook***

Acceptable Use of Electronic Resources

[www.it.northwestern.edu/policies/index.html](http://www.it.northwestern.edu/policies/index.html)

Childcare Resources

<http://www.northwestern.edu/hr/work-life/childcare/index.html>

Conflict of Interest Policy

<http://www.northwestern.edu/coi/policy/index.html>

Consensual Relationship and Sexual Misconduct Policies

<http://www.northwestern.edu/provost/policies/consensual-relations-misconduct.html>

Copyright Policy

<http://www.invo.northwestern.edu/policies/copyright-policy>

Ethics and Compliance

[www.northwestern.edu/ethics/](http://www.northwestern.edu/ethics/)

Faculty Housing Assistance Program

Office of the Executive Vice President

<http://www.northwestern.edu/provost/faculty/work-life-family/housing/index.html>

<http://www.northwestern.edu/hr/work-life/relocation/financial-resources.html>

Guidelines for Investigators in Scientific Research

<http://www.research.northwestern.edu/ori/misconduct/index.html>

<http://www.research.northwestern.edu/policies/index.html>

Human Resources Policies and Procedures

[www.northwestern.edu/hr/policies/](http://www.northwestern.edu/hr/policies/)

Integrity in Research and Procedures for Reviewing Alleged Misconduct

<http://www.research.northwestern.edu/policies/index.html>

Patent and Invention Policy

<http://www.invo.northwestern.edu/policies/patent-invention-policy-current>

Principles Regarding Academic Integrity

[www.northwestern.edu/uacc/uniprin.html](http://www.northwestern.edu/uacc/uniprin.html)

Relocation Resources

<http://www.northwestern.edu/hr/work-life/relocation/index.html>

Sexual Harassment Policy and Guidelines for the Northwestern Community

<http://www.northwestern.edu/sexual-harassment/university-policies/discrimination/index.html>

<http://www.northwestern.edu/sexual-harassment/university-policies/sexual-harassment-policy/index.html>

Standards for Business Conduct

<http://policies.northwestern.edu/standards/index.html>

Student Handbooks

[www.northwestern.edu/handbook/](http://www.northwestern.edu/handbook/)

Summary Plan Descriptions of University Benefits Plans

[www.northwestern.edu/hr/benefits/](http://www.northwestern.edu/hr/benefits/)

Trademark Licensing Policy

[www.northwestern.edu/userservices/printing\\_trademark/trademark\\_licensing/index.html](http://www.northwestern.edu/userservices/printing_trademark/trademark_licensing/index.html)

Travel Policies and Procedures

[www.univsvcs.northwestern.edu/travel/policy\\_proc.htm](http://www.univsvcs.northwestern.edu/travel/policy_proc.htm)

## Glossary of Faculty Appointments

**Academic full-time** – This type of appointment is for full-time, tenure track or non-tenure track faculty whose salary and benefits are provided, whole or in part, by an entity other than NU. In the most common circumstance, e.g. at the Feinberg School of Medicine, the faculty member's salary is paid by an affiliated hospital. Similar considerations also apply to full-time faculty paid by outside institutions, such as the American Bar Foundation or the Howard Hughes Medical Institute, for example.

**Adjunct faculty** – These appointments are non-tenure track and are less than 50% full-time. Because adjuncts typically hold a primary and continuing position outside of academia, they are not eligible for University benefits. Adjuncts do not have the whole range of faculty responsibilities; their focus is either on teaching or research. They are generally expected to hold a terminal degree in their field. Adjunct appointments should generally be no longer than three years; they may be renewed indefinitely.

**Artist in residence** – These non-tenure track appointments are for accomplished artists. The appointment may be full- or part-time and for a limited term (1-2 years) or on a continuing basis.

**Clinical faculty** – Clinical appointments are a subset of regular, non-tenure line faculty appointments. In the Medical School, the majority of non-tenure track faculty belong to this category despite the absence of “clinical” in the faculty title. In other schools with established clinical tracks (Kellogg School of Management, School of Law, and the Medill School of Journalism), the “clinical” modifier is generally used for full-time, non-tenure track faculty who are typically practicing professionals brought in to add professional experience and perspective to the curriculum. The term is also used to distinguish the positions from tenured and tenure-track faculty. Clinical faculty are not necessarily expected to hold the terminal degree in the field. Their duties are more focused on teaching rather than research.

**Contributed service faculty** – These appointments are granted to medical staff who participate in teaching and research activities at the Medical School and do so without compensation from an approved Medical School source (Veteran's Administration, Children's Memorial Hospital, Northwestern Medical Faculty Foundation, Northwestern Memorial Hospital, Rehabilitation Institute of Chicago, John H. Stroger Jr. Hospital of Cook County). The majority of such faculty are in the private practice of medicine.

**Courtesy appointment** – see secondary appointment (below).

**Coterminous faculty** – “Coterminous” identifies faculty appointments that are granted in conjunction with another, typically non-faculty, appointment. The non-faculty appointment is primary and, therefore, the faculty appointment terminates when the other appointment ends. In the Medical School, for example, a postgraduate medical student may hold an appointment as Chief Medical Resident and be granted appointment as a coterminous instructor for the duration of the chief residency. Coterminous appointments are also employed for faculty holding Northwestern appointments both in Evanston and in Qatar.

**Emeritus faculty** – A faculty member who retires from Northwestern, is over 55 years of age and generally has a minimum of 10 years of continuous service is eligible to be considered for emeritus status. Nominations require approval of the dean, the provost and the Board of Trustees; approval is based upon an assessment of the faculty member’s contributions to the research and/or teaching missions of the University. Emeritus faculty are typically unpaid, though they may receive compensation for specific teaching, research or administrative activities.

**Endowed professorship** – This designation is used in addition to a regular faculty appointment to identify faculty who are appointed to named professorships. The dean nominates a faculty member to a professorship. Approval is required by the provost and the Board of Trustees.

**Faculty in Residence** – This designation in the ranks of Assistant/Associate/Full Professor in Residence is used for non-tenure line faculty appointments at Northwestern University branch campus in Qatar (NU-Q) or at other branch campuses that might be established in the future.

**Health service clinician faculty** – In the Medical School, health service clinicians are a subset of clinical faculty appointments. Such appointments are without rank or opportunity for promotion. Faculty in this category are customarily health professionals whose total compensation is provided by an approved medical school source but who are geographically based outside the McGaw Medical Center of Northwestern University. Health service clinicians also have no on-going teaching, research, or academic administrative responsibilities.

**Joint appointment** – This designation applies to regular faculty appointments that are held concurrently in more than one department if all departments contribute financially to the faculty member’s salary. If salary support comes exclusively from one department, appointments held in other departments are referred to as secondary or courtesy appointments. One of the two (or more) departments providing salary support will be designated the faculty member’s primary department. The primary department will be that department providing the major portion of salary support or, in the case of two departments contributing equally, the department designated as primary by the faculty member. Faculty holding joint appointments are entitled to all rights and privileges accorded regular faculty members of both departments.

**Lecturer faculty** – These faculty contribute primarily to the teaching mission of the University, assuming a range of teaching and teaching-related responsibilities often requiring specialized skills. Lecturer faculty are not tenured, nor are they tenure-eligible. The lecturer faculty is comprised of faculty holding multi-year appointments whose involvement in the teaching mission of the University is ongoing (the continuing lecturer faculty) and those holding one-year, renewable appointments who provide replacement teaching for faculty on leave or who staff extra sections of regularly scheduled courses when required by increased student enrollment. The continuing lecturer faculty is comprised of four ranks: Lecturer, Senior Lecturer, Distinguished Senior Lecturer and Professor of Instruction (in a given field).

**NMFF member** – This designation is used for Feinberg faculty who are also paid for clinical work as members of the Northwestern Medical Faculty Foundation. These appointments are always in conjunction with a paid faculty appointment through NU.

**Regular faculty** – These faculty are identified as officers of instruction and include tenure-track, clinical and lecturer faculty holding the ranks of Professor, Associate Professor, Assistant Professor, Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor, Professor of Instruction, Distinguished Senior Lecturer, Senior Lecturer, Lecturer, College Fellow, and Instructor. Regular faculty appointments can be held either in departments or in officially-sanctioned programs. The categories of adjunct, clinical associate, contributed service, coterminous, emeritus, research and visiting faculty are not included among regular faculty.

**Research faculty** – These appointments are approved by the Office for Research. Research faculty members do not teach, and are appointed solely to pursue research. They are typically supported only on sponsored funding, and not on appropriated funds. Generally they must hold the terminal degree in the field and are independent investigators who are evaluated in terms of their scholarly achievements. Research faculty must have paid appointments unless they are employed by affiliated institutions (e.g., Children’s Memorial Research Center, Rehabilitation Institute of Chicago, etc.) and are involved in collaborative research with Northwestern investigators. “Senior research investigator” is a category of research faculty that is used for retired tenured faculty who do not qualify for emeritus appointments and who wish to maintain an externally funded research program.

**Secondary appointment** – This designation (or its synonym, “courtesy” appointment) refers to faculty appointments outside a faculty member’s primary department in which the appointing department assumes no budgetary responsibility for the faculty member’s salary. It may also refer to paid or unpaid faculty appointments in centers or institutes that are not themselves eligible to hold primary, regular faculty appointments. The privileges accorded faculty holding secondary or courtesy appointments outside their primary department are determined by the department in which the secondary appointment is held.

**Visiting faculty** – These are generally faculty with appointments at another academic institution. Appointments may range in duration from one to 24 months. Appointments longer than 24 months must be approved by the Provost’s Office. These appointments may be either paid or unpaid. Generally there is some expectation of service for the University, often specialized teaching.

**Visiting scholar** – These appointments are approved by the Office for Research. They are generally sponsored or employed elsewhere, usually in another university, in industry or government, but are at Northwestern for short periods, normally one year or less, to work with Northwestern faculty to learn research techniques, to use specialized facilities, or to collaborate with faculty investigators. Visiting scholars are normally unpaid visitors, but, occasionally, they may be paid through the University payroll system. They may not teach and there is no expectation of service for the University.