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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->

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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.



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 responsibili

## 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

### 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 th

and Psychological Services (CAPS). Additional information is available online

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-



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/userservices/printing\\_trademark/trademark\\_licensing/licensing\\_policy.html](http://www.northwestern.edu/userservices/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



## 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





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

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

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

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

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, membership in the Committee on Cause. 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.



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



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

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.



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 [nt at -.001cghr/s](#)

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 outline

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

## 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, di

(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 th



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

## 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

**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

**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**