

NORTHWESTERN UNIVERSITY FACULTY HANDBOOK

Last Updated November 18, 2020



Northwestern University Faculty Handbook

This Faculty Handbook, effective November 18, 2020

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Fitness for Duty

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Faculty Benefi

The officers of instruction ranks are as follows: professors (including adjunct, clini

rules for voting.

Powers

Each faculty (excepting that of the School of Professional Studies) has the power to determine how it exercises the powers comm

Faculty Governance

The 2010-2011 Northwestern University Shared Governance initiative, approved by faculty, administration and trustees, created two new bodies: a Faculty Assembly and a Faculty Senate. 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. Detailed information concerning Shared Governance, including Assembly and Senate Bylaws, is available from the [Faculty Senate website](#). Faculty Senate membership and activities will be considered as participation in the business of the University.

Responsibilities of the Faculty

The faculty of the University are responsible for transmitting accumulated knowledge. Faculty whose appointments entail research expectations are also responsible for discovering new knowledge. In addition, faculty ce fmf26 -69 0 Td{ppoi)-2 (n)].19 0 Td02 Tc 0.00lm9r0 Td(w)Tjb2.15 0 -1Td(

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 (undergraduate and graduate students, postdoctoral fellows, faculty, staff, visitors, etc.) whose behaviors raise concerns about their health, their safety or the safety of others or who are highly disruptive, aggressive, or violent. Such individuals may make explicit threats of violence against another member of the Northwestern community or express overtly

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

Students with Disabilities

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University Hearing and Appeals System (UHAS), the [Northwestern Student Handbook](#) contains complete texts of several documents, including the Policy Statement on Student Rights and Responsibilities, the Sexual Misconduct Complaint Resolution Process, and the University's Policy on Sexual Misconduct. Most schools also issue their own academic policies and procedures for students. Faculty members are urged to become familiar with the Student Handbook as well as other relevant academic policies and procedures available to faculty through s Ta5hh37j0.48 0 Td()Tj0.94 0 Td(i)Tj0.28 060.001 Tw 1.7 Tw 1.7 0 Td(S2t)-6 (g51c -0.00p04 Tw 0.

[Institutional Animal Care and Use Committee.](#)

Research Safety

The Office of Research Safety (ORS) fosters safety awareness and assists faculty, staff (including postdoctoral fellows), and undergraduate and graduate 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](#).

Copyrights

Northwestern upholds the principle that our faculty retain copyright ownership for traditional works created by the faculty, such as books, films, musical scores, and other works of art. A group of faculty from throughout the University community created the copyright policy with that principle in mind. In addition to traditional works, the creators of the policy provided for the University to share in the benefits of copyrightable software when the University provides extraordinary resource support for the development of the software and when research sponsors assign the copyright to the University. University copyright policies are available from the [Innovation and New Ventures Office website](#).

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 (including postdoctoral fellows), and undergraduate and graduate 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 the University's Intellectual Property Policy. For more information, please contact the Office of Technology Commercialization at (773) 492-1100 or visit our website at [http://www.northwestern.edu/technology-commercialization](#).

including termination of faculty appointment.

Faculty members are also expected to comply with the [University's Policy on Consensual Romantic or Sexual Relationships Between Faculty, Staff and Students](#) in order to ensure that Northwestern's academic and work environment remains free from real or apparent conflicts of interest when individuals in positions of unequal power at the university are involved in consensual romantic or sexual relationships. Failure to comply with this policy may lead to disciplinary action up to and including termination of faculty appointment.

Trademark Licensing

Any use of University symbols and seals must follow Northwestern's [Trademark Licensing Policy](#), available from the Auxiliary Services [website](#).

Responsibilities to the University Community

Northwestern is an equal opportunity employer. The University is engaged in a program of affirmative action that seeks to ensure adequate re

Anyone with questions or who wishes to file a complaint specific to sex discrimination (including sexual misconduct and sexual harassment) should contact Northwestern's Title IX Coordinator in the Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, 847-467-6165, TitleIXCoordinator@northwestern.edu.

A person may also file a complaint with the United States Department of Education's Office for

Compliance, Audit, and Advisory Services in writing that a report has been made (see [Minors at Northwestern Policy](#)).

Conditions of Faculty Service

Faculty and staff are expected to be familiar with and act in accordance with the University's [Standards for Business Conduct](#). Faculty are 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. Additional information on the University's policies is available on the [University Policy website](#).

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 Northwestern Staff Handbook, available on the [policies and procedures page](#) of the office's website.

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The primary department takes responsibility in reviewing the faculty member for annual salary changes, reappointment, promotion, or award of 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 as for the primary department.

immediate family; or problems beyond the faculty member's control relating to their research or scholarly activities. Approval of requests to extend the probationary period will be made without regard to whether a faculty member takes a leave related to the same circumstances presented for the extension. In cases of birth or adoption, approval of requests to extend the probationary period for one year is automatic. In cases of childrearing, requests to extend the probationary period for parents who are at least an equal partner in caring for a child will generally receive favorable consideration. Extensions for childbirth and/or adoption and/or childrearing are limited to a total of two years within a faculty member's pre-tenure probationary period, regardless of the number of children.

All requests for extension of the probationary period must be made by the faculty member in writing and submitted before the beginning of the final year of the probationary appointment. Procedures for requesting such an extension are set forth in the [Policy on Extending the Probationary Period for Tenure-Track Faculty](#), available from the Office of the Provost website.

Certain individuals 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](#), on the Office of the Provost website). 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, tenured faculty are not eligible for promotion.

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 and postdoctoral fellows, e.g., directing research and 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.

Leaves of Absence 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 0.00

supplement their income by withdrawals from a retirement account; such withdrawals while faculty remain in service to the University can occur only 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 their 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 fewe ca ce

[Misconduct](#)” section below.²

Any questions with respect to applications of the [Interim Policy on Title IX Sexual Harassment](#) or the [Policy on Institutional Equity](#) should be directed to Northwestern’s Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, 847-467-6165, equity@northwestern.edu

be incorporated into the preliminary report and the parties will be provided a second and final opportunity to review and provide feedback regarding the new information before the investigators proceed with finalizing the report. The parties may each submit up to ten (10) pages of feedback regarding the new information within ten (10) calendar days after it is made available for review. The Director, Equal Opportunity and Access and/or the Director, Sexual Misconduct Response and Resources or designee may, at their discretion, waive or adjust the page or time limit for the feedback.

Once the investigator has incorporated all feedback to the second investigative report, the Office of Equity will review the report and determine whether the preponderance of the evidence shows the Respondent has violated the [Policy on Institutional Equity](#), or other identified policies. The Complainant and the Respondent will both be notified simultaneously in writing of the outcome of the investigation. The notifications will include findings related to violations of policy and the rationale for all findings. In the event a policy violation is found, the Office of Equity will make a recommendation regarding whether the policy violation warrants considering termination or suspension. This recommendation will be included with the report.

This report and recommendation will be sent by the Office of Equity to the faculty member's department chair, the dean, and the Associate Provost for Faculty. The Office of Equity will also share the recommendation with the complainant and the respondent.

Sanctioning Recommendations

If the Office of Equity, upon completing the investigation, concludes that a policy violation does NOT warrant considering termination or suspension, the faculty member's dean will determine the nature and timing of the sanctions or corrective actions, if any. If the Office of Equity, upon completing the investigation, concludes that a policy violation does warrant considering termination or suspension, the Associate Provost for Faculty, or their designee, in consultation with the faculty member's dean, will then form the Sanctioning Panel, which will determine the appropriate sanctions.

Sanctions and other corrective actions for violations of these policies may include, but are not limited to, those listed in the University's [Policy on Institutional Equity](#).

In most cases, the University investigates complaints of sexual misconduct, discrimination, or harassment within 90 days. This time period may vary depending on the availability of the parties and witnesses, the scope of the investigation and/or the sanctioning process, or unforeseen circumstances. Nothing in this policy shall limit or interfere with the Office of Equity's ability to take interim measures before the outcome of an investigation.

for Faculty,⁴ and two faculty representatives selected from the Faculty Appeals Panel. In matters involving a member of the non-tenure-eligible faculty, one of the two faculty representatives on the Sanctioning Panel shall be a non-tenure-eligible faculty member. The Associate Vice President for Equity (at-large) shall be the Faculty

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- (1) A procedural or substantive error significantly affected the outcome of the investigation or the sanctioning process;
- (2) New evidence, unavailable during the original investigation, is now available and could substantially impact the original finding or sanction. The person filing the appeal must include a description of this new evidence, why it was not available during the investigation, and how it could impact the outcome of the investigation;
- (3) The sanctions imposed are reasonably viewed as substantially disproportionate to the severity of the violation.

In considering an appeal, the Executive Committee of the Faculty Appeals Panel may review all documentation from the investigation and sanctioning process and any appeal statements received from the parties, and it may pose questions of the Office of Equity and the Sanctioning Panel if needed. The Committee may, at its discretion, call individual meetings with the faculty member and complainant or any other individual with firsthand information.

The Executive Committee shall deliver its written report and recommendations to the Associate Provost for Faculty, who will provide the report to the provost, the faculty member, the faculty member's dean and department chair, and the Office of Equity. The Associate Provost for Faculty will also inform the parties, with copy to the Office of Equity, of the recommendations of the Executive Committee.

Upon receipt of the recommendations of the Executive Committee of the Faculty Appeals Panel, the provost will reach a determination whether or not to uphold the recommendations. The provost will, generally within 15 calendar days of receiving the report, inform the Associate Provost for Faculty of their decision, who will then notify the Chair of the Executive Committee of the Faculty Appeals Panel, the faculty member, the faculty member's department chair and dean, the Office of Equity, and other administrators where appropriate. The Associate Provost for Faculty will also inform the parties with copy to the Office of Equity.

If, under one of the grounds described above, (b) (5) - (D) or (b) (5) - (A) applies, the information is exempt from disclosure under the Freedom of Information Act.

- findings, including at least one finding that the faculty member violated one or more of the policies listed above, then the “[Sexual Misconduct, Discrimination, and Harassment Disciplinary Procedures](#)” will apply instead of the procedures in this section;⁵ or
- (2) engaged in research misconduct, in which case the University [Policy for Reviewing Alleged Research Misconduct](#) and related procedures will apply instead of the procedures in this section, provided, however, that any sanction of termination for research misconduct may be appealed to the Board of Trustees pursuant to the procedures in the section below, “[Appeals of Termination Sanctions to the Board of Trustees.](#)”

Determinations of a faculty member’s fitness for duty (in particular, determinations of whether to mandate a fitness evaluation, the results of an evaluation, and any intervention plan adopted in response to an evaluation) are governed by the “[Fitness for Duty](#)” section below and the [Faculty Fitness Panel Policy](#) and not the procedures in this section.

Grounds for Disciplinary Action

After following the procedures outlined below the University may subject a faculty member to disciplinary action if the faculty member has demonstrated conduct inconsistent with expectations of a member of the University community or the general community at large.

Adequate cause for disciplinary action under this section may be based on either (1) incompetent performance or neglect of professional duty; or (2) personal misconduct. The severity of discipline will not exceed a level that is reasonably commensurate with the severity of the cause. Adequate cause for disciplinary action may arise out of or relate to any activity relating to a faculty member’s professional life, including but not limited to teaching, departmental activities, service, creative activities, or research. However, disciplinary action will not be used to restrain faculty members in their exercise of academic freedom.

Except in cases of temporary suspension (as defined in the “[Temporary Suspension](#)” section below), a faculty member will not be terminated or suspended under this section (or assigned to other duties in lieu of suspension) unless and until the procedures in this section have been followed and any available appeals have been exhausted.

Adviser

At any meeting with the faculty member held during the initiation, attempted settlement, fact finding, sanctioning, or appeal of an allegation of misconduct or other grounds for discipline under this section, the faculty member will be permitted to have present a non-attorney adviser of the faculty member’s choice. Although attorneys may not appear with the faculty member at these meetings, as these meetings are not considered to be legal proceedings, it is understood that the faculty member may rely on legal representation in the preparation of materials.

Confidentiality

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Any individuals accused of misconduct will be informed of the allegations and given an opportunity to respond to them. Otherwise, except as is reasonably necessary to resolve a case, the parties, fact-finding committee members, members of appeals panels, advisers, support people, and any other individuals with knowledge of a disciplinary proceeding are expected to preserve the confidentiality of the case.

Initiation of Disciplinary Proceedings

When a complaint is received, the following steps will be taken:

regarding whether adequate cause for suspension or termination has been established by a preponderance of the evidence; (2) determine the sanctions (if any) to be recommended in light of the committee's findings; and (3) prepare a written report with (a) factual findings and conclusions with respect to each allegation of misconduct or other ground for discipline raised as well as (b) any sanctions the committee recommends to be imposed in light of the factual findings and conclusions.

The *ad hoc* committee will speak with witnesses as it determines necessary, review documentary evidence, and evaluate the relevant evidence. In carrying out its work, the committee will give each side equal opportunity to share information and to have its information considered. The faculty member will have access to available evidence that may form the basis for discipline with sufficient time to allow the faculty member to respond, if possible. The committee will consult any additional witnesses reasonably believed to have direct knowledge or information about the activity that may form the basis for discipline. The committee will arrange for complete summaries of its witness interviews to be prepared, provided to the interviewed party for comment or revision, and included as part of the committee's file.

The written report will summarize the evidence reviewed and set forth all factual findings relating to the *ad hoc* committee's conclusions. The report will specify the nature of any finding that the faculty member violated expected standards of conduct or performance and assess the seriousness of the violation. In determining recommended sanctions, the committee will consider its findings of fact, any prior relevant disciplinary or other conduct matters involving the faculty member, any evidence of a pattern of behavior by the faculty member, any risk to the safety of University community members, and sanctions or other corrective actions assessed in comparable situations at the University. With(nc)4 (i)-2 v321(i)onfy

Executive Committee will nominate members of the Faculty Senate to serve on the Committee on Cause. A sufficient number of faculty will be nominated such that five members of the Committee on Cause are available to be empaneled to hear each case. When the appellant is a non-tenure-eligible faculty member, at least two of the five panel members will be non-tenure-eligible faculty.

No faculty member may serve on the Committee on Cause during the same year(s) that the faculty member is a member of the Faculty Appeals Panel.

If a timely written appeal is received, the Associate Provost for Faculty will forward it to Committee on Cause and the faculty member's dean. The Committee on Cause will convene a five-member panel to hear the appeal, in consultation with the Associate Provost for Faculty. The faculty member's dean will be permitted to file a statement in response within 21 calendar days of receipt of the appeal; provided, however, that if the appeal is received between June 1 and September 1, the response will be due on the third Friday of the month of September. If requested, the Associate Provost for Faculty may grant the dean additional time to submit a response.

The Committee on Cause panel will be appointed pursuant to established procedures of the Faculty Senate and in consultation with the Associate Provost for Faculty. Panel members may be disqualified for bias or prior involvement in the case, either at the request of a party or on their own initiative.

The role of the Committee on Cause panel will be to determine whether one of the following grounds for appeal is present and make a recommendation to the provost based on that determination:

- (1) a procedural or substantive error significantly affected the outcome of the investigation or the sanctioning process;
- (2) new evidence, unavailable during the investigation, is now available and could substantially affect the findings or sanctions imposed (the faculty member filing the appeal should describe this new evidence, explain why it was not available during the investigation, and explain how it could have affected the findings or sanctions imposed);
or
- (3) the sanctions imposed are reasonably viewed to be substantially disproportionate to the severity of the cause for discipline.

In considering an appeal, the Committee on Cause is not mandated to engage in additional fact finding or investigation, but may do so if the materials submitted to it as grounds for appeal contain discrepancies or ambiguities. The panel may review the *ad hoc* committee report; any other documentation from the *ad hoc* committee's case file and the appeal and response with any supporting documentation. Additionally, the panel may ask either party or others to produce any relevant documents not previously submitted. If requested, the panel will allow each party to submit evidence or appear before the panel to add to or explain the written record in the case. Additionally, the panel may on its own initiative request that either party appear to answer

questions or request meetings with any other individual with relevant information. To the extent possible, the panel will provide each party against whom adverse information has been submitted an opportunity to respond to this information. Once the panel's review is complete, it will convene to deliberate and prepare its written report and recommendations.

The Committee on Cause panel may recommend that the provost uphold the sanction or, if it determines one of the grounds for appeal is present, it may recommend that the provost overturn the sanction.

appellant's unit or school. When the appellant is a non-tenure-eligible faculty member, at least two of the panel members will be non-tenure-eligible.

on Cause Chair.

On the basis of the Committee on Cause panel's report, the Associate Provost for Faculty may either uphold the sanction, overturn the sanction, or determine procedures for reconsidering the sanction. The decision of the Associate Provost for Faculty should generally be made within 15 calendar

the period of the temporary suspension.

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 and detailed information on benefits for full-time or half-time benefits eligible faculty is available from the [Benefits Division](#) of the Office of Human Resources. 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” section) on a half-time or greater basis for the entire academic year or on a full-time basis for half the academic year or more. Additional information for faculty members who are eligible for benefits, but are employed less than full time, is also available on the [benefits page](#) of the Office of Human Resources website. Provided they are paid exclusively by the University or an affiliated institution, research faculty members are eligible for benefits similar to full-time, non-tenure-eligible faculty members (with the exception of faculty family leaves for childbearing, adoption, and childrearing; a description of [research faculty parental leave of absence benefits](#) is available on the Office of the Provost website). 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 members must complete their online benefits enrollment through [myHR Self Service](#) within 31 days of the beginning of the appointment. t tt

are pregnant.) 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 plan.

Faculty Family Leaves for Childbearing, Adoption, and Childrearing

Paid leave is available to full-time, benefits eligible, tenure-line faculty for childbirth, adoption, or childrearing within the first 12 months following birth or adoption. Full-time, benefits eligible, instructional faculty who have completed three years of continuous, full-time service (or have an appointment at the end of which they will have 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. Childrearing leave is available to eligible faculty in addition to childbearing or adoption leaves. For faculty members whose primary academic appointment is in Weinberg College, School of Education and Social Policy, School of Communication, Medill, McCormick, Bienen, or Kellogg, paid leave is provided for one academic term to faculty who give birth to or adopt a child, and one academic term for childrearing. For faculty in Feinberg School of Medicine, Pritzker School of Law, or Northwestern University in Qatar, paid leave is provided for ten weeks to faculty who give birth or adopt a child, and ten weeks for childrearing. Research faculty leaves are addressed in their

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