NORTHWESTERN UNIVERSITY
FACULTY HANDBOOK

Last Updated April 1, 2015
Approved by the Faculty Senate April 1, 2015

NORTHWESTERN
UNIVERSITY

Northwestern University Faculty Handbook

Last Updated: April 1, 2015
Approved by the Faculty Senate: April 1, 2015

We are pleased to provide an updated Northwestern University Faculty Handbook, endorsed by both the administration and the Faculty Senate. The handbook describes the rights and responsibilities of membership in the faculty.

The Faculty Handbook is a product of a cooperative effort between the Faculty Senate and the administrative officers of Northwestern University. In preparing this update of the handbook, we have incorporated agreements between the administration and the Faculty Senate. In addition, we have drawn upon widely accepted academic policy and practice as reflected in the recommendations of the American Association of University Professors and other organizations. Please note that information in the Faculty Handbook 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 communicated to all members of the faculty through Northwestern News, electronic mail, or relevant web site updates in the Office of the Provost, the Department of Human Resources and other offices, as appropriate.

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

The current text of this handbook is available online at:
http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf

The online version contains current links to specific policy statements and other resources referenced in this document.

Best regards,

Stephen F. Eisenman, President, Faculty Senate

Daniel I. Linzer, Provost

Table of Contents

Academic Freedom

The University Community

The Faculty

Officers of Instruction
Organization of the Faculties
Voting Members
Powers
The Graduate School
School of Professional Studies
Summer Session
Faculty Governance

Responsibilities of the Faculty

Teaching Activities of the Faculty
Academic Integrity Violations
Advisory System
Students with Disabilities
Recommendations and Confidentiality
Personal Problems of Students
Student Handbooks
Postdoctoral Fellow Policies
Research Staff Policies
Access to Scheduled Classes
Scholarly Activities of the Faculty
Proposals to External Agencies
Human and Animal Subjects
Research Safety
Copyrights
Patents and Inventions
Integrity in Research
Conflicts of Commitment and Conflicts of Interest
Responsibilities to the University Community
Policies on Discrimination and Harassment
Policies on Sexual Misconduct and Sexual Harassment
Trustee Statement on Disruption
Statement on a Drug-Free Workplace
Reporting Suspected Child Abuse and Neglect

Conditions of Faculty Service

Appointments
Joint Budgetary Appointments
Tenure

Promotion and Tenure Procedures
Assistant Professors
Associate Professors
Professors
Evaluation
Notice of Release
Appeal Procedures
Faculty Grievances
Petition or Report to the Board of Trustees
Faculty with Disabilities
Faculty Records
Leaves of Absence
Personal Leaves of Absence
Academic Leaves of Absence
Procedures
Summer Medical Leaves for Untenured Tenure-Track Faculty
Release from Teaching for Tenure-Track Faculty
Notice of Resignation
Retirement
Indemnification
Eligibility for and Privileges of Emeritus Faculty
Travel Allowances
Salary Payments

University Disciplinary Procedures
Imposition of Reprimands and Minor Sanctions
Procedures for the Appeal of Reprimands and Minor Sanctions
Imposition of Major Sanctions
Procedures for the Appeal of Major Sanctions

Sexual Misconduct and Sexual Harassment Disciplinary Procedures

Faculty Benefits
Retirement and Other Benefit Programs
Retirement Savings Plan
Flexible Spending Account
Social Security
Medical Leave
Leaves for Childbearing, Adoption and Childrearing
Medical Leave/Fitness-for-Duty
Insurance
University-Financed Plans
Group Term Life Insurance
Travel Accident Life Insurance
Workers' Compensation
Contributory Plans

Health Insurance
Dental Insurance
Supplemental Term Life Insurance
Long-Term Disability

Other Benefits

Relocation Resources
Educational Assistance Plans
Child-Care Referral Service
School Tuition Discounts

Faculty Handbook

Academic Freedom

Northwestern University subscribes to the principles on academic freedom stated by the American Association of University Professors (AAUP) as follows (See http://aaup.org/our-programs/academic-freedom/resources-academic-freedom):

(1) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(2) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

(3) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

The University Community

Northwestern University is committed to identifying and implementing ways to create and support a diverse and inclusive campus community. The institution strives to create a community that fosters personal and intellectual growth by bringing together faculty, students, and staff from different backgrounds and perspectives to engage in a mutual exchange of ideas and experiences. Faculty members have a responsibility to educate themselves and act on University policies related to this commitment, as outlined in this handbook.

The Faculty

Officers of Instruction

Appointments and promotions of officers of instruction (with the exception of students serving as teaching assistants) are made by the Board of Trustees upon nomination by the president of the University, after consultation with the provost, the appropriate school deans, and faculty hiring committees as appropriate. (For a complete listing and descriptions of faculty categories, see the Faculty and Staff Information System (FASIS) Manual, published jointly by the Office of the Provost and the Office of Human Resources, at

http://www.northwestern.edu/hr/about/announcements-initiatives/fasis/manual/fasis_manual.pdf).

The officers of instruction ranks are as follows: professors (including adjunct, clinical, visiting, of instruction, of practice, and in residence), associate professors (including adjunct, clinical, visiting, of instruction, of practice and in residence), assistant professors (including adjunct, clinical, visiting, of instruction, of practice, and in residence), lecturers (including distinguished senior lecturers, senior lecturers and lecturers), and instructors.

Students serving as teaching assistants and postdoctoral fellows serving in teaching roles are officers of instruction but are not considered faculty members for the purposes of this handbook. Clinical associates (in the Feinberg School of Medicine), on the other hand, are members of the faculty, but are not officers of instruction, as they are not engaged in either the teaching or research activities of the University. Likewise, persons holding faculty-level research appointments (appointed by the vice president for research) are not officers of instruction as their efforts are directed exclusively to research and publication. Further information governing faculty-level research appointments is available from the Office for Research (http://www.research.northwestern.edu/policies/research-appointments/research-faculty.html).

Organization of the Faculties

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

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, associate professors of instruction, assistant 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 line. Moreover, term appointments of four years (renewable) to the Graduate Faculty for non-tenure eligible 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 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 Statutes and Bylaws is available at http://www.northwestern.edu/faculty-senate/about/bylaws.html. 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 is responsible for transmitting accumulated knowledge. Faculty whose appointments entail research expectations are also responsible for discovering new knowledge. In addition, faculty members are responsible for participating in the business of the University, as well as its schools and departments, through committee service, attendance at faculty meetings and other customary ways.

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

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

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

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

central goals of excellent scholarship, stimulating teaching, and a vigorous, creative academic community.

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

As members of the Northwestern community, faculty may encounter individuals (students, faculty, staff, visitors, etc.) whose behaviors raise concerns about their health, their safety or the safety of others or that are highly disruptive, aggressive or violent. Such individuals may make explicit threats of violence against another member of the Northwestern community or express overtly suicidal thoughts. Faculty members who encounter such individuals must report their concerns promptly to the dean's office of the school to which they belong or to the Office of the Provost or, if the risk of danger appears imminent, to University Police by calling 911. Resources and policies are available within Northwestern on suicide prevention (http://www.northwestern.edu/counseling/outreach-education/suicide-prevention/), threat assessment (http://www.northwestern.edu/up/crime/threat-assessment.html) and violence prevention (http://www.northwestern.edu/up/crime/violence-prevention.html).

Teaching Activities of the Faculty

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

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

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

Faculty members should hold regular office hours, although in exceptional circumstances faculty members may, instead, with the approval of the department chair, offer students an alternative, easily accessible, regular method for communicating outside class. For students whose schedules conflict with the instructor's posted office hours, opportunity for consultation by appointment should be provided. Graded examinations and papers should be provided for student inspection

and discussion with the instructor. The faculty member is responsible for all work carried out by teaching assistants. During the term, tests and quizzes should be graded and returned promptly. Reasonable opportunity shall be provided for students to review final examinations and papers with their instructors during a period of at least two weeks at the beginning of the subsequent term. Instructors normally retain students' papers and answers to examination questions during this period. In order to verify grades recorded by the registrar and to answer possible inquiries, instructors should retain their grade books for at least one year.

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

Academic Integrity Violations

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

Advisory System

All Northwestern faculty have a responsibility to advise students. Faculty should make themselves available on a regular and publicized basis for consultation with students and inform themselves concerning academic and procedural matters that they may be asked to discuss with students seeking their counsel. In addition to general advising duties, some faculty fulfill programmatic advising functions. All new undergraduate students are assigned to faculty advisers, who are expected to assist them in planning their academic work and in dealing with problems related to that work. Students beyond their first year also 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.

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, determined by the University to be necessary to afford such student the opportunity for full participation in University programs. Faculty members should consult the AccessibleNU faculty resources web site regarding the implementation of this policy (http://www.northwestern.edu/accessiblenu/faculty/general-information/).

Recommendations and Confidentiality

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

Personal Problems of Students

Students may come to faculty members when they are experiencing personal problems. Faculty members may be able to assist these students by referring them to offices that can assist them directly. If the faculty member is unsure where to refer a student or needs direct assistance in dealing with a student problem, he/she should contact the office of the vice president for student affairs for assistance and advice. Alternatively, faculty can refer students directly to Counseling and Psychological Services (CAPS). Additional information is available online (http://www.northwestern.edu/alcohol-resources/get-help/help-for-faculty-staff/). Among students with personal problems, some may raise additional concerns that they represent a threat to themselves or others. Faculty who encounter such students must report their concerns promptly to the dean's office of the school to which they belong or to the Office of the Provost or, if the risk of danger appears imminent, to University Police by calling 911.

Student Handbooks

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

Postdoctoral Fellow Policies

The Office of Postdoctoral Affairs advises faculty on postdoctoral training policies and guidelines (http://www.tgs.northwestern.edu/resources-for/postdocs/appointments/policies.html). Faculty should also consult the Postdoctoral Fellows section of the Staff Handbook for additional information (http://www.northwestern.edu/hr/policies-forms/policies-procedures/staffhandbook.html).

Research Staff Policies

The Office of the Vice President for Research advises faculty on research staff policies and guidelines(http://www.research.northwestern.edu/policies/research-appointments/research-staff.html).

Access to Scheduled Classes

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

Scholarly Activities of the Faculty

Proposals to External Agencies

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

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

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

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

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

Human and Animal Subjects

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

All research involving human subjects must either be reviewed and approved by IRB or be certified by IRB as exempt from review before any research is undertaken. IRB approval is required for research utilizing questionnaires, interviews, and other means of gathering attitudes, opinions, and views, as well as research involving direct biological or behavioral interventions. Studies involving retrospective chart review, database analysis, prospective collection of biological specimens, and collection of blood samples must also be reviewed by IRB before the study is conducted. The Office of the Institutional Review Board determines whether or not a specific study is exempt from IRB review; such a determination may not be made by the individual investigator.

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

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

Further information may be obtained from the Institutional Review Board (http://www.irb.northwestern.edu) and from the Institutional Animal Care and Use Committee (http://www.research.northwestern.edu/oprs/acuc/).

Research Safety

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

Copyrights

Northwestern University 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 http://www.invo.northwestern.edu/policies/copyright-policy.

Patents and Inventions

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

Integrity in Research

It is the policy of the University to require high ethical standards in research; to inquire into and, if necessary, investigate and resolve promptly and fairly all instances of alleged misconduct; and

to comply in a timely manner with agency requirements for reporting on cases of possible misconduct when sponsored project funds are involved. Further details are found in "Guidelines for Investigators in Scientific Research" and "Integrity in Research and Procedures for Reviewing Alleged Misconduct," available from the web site of the Office of the Vice President for Research (http://www.research.northwestern.edu/ori/policies/).

Conflicts of Commitment and Conflicts of Interest

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

Professional activities conducted by faculty members outside the University are a privilege, not a right, and must not interfere with a faculty member's University responsibilities. Faculty may be permitted up to twenty percent (20%) of professional effort for activities beyond the scope of their primary faculty duties involving teaching and research. Effort devoted to administrative activities, in contrast, is not associated with any privilege to engage in outside activities and, consequently, faculty with substantial effort devoted to administration have less time potentially available for extramural activities. Extent of outside activities permitted for medical clinical faculty is determined by the entity (Northwestern Medical Group, 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 may be 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 Faculty Conflict of Commitment and Conflict of Interest," available at the web site 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 at

http://www.northwestern.edu/uservices/printing_trademark/trademark_licensing/licensing_policy.html.

Responsibilities to the University Community

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.

Policies 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, veteran status, or genetic information in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. Harassment, whether verbal, physical or visual, which is based on any of these characteristics is a form of discrimination. This includes harassing conduct affecting tangible job benefits, interfering unreasonably with an individual's academic or work performance, or creating what a reasonable person would perceive is an intimidating, hostile, or offensive environment.

All members of the Northwestern community – faculty, staff, students, and contracted vendors – share a collective responsibility for creating a discrimination-free and harassment-free 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.

Faculty may find further information about these policies via the Office of Human Resources web site (http://www.northwestern.edu/hr/equlopp-access/equal-employment-opportunity/nondiscrimination).

Policies on Sexual Misconduct and 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. 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. 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 (http://www.northwestern.edu/sexual-harassment/university-policies/).

Trustee Statement on Disruption

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

Statement on a Drug-Free Workplace

Northwestern University is committed to maintaining a drug-free workplace in accordance with the requirements of the Drug-Free Workplace Act (http://www.research.northwestern.edu/policies/drug-free-workplace.html).

Reporting Suspected Child Abuse and Neglect

Minors may visit the campus for a number of reasons, including but not limited to visits as matriculated or prospective students or as part of an athletic, cultural, or academic camp or program. The protection of minors, especially from physical or sexual abuse, is a core value of Northwestern University, and every member of the campus community has an obligation to comply with the provisions of this policy. Furthermore, the Illinois Abused and Neglected Child Reporting Act specifies that all University employees are mandated reporters of suspected cases of child abuse and/or neglect. (http://www.northwestern.edu/hr/policies-forms/policies-procedures/reporting-suspected-child-abuse-and-neglect/)

Conditions of Faculty Service

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 on the office's web site (http://www.northwestern.edu/hr/policies-forms/policies-procedures/).

Faculty and staff are expected to be familiar with and act in accordance with the University's Standards for Business Conduct (http://www.policies.northwestern.edu/standards/). Additional information is available on Ethics and Compliance at http://www.northwestern.edu/ethics/.
Faculty are also expected to comply with the University's policies and procedures that are published and available to the faculty, as well as with federal and state regulatory requirements.

Appointments

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

The ranks of (associate) professor emeritus, professor of instruction, distinguished senior lecturer, senior lecturer, and lecturer and any position denominated as visiting, adjunct, clinical, contributed service, in-residence or part-time are non-tenure eligible positions. Service in any of these ranks may not be counted as part of the probationary period. These non-tenure eligible appointments in certain schools of the University perform various specialized functions and may be considered as annual appointments or as multiyear appointments. Such appointments are made in accordance with established procedures formulated by the school concerned.

Joint Budgetary Appointments

Faculty appointments may be held simultaneously in more than one department. If both departments provide salary support, the appointment may be referred to as a joint budgetary appointment. The department providing the major portion of salary support is the primary department; if two departments contribute equally, one must still be designated as "primary". The "primary" department takes responsibility in reviewing the faculty member for annual salary changes, reappointment, 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 in all participating departments.

Tenure

Tenure signifies an appointment for an indefinite period. Service as full-time, tenure line 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 non-tenure eligible 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 tenure line faculty rank. Following the review of the faculty member's candidacy for tenure, the faculty member is notified either that tenure has been granted or that a decision has been made not to grant tenure. The academic year following the tenure review is either the faculty member's first year with tenure or the terminal year (non-tenure eligible) on the faculty. Neither service as a visiting faculty member at Northwestern nor service at another institution prior to appointment at Northwestern is counted as part of the probationary period; in some cases, however, the probationary period at Northwestern may be abbreviated in consideration of previous service at another institution.

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

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

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

Some persons in programs such as the Center for Public Safety, the Department of Athletics and Recreation, and the Reserve Officer Training Corps and certain administrators elsewhere in the

University may be given courtesy faculty appointments that are coterminous with, and secondary to, their primary administrative appointments and do not lead to tenure. In most matters, administrators holding these coterminous appointments are covered by the provisions for exempt personnel in the Staff Handbook.

Promotion and Tenure Procedures

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

Assistant Professors

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

Associate Professors

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

Professors

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

Evaluation

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

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

Information about University Disciplinary Procedures is provided in the sections below.

Notice of Release

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

Appeal Procedures

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

accordance with guidelines available from the web site of the Office of the Provost (http://www.northwestern.edu/provost/docs/fap_guidelines.pdf).

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

Faculty Grievances

Faculty members with grievances unrelated to reappointment, promotion, or tenure should raise their grievance with their department chair or the administrator responsible for that University unit. If discussion does not lead to an acceptable resolution, the faculty member should bring the grievance to the attention of the appropriate dean, associate dean, or other administrative head, who should meet with the faculty member and address the matter within a reasonable time. If the faculty member is still unsatisfied, he/she should raise the grievance with the provost or with the vice president to whom that unit reports, who should respond promptly. If the faculty grievance involves a disciplinary action imposed by departmental, school or university administration, faculty also have the right to appeal to the Committee on Cause as described in the section on University Disciplinary Procedures. If the faculty grievance involves an allegation of discrimination or harassment in violation of the University's policies, please see sections about Policies on Discrimination and Harassment and Policies on Sexual Misconduct and Sexual Harassment.

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

Petition or Report to the Board of Trustees

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

Faculty with Disabilities

The University is committed to providing equal employment opportunities and reasonable accommodations for qualified individuals with disabilities. The University acts in accordance with the Americans with Disabilities Act, the Rehabilitation Act of 1973, and state law. The University prohibits discrimination against a qualified person with a disability in employment practices such as the job application process, hiring, promotion, termination, compensation, and other conditions of employment. Additionally, the University works to provide all individuals with disabilities an environment that affords them full participation, equal access, and reasonable accommodation of their disabilities (see http://www.northwestern.edu/hr/equlopp-access/employees-with-disabilities/disabilities-accommodation.html).

Faculty Records

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

Leaves of Absence

Unless they have been formally granted leaves of absence, or special arrangements have been made with the school dean, and apart from University holidays and brief absences required for professional or other reasons, faculty members are expected to be in residence and available to students and colleagues throughout the period of their appointment — in the case of faculty on nine-month appointments, from the arrival of students in the fall through Commencement.

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

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

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

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

Personal Leaves of Absence

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

Academic Leaves of Absence

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

(1) is encouraged to secure outside funding to at least partially recover school costs. Provision of financial support is the responsibility of the faculty member in concert with the school dean. In cases where funding for a warranted leave is not readily available, the applicant and the dean should seek support in a variety of ways, making full use of all University resources. On occasion, special circumstances may arise that warrant funding from central administrative resources to promote professional development.

(2) will continue to meet certain responsibilities to graduate students 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.

Procedures

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

- The faculty member's rationale and plan for the leave
- The faculty member's prior performance and achievements
- The faculty member's past leave history

• The impact on the department and/or school in meeting its educational mission
• The financial impact on the department and/or school

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

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

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

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

Summer Medical Leaves for Untenured Tenure-Track Faculty

Tenure-track faculty members on nine-month appointments who receive medical leave as described in the section of this handbook on Medical Leaves for six weeks or longer during a summer of the tenure probationary period may request release from teaching responsibilities for one academic term in the subsequent academic year. Such release from teaching responsibilities will not be granted if the medical leave occurs after the school dean's negative decision regarding tenure.

Release from Teaching for Tenure-Track Faculty

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

Notice of Resignation

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

Retirement

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

Phased retirement of up to three years' duration is available to faculty members 55 years of age or over who have at least 15 years of service at Northwestern University and wish to retire at an age agreeable both to the faculty member and to the administration. Faculty members who select this option are assigned 50 percent of their normal academic responsibilities (as defined by the dean of the school) and receive 60 percent of their normal academic year salary. University contributions to benefits treat the faculty member as full-time but are based on the reduced salary. Upon selecting phased retirement, a faculty member enters into an agreement with the University that specifies financial arrangements and an agreed-upon retirement date; all other protections of tenure continue to apply. During phased retirement, faculty members may supplement their income by withdrawals from a retirement account; such withdrawals while faculty remain in service to the University can only occur if the faculty member is 59 and one-half years of age or older. Faculty members who are considering phased retirement should consult the dean of the school or the Office of the Provost.

Provided that they do not take other employment where they would be eligible for such coverage, faculty members with at least 10 years of continuous full-time service who participate in a University health or dental plan as of the date of retirement are eligible to continue such coverage through Northwestern retiree health and/or dental insurance programs — including family coverage — beginning at age 55. Faculty members with fewer than 10 years of full-time service may qualify according to a schedule available on the Benefits Division web site. 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 an 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 web site (http://www.northwestern.edu/uservices/travel/).

In addition, the University offers tenure line 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 web site (http://www.northwestern.edu/provost/faculty-resources/career-life/).

Individual schools may offer dependent care travel grants to their non-tenure eligible 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 payments 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/).

University Disciplinary Procedures

Faculty members who have not performed their required academic duties as set out by their School, Department, or Unit; or who have demonstrated conduct that is inconsistent with expectations of a member of the University community or the general community at large can be subject to disciplinary action by the administration.

For allegations that a faculty member has violated the University's Policy on Sexual Misconduct, Stalking, and Dating and Domestic Violence, Policy on Sexual Harassment, and/or Policy on Consensual Relationships Between Faculty, Staff, and Students (available at http://www.northwestern.edu/sexual-harassment/university-policies/), the Sexual Misconduct and Sexual Harassment Disciplinary Procedures outlined in the section below are followed instead of the procedures described in this section.

In initiating a disciplinary action, the administrative unit must notify the faculty member of the following: the charges being brought, the factual evidence supporting the charges, and the relevant University policy and/or the basis for showing that the faculty member has breached acceptable standards for responsible academic service or conduct. Disciplinary procedures against faculty members can be at three levels: (1) Reprimands-- notices of issues that do not result in any overt disciplinary action but that require corrective action by the faculty member. Failure to enact the corrective action can, but does not necessarily, lead to other disciplinary procedures. (2) Minor sanctions-- any disciplinary procedure that carries an imposed penalty on the faculty member that does not impede their academic activities. For example, these may include the removal of honors, extensive training activities, or salary freezes. (3) Major sanctions-- actions leading to the loss of salary, removal of all teaching responsibilities, loss of institutional support for academic or research activities, suspension, or termination.

Two faculty committees consider matters concerning disciplinary proceedings initiated by the administration: (1) Faculty Committee on Cause; and (2) Faculty Appeals Panel. The Faculty Committee on Cause provides an initial evaluation of appeals by faculty members in cases where the administration has imposed a minor sanction or is pursuing suspension or termination for Cause. The Committee on Cause is selected annually by the Faculty Senate and consists of seven faculty members. The Faculty Appeals Panel, whose primary function is to evaluate appeals from faculty related to reappointment, promotion, and tenure as described earlier in this handbook, also deals with disciplinary charges against faculty members in situations in which a full hearing is necessary. No faculty member may serve on the Committee on Cause during the same year(s) that he/she is a member of the Faculty Appeals Panel.

Imposition of Reprimands and Minor Sanctions

If a School, Department, or Unit believes that the conduct of a faculty member justifies imposition of a reprimand or minor sanction, it will notify the faculty member of the basis of the proposed reprimand or minor sanction (as described above). If the faculty member believes that the proposed reprimand or minor sanction is unjust, the faculty member may make a request in writing within 20 days to the School, Department or Unit to reconsider. If, after reconsideration, the School, Department or Unit notifies the faculty member of a reprimand or minor sanction

with which the faculty member disagrees, the faculty member may, within 20 days of receipt of that notification, request in writing a review by the Faculty Committee on Cause, followed, if necessary, by appeal to the Faculty Appeals Panel according to the procedures set forth below. Once all appeal procedures have been exhausted, the School, Department, or Unit may impose the reprimand or minor sanction.

Procedures for the Appeal of Reprimands and Minor Sanctions

Should a faculty member make a timely appeal to the Committee on Cause, the Committee will consider information provided by the faculty and the administration in reviewing the matter. At its discretion, the Committee on Cause may seek further information. The Committee on Cause will advise the Provost as to whether, in its opinion, there is probable cause for the imposition of the proposed reprimand or minor sanction. It is not the function of this Committee to make formal findings of fact, but to advise on the reasonableness of the proposed reprimand or minor sanction imposed in light of the facts presented by the administration and the faculty member. The opinion of the Committee on Cause shall be advisory to the Provost.

Imposition of Major Sanctions

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

Procedures for the Appeal of Major Sanctions

Procedures for imposition of a major sanction shall commence by notification of the faculty member of a reasonably particularized statement of charges and proposed major sanction against the faculty member by the Provost or the Provost's delegate ("the Administration"). In the event that the discussions between the faculty member and appropriate administrative officers do not produce a mutual settlement, the charges and the responses thereto by the faculty member can be referred to the Faculty Committee on Cause by either the faculty member or the administration.

At its discretion, the Committee on Cause may seek further information. The Committee on Cause will advise the Provost as to whether, in its opinion, there is probable cause for the imposition of the proposed major sanction. It is not the function of this Committee to make formal findings of fact, but to advise on the reasonableness of the proposed major sanction in light of the facts presented by the administration and the faculty member. The opinion of the Committee on Cause shall be advisory to the Provost.

If, after reviewing the advice of the Committee on Cause, the Provost finds there to be cause to continue proceedings leading to imposition of the proposed major sanction, the faculty member may request that an ad hoc committee of the Faculty Appeals Panel (the "Ad Hoc Committee") conduct a hearing. Such a request must be made within 20 days of notice of the proposed sanction. The Ad Hoc Committee will make findings of fact about the validity of the charges and make recommendations to the Provost about the proposed sanction in light of such findings of fact. Members disqualified for bias or interest will be removed from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two challenges without stated cause.

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

The Ad Hoc Committee 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 Committee will evaluate all available evidence and rest its recommendation only upon the evidence in the record.

The Ad Hoc Committee, 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 Committee 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 Committee 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 Committee determines that the interests of justice require admission of their statements, the Ad Hoc Committee 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 Committee will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved. The findings of fact and the decision will be based solely on clear and convincing evidence in the hearing record.

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

The Ad Hoc Committee may conclude: (1) that there was not adequate cause for the charge(s) brought; or (2) there was adequate cause for the charge brought and may recommend alternative sanctions; or (3) there was adequate cause for the charge brought and the proposed sanction was appropriate. The Ad Hoc Committee will then report its findings and recommendations, in writing, to the Administration and to the faculty member. The Administration will weigh carefully the findings and recommendations of the Ad Hoc Committee.

It is the expectation of the Faculty and Administration that rejections of the findings and recommendations of the Ad Hoc Committee will be rare. Should the Provost reject the Ad Hoc Committee's recommendations in a particular instance, however, he/she will provide the full Faculty Appeals Panel and the faculty member specific reasons, in writing, for any such rejection and will meet with the full Faculty Appeals Panel, if so requested, to discuss the rejection of the Panel's recommendations. The Administration will also afford the Faculty Appeals Panel or the

faculty member a period of not less than 15 days to respond after such notice is given before transmitting the case to the Board of Trustees.

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

Sexual Misconduct and Sexual Harassment Disciplinary Procedures

Based on federal law, specifically Title IX and the Violence Against Women Act (VAWA), accompanying federal regulations, and guidance issued by U.S. Departments of Education and Justice, the following procedures apply in cases where the University's Title IX Coordinator has determined, by a preponderance of the evidence gathered through an investigation, that a faculty member has violated the University's Policy on Sexual Misconduct, Stalking, and Dating and Domestic Violence, Policy on Sexual Harassment, and/or Policy on Consensual Relationships Between Faculty, Staff, and Students (available at http://www.northwestern.edu/sexual-harassment/university-policies/index.html). These procedures supersede those described in the University Disciplinary Procedures section above. Any references in these procedures to the Title IX Coordinator also include any designate of the Title IX Coordinator.

Both the determination regarding whether one of the above policies has been violated and the imposition of any sanctions or other corrective actions by the Title IX Coordinator or the Sanctioning Panel, as described below, will be completed within 60 days of the receipt of a complaint alleging violation of one of the above policies, unless the University determines in its discretion that additional time is required. The Title IX Coordinator will inform the parties if the findings and any initial sanction decision cannot be completed within the 60-day time period. Nothing in this policy shall limit or interfere with the Title IX Coordinator's ability to take interim measures before the outcome of an investigation to protect the complainant or respondent or others involved in the investigation process.

In cases where the Title IX Coordinator determines that a reprimand or minor sanction, including a "no contact" order, are the only sanctions or other corrective actions that are needed due to the nature of the violation, the faculty member will be provided with a summary of the findings and the reprimand/minor sanctions notice. Simultaneously, the complainant will also be provided with a written summary of the findings and any sanctions or other corrective or remedial actions related to the complainant. The relevant Dean and the Associate Provost for Faculty will receive a copy of the summary of the findings and any sanctions or other corrective actions provided to the faculty member.

In cases where the Title IX Coordinator determines that a major sanction may be warranted, a Sanctioning Panel shall 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 section above on University Disciplinary Procedures.

The Sanctioning Panel shall be comprised of the faculty member's Dean, the Associate Provost for Faculty, and two faculty representatives selected from the Faculty Appeals Panel. The Title IX Coordinator and the Vice President for Human Resources will be present as a resource to the Panel but will not vote, except that in the event of a tie, the Vice President for Human Resources will be called upon to vote to break the tie. A representative from the Office of General Counsel will be available to provide legal advice to the Sanctioning Panel.

The role of the Sanctioning Panel shall not be to gather new evidence, re-investigate the allegations, or make findings of fact, but to determine what, if any, sanction(s) should be imposed for the violation found in the investigation. In determining the appropriate sanctions and other corrective actions, the Sanctioning Panel shall consider the investigation report and findings, 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. The Sanctioning Panel shall advise the faculty member, in writing, of the sanctions and/or other corrective actions determined for the policy violation. Simultaneously, the complainant will also be provided with a written summary of the sanctions assessed and any corrective or remedial measures related to the complainant. If the faculty member wishes to appeal the sanctions and/or corrective actions issued by the Sanctioning Panel, or if the complainant wishes to appeal the sanctions and/or corrective actions of the Sanctioning Panel, either party must file an appeal in writing with the Associate Provost for Faculty within 10 days of the issuance of the decision of the Sanctioning Panel. It shall be in the discretion of the Sanctioning Panel whether to implement or stay the sanctions and/or other corrective actions pending the resolution of the appeal.

If a timely appeal is received, the Associate Provost for Faculty shall convene the Executive Committee of the Faculty Appeals Panel to consider the appeal. The work of the Executive Committee of the Faculty Appeals Panel should generally be completed within a 30-day time frame from the date that the Panel received the appeal. The party not filing the appeal will be provided with a copy of the written appeal and shall be permitted to file a statement in response to the appeal within 10 days of receiving a copy of the appeal. The role of the Executive Committee of the Faculty Appeals Panel shall not be to gather new evidence, re-investigate the allegations, or make findings of fact, but to determine whether the grounds for appeal specified below have been met and to make a recommendation to the Provost by means of written report. The original finding and sanction are presumed to have been decided reasonably and appropriately by a preponderance of the evidence, and the only grounds for appeal are as follows:

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, 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 may pose questions of the Title IX Coordinator or his/her designee and the Sanctioning Panel if needed. The Committee may call individual meetings with the faculty member and complainant or any other individual with firsthand information. If the Executive Committee of the Faculty Appeals Panel determines that there was a procedural or substantive error that significantly affected the outcome of the investigation or sanctioning process, it will recommend to the Provost that the complaint be returned to the Title IX Coordinator for reconsideration in light of the errors found. If the Executive Committee of the Faculty Appeals Panel determines that new evidence should be considered, it will recommend to the Provost that the case be returned to the Title IX Coordinator for reconsideration in light of the new evidence. If requested by the Provost, the Title IX Coordinator will reconsider the matter and issue a decision in writing to both parties simultaneously within 30 days of the case being returned to the Title IX Coordinator, unless the Title IX Coordinator determines in his or her discretion that additional time is required. If the findings of the Title IX Coordinator materially change as a result of reconsideration, the Sanctioning Panel may then leave unchanged, increase, decrease, or otherwise modify the sanctions. Any further decision by the Sanctioning Panel will be made within 30 days of the case being referred to the Sanctioning Panel unless the Sanctioning Panel determines in its discretion that additional time is required.

If the Executive Committee of the Faculty Appeals Panel determines that the sanctions imposed are substantially disproportionate to the severity of the violation, it will recommend to the Provost that the matter be returned to the Sanctioning Panel for reconsideration. If requested by the Provost, the Sanctioning Panel will reconsider the matter and may then leave unchanged, increase, decrease, or otherwise modify the sanctions. Any further decision by the Sanctioning Panel will be made within 30 days of the case being referred to the Sanctioning Panel unless the Sanctioning Panel determines in its discretion that additional time is required.

The Executive Committee of the Faculty Appeals Panel 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 complainant, the Dean of the School and the Title IX Coordinator.

The Provost will reach a determination based on the findings and recommendations of the Executive Committee of the Faculty Appeals Panel. The Provost will inform the Associate Provost for Faculty, who will then notify the Chair of the Executive Committee of the Faculty Appeals Panel, the faculty member, the complainant, the Dean of the School, the Title IX Coordinator, and other administrators where appropriate. The Chair of the Executive Committee of the Faculty Appeals Panel may request written reasons for the Provost's decision and/or a meeting with the Provost. The Provost's decision on the appeal is final.

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 (http://www.northwestern.edu/hr/benefits/). The University intends to continue these plans indefinitely, but reserves the right to change, modify, or terminate any plan.

Insurance and retirement benefits are provided for faculty members appointed to one of the faculty instruction ranks (see section on Officers of Instruction) 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 through Human Resources (http://www.northwestern.edu/hr/benefits/). Research faculty are eligible for benefits similar to full-time, non-tenure eligible faculty (with the exception of the childbearing, adoption and childrearing leaves described later in this handbook) provided they are paid exclusively by the University or an affiliated institution. Visiting faculty members are generally assumed to retain benefit status in their home institution. However, visitors may participate in selected University-sponsored health insurance plans if they meet benefits eligibility requirements. Otherwise, visitors may purchase the health insurance plan offered through the Office of Risk Management.

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

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

Retirement and Other Benefit Programs

Retirement Savings Plan

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

Faculty members may elect to invest the full contribution in TIAA, CREF, or Fidelity, or they may elect to apportion the contribution among TIAA, CREF, and Fidelity. By arrangement between the University and Fidelity Investments, no initial investment or load fee is charged

against such investments. Under certain conditions, participants may transfer accumulated assets among TIAA, CREF, and Fidelity Investments funds.

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

Flexible Spending Account

Under this plan, participants may transfer income to the health- and dependent-care accounts to pay for eligible (tax-deductible) expenses not otherwise covered by insurance or other benefit plans. Payments made to these accounts are excluded from federal and state income taxes and from Federal Insurance Contributions Act (FICA) taxes (i.e., Social Security and Medicare). Maximum annual contributions are set each year, and further details are available on the Human Resources Benefits Division web site (http://www.northwestern.edu/hr/benefits/saving-spending-accounts/dependent-care-fsa.html). 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 benefits-eligible half-time or greater appointments who are unable to work as a result of a medically certified disability become eligible for paid sick leave. Such faculty members may receive up to six consecutive months (including summer) at budgeted salary. The University reserves the right to determine a faculty member's ability to resume normal duties upon returning from sick leave. Expected medical-disability absences that will

interrupt scheduled teaching duties need special prior planning and consideration and should be discussed with the department chair and/or dean's office before the beginning of the affected term.

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

Leaves for Childbearing, Adoption and Childrearing

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

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

If a medically certified disability arises as a result of pregnancy or childbearing which renders the faculty member unable to work before or after the academic term in which the faculty member takes this childbearing leave, the faculty member is eligible for additional leave described in the "Medical Leave" section above. Further information regarding University policy pertaining to family leave is available from the Provost Office web site (http://www.northwestern.edu/provost/policies/faculty-leave-and-holidays/policy-on-faculty-family-leave.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 University 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

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 dependent children through age 25 are eligible for coverage under the Health, Dental, Vision and Life Insurance plans. Dependent status requires individuals to be an eligible tax dependent on the faculty member's federal and state income tax returns. Dependent children include natural, step-, and legally adopted children, and any children who are in the faculty member's legal custody under an interim court order prior to finalization of adoption proceedings. No individual may be covered more than once under University-sponsored benefit plans.

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

Health Insurance

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

Dental Insurance

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

Supplemental Term Life Insurance

Faculty members who desire additional term life insurance may apply for such coverage under the University's supplemental term life insurance plan. The amount that may be purchased is a multiple of a faculty member's academic year salary, up to a maximum of $2,000,000 (for basic and supplemental combined). Three- to five-times coverage may be available, based upon evidence of insurability if the amount exceeds $1,000,000. If the application for three- or more-times coverage is not approved, the faculty member is guaranteed a maximum of three times coverage not to exceed $1,000,000. 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

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 sick leave taken. 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

Relocation Resources

Through its Work/Life Program, the University offers relocation resources to faculty members. Additional information is available from the Human Resources web site (http://www.northwestern.edu/hr/work-life/relocation/).

Educational Assistance Plans

Provided that they meet specified eligibility requirements, benefits-eligible full-time faculty members may participate in Northwestern's Educational Assistance Plan for Employees. The Employee Reduced Tuition 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 Employee Reduced Tuition application form once per calendar year. Individuals are subject to the rules and prerequisites of their school of attendance. Employee 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 2015 maximum of $5,250 per calendar year. The Employee NU Certificate Plan is available for eligible faculty to take certificate courses at Northwestern University. The benefit is limited to tuition and eligible fees, and allows a 2015 maximum reimbursement of $3,000 per calendar year. The total maximum of all employee educational assistance is $10,000 per calendar year, whereby any amount over $5,250 is considered taxable income per IRS rules. Please refer to http://www.northwestern.edu/hr/benefits/educational-assistance/ for more information.

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

The Dependent 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 Dependent Portable Tuition benefit is available for undergraduate study at other institutions. Service requirements and benefit levels for these plans vary with the service date of the faculty member, with changes in the plan taking effect 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. Dependent children's 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 service are eligible for educational assistance. To benefit from reduced tuition for a spouse, domestic partner, or dependent child, a retiree must be age 55 or older and 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 term of study only. (As stated above in the "Retirement" section, retirement is the point at which a faculty member ceases to work full-time, not merely ends his/her employment at Northwestern University).

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

Child-Care Referral Service

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

School Tuition Discounts

Children of faculty receive certain discounts from Baker Demonstration School, Chicago Grammar School, North Shore Country Day School and Roycemore School, as explained on the Human Resources Benefits Division web site at http://www.northwestern.edu/hr/work-life/childcare/ and http://www.northwestern.edu/hr/work-life/relocation/family-matters.