
Faculty Handbook



NORTHWESTERN
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Northwestern University Faculty Handbook

The information contained in this Faculty Handbook is current as of April 2001. Information concerning, but not limited to, such matters as the conditions of faculty employment, benefit plans, and University policies is subject to change from time to time. Notice of such changes will be promulgated to all members of the faculty in the University's internal newspaper, the *Observer*, and by memorandum distributed through campus mail or by electronic mail. Faculty members are encouraged to confirm that information in this edition of the Faculty Handbook is current by consulting the Web sites of the Office of the Provost or the Department of Human Resources, as appropriate. Many changes in policy, or announcements of new policy, are included on the Web site of the Office of the Provost; current benefit programs and policies are described in the Benefits Division section of the Human Resources Web site.

The text of this handbook is available online at www.northwestern.edu/provost/handbook/. The online version contains links to specific policy statements and other resources referenced in this document.

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

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



Andrew Wachtel, Chair
General Faculty Committee



Lawrence B. Dumas, Provost

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

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

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Academic Freedom

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

(1) The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of [his/her] other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(2) The teacher is entitled to freedom in the classroom in discussing [his/her] subject, but [he/she] should be careful not to introduce into [his/her] teaching controversial matter which has no relation to [his/her] subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

(3) The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When [he/she] speaks or writes as a citizen, [he/she] should be free from institutional censorship or discipline, but [his/her] special position in the community imposes special obligations. As a [person] of learning and an educational officer, [he/she] should remember that the public may judge [his/her] profession and [his/her] institution by [his/her] utterances. Hence [he/she] should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that [he/she] is not an institutional [spokesperson].

The Faculty

Officers of Instruction

Appointments and promotions of officers of instruction (except for students serving as teaching assistants) are made by the Board of Trustees upon nomination by the president of the University, after consultation with the provost and the appropriate school deans.

The officers of instruction rank as follows: professors (including visiting and adjunct professors), associate professors (including visiting and adjunct associate professors), assistant professors (including visiting and adjunct assistant professors), associates, instructors, College lecturers, senior lecturers, and lecturers. The title "(associate) professor emeritus in service" is held by emeritus faculty members who continue to be paid by the University. A person holding

a rank designated as clinical is considered to be an officer of instruction.

Students serving as teaching assistants are also officers of instruction but are not considered faculty members for the purposes of this handbook.

Clinical associates (in the Medical School) and persons holding faculty-level research appointments (appointed by the vice president for research) are not considered officers of instruction. Policies covering these appointments are available, respectively, from the Medical School and in the policy statement "Faculty-Level Research Appointments," available from the Web site of the Office of the Vice President for Research.

**Organization
of the Faculties**

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

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

VOTING MEMBERS

The president of the University, the provost, and the dean of the school and all professors, associate professors, and assistant professors (except visiting, adjunct, and contributed service faculty members) are voting members of the faculty of the school in which they hold appointment. Each faculty sets the conditions under which professors emeritus in service, associates, instructors, lecturers (including college 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. Except for students serving as teaching assistants, other officers of instruction, including contributed service faculty, are faculty members but do not have voting privileges.

POWERS

Subject to the approval of the Board of Trustees, each faculty (excepting that of the School of Continuing Studies) 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 discipline of students except as the University Hearing and Appeals System,

the Sexual Assault Hearing and Appeals System, and the Chicago Campus Hearing Board have been granted jurisdiction over cases involving nonacademic discipline.

THE GRADUATE SCHOOL

Members of the faculty of the Graduate School, other than the administrative officers, are drawn from the faculties of the schools that have placed the administration of all or part of their graduate work under the control of the Graduate School. The Graduate School faculty is limited to persons who hold the academic rank of assistant professor or above. Insofar as possible, the Graduate School is composed of persons of demonstrated ability and continuing interest in research whose academic duties normally involve instruction and supervision of graduate students. Appointments to the faculty of the Graduate School are made by the president upon the recommendation of the dean of the Graduate School and the provost.

SCHOOL OF CONTINUING STUDIES

The faculty of the School of Continuing 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 Continuing Studies. The faculty of each school is responsible for establishing degree requirements for programs under the academic charge of the School of Continuing Studies. In consultation with an appointed Faculty Council, the dean of the School of Continuing 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. The Graduate School is responsible for admission to graduate programs in the School of Continuing Studies.

SUMMER SESSION

The School of Continuing Studies coordinates the offering of 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 Continuing Studies oversees the activities of the Summer Session.

University Senate

The University Senate considers matters of general interest to the University and matters that affect more than one school. It may make recommendations on matters of educational policy. It may recommend candidates for honorary degrees. It may elect special and standing committees of faculty members to consider matters within the powers of the senate.

The membership of the senate includes all full-time faculty at the ranks of assistant professor and above, (adjunct, contributed service, and visiting faculty excluded) and others nominated by school faculties and elected to membership by the Senate.

The officers of the senate are a presiding officer, who is the president of the University, and a secretary elected by the members. The provost may by delegation preside in place of the president.

GENERAL FACULTY COMMITTEE

The General Faculty Committee (GFC) is a standing committee of the University Senate composed of elected representatives of the various schools of the University as well as at-large members.

The GFC, as a representative of the senate, acts as an advisory group on issues of significance to the University and provides liaison between the faculty and the University administration.

The GFC has the following standing committees: benefits; budget; cause; faculty development/minority issues; educational affairs; medical faculty issues; research affairs; and tenure. Faculty members are urged to consult the GFC home page to learn more about GFC activities and to contact their GFC representatives with ideas for improving University policies and practices.

Responsibilities of the Faculty

The faculty of the University has the dual responsibility of participation in the transmission of accumulated wisdom on the one hand and of scholarship and participation in the discovery of new knowledge on the other. The roles are mutually interactive: Teaching and research inform and sustain each other. Faculty should structure their activities to maximize this interaction.

In addition, through due service on committees, attendance at faculty meetings, and in other customary ways, faculty members are expected to participate actively in the conduct of the University's affairs — the business of the departments, the schools, and the institution generally.

Faculty are members of a community including students, staff, and faculty colleagues. Members of the Northwestern community are expected to deal with each other with respect and consideration.

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 copying of computer software. The relevant policies can be found on the Web page of Northwestern's Office of Information Technology.

The University recognizes that teaching responsibilities take a variety of forms, including but not limited to development of performance or research skills in the studio or research laboratory, tutorials, advising, supervision of graduate students and clinical trainees, and course and curriculum development. Through the work of the Searle Center for Teaching Excellence, 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. All faculty consultations with center staff are confidential.

Because of the many scholarly and professional enterprises represented at Northwestern, the University cannot provide guidelines common to all forms of faculty productivity. Faculty members are expected to be 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's responsibility in this aspect of faculty activity is the provision of adequate facilities and resources to support faculty and student research and other creative efforts. 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.

Teaching
Responsibilities

Teaching responsibilities and specific course assignments are established by the school dean and/or department chair. In setting teaching responsibilities consideration is given to the faculty member's engagement in research and other University 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 policy 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 by mechanical means, 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 DISHONESTY

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. 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 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 are asked to fulfill programmatic advising functions. All new undergraduate students are assigned to faculty advisers, who are expected to assist them in planning their academic work and in dealing with problems related to that work; since advisers are frequently the students' initial personal contact with the University faculty, such meetings are especially important. Students beyond their first year also should have access to faculty advising. Often this takes the form of having a designated adviser in the student's chosen field of study. Advisers should acquaint themselves as fully as possible with their advisees' academic interests and achievements in order to give them appropriate guidance in planning their academic programs. Insofar as is practical, advisers are assigned to students within their particular discipline.

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

STUDENTS WITH DISABILITIES

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

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 permits faculty members to provide only very limited information such as is included in the published University directory. 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.

STUDENT HANDBOOKS

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

ACCESS TO SCHEDULED CLASSES

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

Scholarly Activities of the Faculty

PROPOSALS TO EXTERNAL AGENCIES

The University strongly urges faculty members to seek external support for their research. The Office of Research and Sponsored Programs (ORSP) and Accounting Services for Research and Sponsored Programs (ASRSP) handle administrative details and provide assistance. ORSP 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 ORSP, 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.

ORSP provides preaward and postaward service to investigators. Members of the staff are available for consultation on all matters concerning the external funding of sponsored programs.

The Research Information Guide, available online, 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 and forms may be found on the ORSP Web site; and a listing of research-relevant University policies is on the Web site for the Office of the Vice President for Research.

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 Animal Care and Use Committee (ACUC), 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 for the Protection of Research Subjects 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.

In the case of animal subjects, ACUC 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, ACUC inspects animal facilities and investigator laboratories and reports its findings to the associate vice president for research. ACUC also makes recommendations to the vice president for research regarding any aspect of the institution's animal program, facilities, or personnel training.

Further information may be obtained from the Office for the Protection of Research Subjects or its Web site.

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.

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," 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 Technology Transfer Program Web site.

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.

OUTSIDE ACTIVITIES

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.

Outside activities must not interfere with University responsibilities. 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 Office of the Vice President for Research.

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

Any use of University symbols and seals must follow the “Northwestern University Trademark Licensing Policy,” available from University Services and its Web site.

Conditions of Faculty Service

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

The Department 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, available in each departmental office and on the department’s Web site.

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 the Immigration Reform and Control Act of 1986. When necessary, and without providing legal counsel, the International Office assists prospective faculty members in obtaining proper immigration status permitting work in the United States. It is in all cases the faculty member’s responsibility to maintain proper immigration status and work authorization in the United States. Unless the faculty member’s letter of appointment specifies that the appointment is not tenure track, the ranks of professor, associate professor, and assistant professor, are considered to be regular faculty ranks, and full-time service in these
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Appointments
continued

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

Evaluation

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

Tenure

Tenure signifies an appointment for an indefinite period. Service in the regular faculty ranks of instructor (except in the Medical School), associate, assistant professor, associate professor, and 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 "clinician investigator" or "clinician" tracks are nontenure-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 regular 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 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, 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, page 22, and Medical Leave, page 35.) 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 or adoption of a child will generally receive favorable consideration. All such requests for an extension of the probationary period must be made by the faculty member in writing and should 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.

Tenure
continued

Faculty members are subject to removal by the Board of Trustees for grave misconduct or neglect of duty. (See Termination or Suspension of Faculty for Cause, page 28.)

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 courtesy appointments are covered by the provisions for exempt personnel in the Staff Handbook.

Promotion
and Tenure
Procedures

Procedures concerning promotion and tenure vary from school to school within the University. 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.

ASSISTANT PROFESSORS

Though appointment lengths may vary, depending upon a faculty member's prior experience, assistant professors are normally appointed for a three-year term. The appointment may be renewed for a second three-year term. 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.

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 regular faculty ranks.

PROFESSORS

All professors are placed on indefinite tenure, unless specified otherwise at the time of the appointment.

Notice of Release	<p>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, 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.</p>
Appeal Procedures	<p>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. The dean or the provost 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, marital status, age, disability, or veteran status. In such a case, the faculty member may, within 60 days from the date notification of the decision is given, file a written appeal with the University Faculty Reappointment, Promotion, Tenure, and Dismissal Appeals Panel (UFRPTDAP); 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. UFRPTDAP conducts its proceedings in accordance with guidelines that are available upon request. 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 UFRPTDAP. If, following review of the UFRPTDAP recommendation, the administration affirms the original decision, the year specified as the terminal year of the appointment will remain the terminal year. Appointments to positions such as program head, department chair, etc., are administrative appointments, and decisions regarding such appointments are not appealable to UFRPTDAP.</p>
Faculty Grievances	<p>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. Resolution of a grievance is aided significantly if it is formulated</p>

Faculty
Grievances
continued

in writing with reasonable specificity. Faculty members who desire to appeal disciplinary actions imposed by the administration should refer to University Disciplinary Procedures (see page 28).

Petition or
Report to
the Board
of Trustees

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

Faculty Records

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

Leaves of
Absence

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

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

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

A faculty member is not considered to be on leave during a term in which he/she happens not to have any scheduled classroom responsibilities but maintains all educational and service responsibilities, such as advising, departmental administration, committee

assignments, and other forms of service. Such a faculty member is considered to be “in residence.” However, if the faculty member desires to be absent from campus for any substantial period during the nonteaching quarter, i.e., a month or more, a formal leave of absence should be requested for that specific time period.

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

PERSONAL LEAVES OF ABSENCE

A faculty member may be granted a personal leave of absence of fixed duration for reasons such as childbearing, child rearing, personal or family emergencies, required military service, and illness. Northwestern faculty are covered by the provisions of FMLA (Family Medical Leave Act). Personal leaves of absence must be coordinated with, and are not in addition to, leaves as provided for in FMLA. Except in the case of paid sick leave (see page 35), personal leaves of absence are generally unpaid.

ACADEMIC LEAVES OF ABSENCE

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

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

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

and

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

PROCEDURES

Each school publishes policies and procedures for faculty leaves of absence, including guidelines concerning the length and frequency

of leaves. In evaluating the request for an academic leave of absence, the dean, with the advice of the chair of the faculty member's department, will consider

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

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

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

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

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

Summer
Medical Leaves
for Nontenured
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 positive recommendation or negative decision regarding tenure.

Release from Teaching for Tenure-Track Faculty	<p>Effective with faculty appointed beginning September 2001 or later, and 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.</p>
Notice of Resignation	<p>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 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.</p>
Retirement	<p>Retirement intentions of current faculty members figure importantly in planning for faculty hiring. Faculty members who are considering retirement should consult with the dean of the school. Faculty members who are considering special arrangements for retirement should consult the dean of the school or the provost.</p> <p>University policy concerning special arrangements to facilitate retirement of faculty members 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 to provide maximum flexibility to faculty members interested in retirement while maintaining the quality of the University's programs.</p> <p>Phased retirement 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</p>

Retirement
continued

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. Faculty members who are considering phased retirement should consult the dean of the school or 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 individual 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.
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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
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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.

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 University computer network services, in some cases for a fee. 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 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 not ordinarily 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.

Travel Allowances	Faculty members are encouraged to participate in the activities of learned societies, and when they take a significant part in the meetings of such groups, the University makes every effort to help defray their travel expenses. Requests for such allowances should be made to the Office of the Dean of the school. Faculty members are reimbursed for travel expenses according to the guidelines set forth in the booklet "Travel Policies and Procedures," available from the Travel Services Office and through the University Services Web site.
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Salary Payments	The University's fiscal year begins September 1 and ends August 31. All faculty members (whether on 9-, 10-, 11-, or 12-month appointments) receive their salaries in 12 monthly installments during the fiscal year. Salary checks are distributed on the last business day of each month. Salary payments may be deposited directly to faculty members' bank accounts; the Department of Human Resources will furnish information on this direct deposit program.
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University Disciplinary Procedures

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

Termination or Suspension of Faculty for Cause	Termination of an appointment with continuous 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 fitness 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.
Imposition of Minor Sanctions	If the University administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it will notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to persuade the administration that the proposed sanction should not be imposed. Within 20 days of receipt of that

notification, a faculty member who believes that a minor sanction has been unjustly imposed may request, in writing, mediation and review by the Faculty Committee on Cause, followed, if necessary, by appeal to UFRPTDAP according to the procedures set forth below.

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

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

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

Pending a final recommendation by the Panel, the faculty member will not be suspended or assigned to other duties in lieu of suspension, unless immediate harm to the faculty member or others 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 UFRPTDAP Executive Committee concerning the propriety, the length, and the other conditions of the suspension. Salary 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 Panel may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (1) simplify the issues, (2) effect stipulation of facts, (3) provide for the exchange of documentary or other information, and (4) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.

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

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

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

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

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

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

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

The faculty member and the Administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the Panel determines that the interests of justice require admission of their statements, the Panel will

identify the witnesses, disclose their statements, and if possible provide for interrogatories.

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

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

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

If the Panel concludes that adequate cause for dismissal or other severe sanction has not been established by the evidence in the record, it will so report to the Administration. If the Administration rejects the report, the president will give notice of such rejection and state the reasons for doing so, in writing, to the Panel and to the faculty member, and provide an opportunity for response for a specified period of not fewer than 15 days after such notice is given before transmitting the case to the Board of Trustees. If the Panel concludes that adequate cause for dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons, and will so notify the Administration and the faculty member. If the dismissal or other severe sanction is recommended, the Administration will, upon request of the faculty member given to the Administration within 15 days after notice of the Panel's recommendation is given, transmit to the Board of Trustees the record of the case.

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

Faculty Benefits

The University offers a variety of employee benefits, described briefly below. This description is not a full explanation of University-sponsored benefits. Additional plan provisions are described in materials available to faculty members from the Benefits Division of the Department of Human Resources. The University intends to continue these plans indefinitely, but reserves the right to change, modify, or terminate any plan.

Insurance and retirement benefits are provided for faculty members appointed to one of the faculty instruction ranks (see Officers of Instruction, page 6) on a half-time or greater basis for the entire academic year or on a full-time basis for half the academic year. 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.

For faculty members who enroll in Northwestern benefit plans, the effective date of coverage is the first day of the month following the month in which the appointment began. A new faculty member may obtain coverage for the first month of his/her appointment by paying in advance the full monthly premium directly to the University. To be eligible for benefits without demonstration of insurability, new faculty must submit completed enrollment forms within 31 days of the beginning of the appointment.

To qualify a same-sex domestic partner for coverage under University-sponsored benefit plans, an employee and his/her same-sex domestic partner must submit to the Benefits Division of the Department of Human Resources a Declaration of Same-Sex Domestic Partner Relationship form.

Retirement and Other Benefit Programs

CONTRIBUTORY RETIREMENT PROGRAMS

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 mutual 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.
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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 basic (matched) retirement program is funded by both the faculty member and Northwestern. There are two contribution schedules (Plan A and Plan B). In Plan A, each participating faculty member contributes 5 percent of his/her academic year salary; the University contributes 10 percent. Under Plan B, the percentage of contributions varies with the faculty member's age, but the faculty member/University ratio remains 1 to 2. Both University contributions and faculty members' pre-tax contributions cease when contributions reach the relevant federal maxima.

Regular full-time faculty members with the rank of instructor or above and senior and College lecturers may participate in Contributory Retirement Plan A if they are 24 years of age or older and have completed one year's service. The year waiting period is waived if a faculty member was employed by and eligible for benefits at a tax-exempt or governmental employer for at least one year immediately prior to beginning employment at Northwestern.

Part-time faculty members who serve half time or more and full-time faculty members who hold the rank of lecturer are eligible to participate in Northwestern's Contributory Retirement Plan B if they are 24 years of age or older and have completed one year's service. The year waiting period is waived if a faculty member was employed by and eligible for benefits at a tax-exempt or governmental employer for at least one year immediately prior to beginning employment at Northwestern.

The faculty member's contribution to either Plan A or Plan B is made from tax-deferred income; such contributions are excluded from the calculation of federal and state income taxes when the contributions are deducted from the faculty member's paycheck. Taxes are paid when accumulated funds are withdrawn. Retirement plan deductions are subject to FICA (Social Security and Medicare) taxes.

Basic (matched) contributions may be allocated to Regular Annuity (RA) contracts offered through TIAA-CREF or to matched accounts through Fidelity Investments.

After making basic (matched) contributions for 10 years, a faculty member is eligible to allocate matched contributions to a Group Supplemental Retirement Annuity (GSRA) contract offered by TIAA-CREF or to voluntary accounts through Fidelity Investments.

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.

Faculty who are eligible to participate in the University's retirement plan but are not participating will be automatically enrolled unless they decline such participation in writing to the Benefits Division of the Department of Human Resources. The faculty member's contribution will be 1 percent of his/her salary, with the University contributing twice the individual's contribution, or 2 percent. Contributions will be invested in the CREF Money Market Fund. An individual may change the fund allocation and increase contributions to the applicable percentage based upon his/her age and job classification at any time by contacting the Benefits Division.

GROUP SUPPLEMENTAL RETIREMENT CONTRIBUTIONS

In addition to its basic (matched) retirement program, the University offers faculty the opportunity to make voluntary (nonmatched) contributions in lieu of or over and above basic (matched) contributions. Such contributions may be allocated to TIAA-CREF Regular Annuity (RA) or Supplemental Retirement Annuity (GSRA) contracts or Fidelity Investments voluntary accounts. Voluntary contributions may be taken partly or wholly in lump-sum form while a faculty member is actively employed or after separation or retirement, subject to IRS regulations. These regulations state that, depending upon the faculty member's age and the reason for withdrawal, he/she may be subject to a 10 percent penalty in addition to ordinary income taxes.

The total amount of basic (matched) and voluntary (nonmatched) contributions that a faculty member may contribute is subject to statutory maximum limits that will be calculated by the Benefits Division upon request.

Withdrawal of retirement plan monies should be undertaken with the advice of a tax counselor unless the monies are transferred by direct rollover to another investment company.

FLEXIBLE SPENDING ACCOUNT (FSA)

Under this plan, participants may transfer income to the health- and dependent-care accounts to pay for eligible (tax-deductible)

expenses not otherwise covered by insurance or other benefit plans. Payments made to these accounts are excluded from federal and state income taxes and from Federal Insurance Contributions Act (FICA) taxes (i.e., Social Security and Medicare). The maximum monthly contribution for the health-care account is \$500 (\$6,000 annually), and the maximum monthly contribution for the dependent-care account is \$416.66 (\$5,000 annually). The minimum monthly contribution is \$10. IRS regulations specify that any year-end account balances are forfeited. Employees wishing to reenroll for the following year must submit an enrollment form 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 family income.

SOCIAL SECURITY

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

MEDICAL LEAVE

Faculty members with half-time or greater appointments who are unable to work as a result of a medically certified disability become eligible for paid sick leave. Faculty members with tenure may receive up to six consecutive months (including summer) at budgeted salary. Faculty members without tenure may receive up to three months at budgeted salary and up to three additional months at 60 percent of budgeted salary; untenured faculty members with 10 or more years of continuous full-time service receive the same sick leave benefit available to tenured faculty. The University reserves the right to determine a faculty member's ability to resume normal duties upon returning from sick leave.

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

LEAVE FOR CHILDBEARING

When normal parturition causes cessation of active service, a faculty member is eligible for up to six weeks of leave with pay. If a medically certified disability arises in connection with pregnancy or parturition, the faculty member is eligible for the same sick leave

benefit provided for other disabilities (see Medical Leave, above). Faculty members who want a leave of more than six weeks for reasons connected with childbearing but not involving medically certified disability should apply for a personal leave of absence, following the procedures set forth in the section on Leaves of Absence (see page 22).

Expected medical-disability absences that will interrupt scheduled teaching duties need special prior planning and consideration and should be discussed with the department chair before the beginning of the affected term.

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 benefit of \$175,000. This coverage factor is reduced by 8 percent per year once the faculty member reaches age 55. A faculty member's group term life insurance coverage expires when the individual leaves Northwestern's employ unless an application for conversion is submitted to the insurance company within 31 days of the termination date.

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

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

CONTRIBUTORY PLANS

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

Family members and their unmarried dependent children age 19 or younger are eligible for coverage under the Health, Dental, and Accidental Death and Dismemberment (AD&D) plans. Such coverage extends to age 23 provided the dependent child is a full-time student. Dependent status requires individuals to have their principal residence with the faculty member, to rely on the faculty member for financial support, and to be listed as a 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 and dental 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 and dental coverage subject to COBRA (Consolidated Omnibus Budget Reconciliation Act) provisions. Participants pay 102 percent of total premium costs. Upon the death of a faculty member, the surviving spouse or domestic partner may elect coverage under the retiree health and dental insurance plans for himself/herself and any dependent children.

Accidental Death & Dismemberment (AD&D) Insurance Under the group accident insurance program, faculty members who serve at least half time for an academic year or longer may cover themselves and eligible dependents for accidental death or dismemberment. Coverage may be purchased in units of \$10,000 to a maximum of \$1,000,000. A faculty member's AD&D coverage expires when the individual leaves Northwestern's employ unless an application for conversion is submitted to the insurance company within 31 days of the termination date.

Health Insurance Faculty members may enroll at the time of employment in one of the health insurance plans offered by the University. For full-time participants, the University contributes a portion of the premium for the type of coverage selected (e.g., single, family). 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 contributes one-half of its full-time rate. 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 several HMOs and one PPO plan. Premium contributions to the PPO plan 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. Faculty joining the PPO plan other than during the annual open enrollment period (e.g., at the beginning of an academic year) are not covered for prior existing medical conditions for a period of 12 months, unless a certificate of prior coverage is provided satisfactory to the PPO carrier.

Dental Insurance Faculty members are eligible to participate in the University's group dental plans. Enrollment occurs at the time of employment or, by supplying evidence of insurability, later. The faculty member has a choice of an indemnity plan and a dental maintenance organization plan. If a faculty member does not enroll at the first opportunity, there is no subsequent right to enroll in the indemnity plan, except during an open enrollment period or by applying for enrollment and supplying evidence of insurability. For full-time employees, the University contributes slightly more than one-half of the premium for single or family coverage. For part-time faculty, the University contributes one-half its full-time rate. The faculty member's contribution is taken from income prior to the calculation of federal, state, and FICA (Social Security) taxes.

Optional Term Life Insurance Faculty members who desire additional term life insurance may apply for such coverage under the University's optional 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 \$1,000,000. Three- to five-times coverage may be available based upon evidence of insurability. If the application for three- or more-times coverage is not approved, the faculty member is guaranteed a maximum of two-times coverage. A faculty member's optional term life insurance coverage ends when the individual leaves Northwestern's employ unless arrangements are made to continue the coverage.

Teachers' Collective Insurance (TCI) Faculty members who participate in the TIAA-CREF retirement program are also eligible for TIAA's Teachers' Collective Insurance (TCI). This is a decreasing term life insurance policy for which each participant pays \$2 per month. A faculty member's TCI 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.

Long-Term Disability (Salary Continuance) The University's long-term disability (LTD) plan is an important supplement to the sick leave policy. Under this plan, a faculty member disabled due to injury or illness for a period of more than six consecutive months is entitled to the continuation of up to 60 percent of budgeted salary (to a maximum benefit of \$8,500 per month) or up to 70 percent of budgeted salary (to a maximum total benefit of \$9,917 per month) when benefits from this plan are combined with certain other income such as Social Security disability payments. The six-month waiting period includes vacation time and sick leave taken. Faculty members who serve at least half time, who have reached the age of 24, and who have completed one year's service may participate in this plan. The one-year waiting period is waived if the individual had group-sponsored LTD coverage immediately prior to beginning employment at Northwestern. The University pays 50 percent of the cost of the premium for this insurance; the participant's contributions are made from income subject to federal, state, and FICA taxes. Coverage ends upon termination or retirement.

Other Benefits

HOUSING ASSISTANCE

Through its Faculty Housing Assistance Program, the University assists faculty members with the purchase of a home. A local bank offers mortgage loans with preferred features to Northwestern faculty. One option provides a second mortgage, up to 15 percent of purchase price guaranteed by the University, for a faculty member's purchase of a principal residence. Along with down payment funds provided by the faculty member, the University guaranty eliminates the need for a faculty member to pay private mortgage insurance each month. This option is normally limited to full-time tenured and tenure-track faculty. Approval for this option is required by the University and the bank. A letter of request for consideration of assistance should be endorsed by the dean of the faculty member's school and submitted to the senior vice president for business and finance. The senior vice president will determine whether the University will act as guarantor on any loan transactions.

Other Benefits
continued

The program also provides preferential interest rates on primary mortgages and bridge loans for both tenure-track and nontenure-track faculty members. The mortgage application fee is refunded to the faculty member at closing. The faculty member is responsible for down payment and closing costs.

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

REDUCED TUITION, PORTABLE TUITION,
AND EDUCATIONAL ASSISTANCE PLANS

Provided that they meet specified eligibility requirements, regular full-time faculty members may participate in Northwestern's Educational Assistance Plan for Employees. The Educational Assistance Plan provides faculty with the opportunity for academic enrichment through part-time enrollment in the University's educational programs at reduced tuition. Employees must maintain full-time employment status from the first official day of class through the duration of the term(s) for which the tuition benefit is requested. Individuals are subject to the rules and prerequisites of their school of attendance.

Eligible faculty may receive reduced tuition benefits for a spouse or domestic partner or an eligible dependent child taking undergraduate courses at Northwestern (Reduced Tuition Plan) or an eligible dependent child taking undergraduate courses at schools other than Northwestern (Portable Tuition Plan). Information regarding eligibility of faculty for these plans is found in the "Tuition" section on the Web site of the Benefits Division, Department of Human Resources.

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

Faculty members who retire at age 55 or older and have 10 years or more of continuous, full-time regular service are eligible for

educational assistance. To receive reduced tuition benefits for a spouse, domestic partner, or dependent child, a retiree must have contributed 10 or more years of continuous, full-time service. A faculty member who retires at age 55 or older with fewer than 10 years of qualifying service may continue any benefit being applied to a spouse, domestic partner, or a dependent child's enrollment through the completion of that program of study only.

A spouse, domestic 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, establishment of a new domestic partner relationship, or adoption of the child.

CHILD-CARE REFERRAL SERVICE

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

ROYCEMORE SCHOOL TUITION DISCOUNT

Children of faculty receive a 25 percent tuition discount on educational programs and a 50 percent discount on extended-day (pre-school and after-school) and summer programs at the Roycemore School. Located at 640 Lincoln Street near the Evanston campus, Roycemore is a private day school serving children from kindergarten through grade 12.

NORTH SHORE COUNTRY DAY SCHOOL TUITION DISCOUNT

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

Appendix

University Statements

UNIVERSITY STATEMENT ON SEXUAL HARASSMENT

Northwestern University is committed to the maintenance of an environment free of discrimination and all forms of coercion that impede the academic freedom or diminish the dignity of any member of the University community. The University emphasizes this policy specifically as it pertains to the prevention of sexual harassment and to the obligations of male and female students, faculty, administrators, and staff in this regard.

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

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

Any member of the University community who believes that he or she has been a victim of sexual harassment has a number of options, including taking self-initiated actions; attempting to resolve the problem by informal procedures with the assistance of a confidential counselor, resolutions officer, or the University sexual harassment prevention officer; or bringing a formal complaint.

The University will take appropriate steps to ensure that a person who in good faith brings forth a complaint of sexual harassment will not be subjected to retaliation. The University will also take appropriate steps to ensure that a person against whom such a complaint is brought is treated fairly and has adequate opportunity to respond to such allegations, and that findings, if any, are supported by clear and persuasive evidence. Complaints of sexual harassment should be handled confidentially, with the facts made available only to those who need to know in order to investigate and resolve the matter. The complainant and the person complained against will be notified of the final disposition of the complaint.

If a complaint of sexual harassment is found to be substantiated, appropriate corrective action will follow, up to and including the separation of the offending party from the University, consistent with University procedures for termination or suspension of a faculty member for cause.

A booklet, "What You Should Know about Sexual Harassment: Policy and Guidelines for the Northwestern Community," is distributed to all members of the Northwestern community and is available from the Office of Sexual Harassment Prevention, the Office of the Provost, the Equal Employment Opportunity Office, the Women's Center, and the Chicago Campus Human Resources Office. This information is also available on the Web page of the Office of Sexual Harassment Prevention.

STATEMENT ON A DRUG-FREE WORKPLACE

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

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

(3) As a condition of employment, an employee of Northwestern will notify his/her supervisor if he/she is convicted of a criminal drug offense involving the workplace within five days of the conviction. In the event any such conviction involves an employee

working on a federal contract or grant, the University will notify the granting or contracting federal agency within 10 days of receiving notice of a conviction. A copy of this statement shall be given to all employees.

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

TRUSTEE STATEMENT ON DISRUPTION

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

Sources for Selected Policy Statements and Other Resources Referenced in This Handbook	Extending the Probationary Period
	www.northwestern.edu/provost/faculty/tenurepol.html
	Faculty Conflict of Commitment and Conflict of Interest
	www.northwestern.edu/research/policies/faculty-conflict.html
	Faculty Housing Assistance Program
	Office of the Senior Vice President for Business and Finance
	Faculty-Level Research Appointments
	www.northwestern.edu/research/policies/res-appointments.html#faculty
	Guidelines for Handling Appeals Made to the University Faculty Reappointment, Promotion, Tenure, and Dismissal Appeals Panel (UFRPTDAP)
	Chair, Executive Committee, UFRPTDAP
	Guidelines for Investigators in Scientific Research
	www.northwestern.edu/research/policies/investigators-integrity.html#guidelines
	Human Resources Policies and Procedures
	www.northwestern.edu/hr/policies/
	Integrity in Research and Procedures for Reviewing Alleged Misconduct
	www.northwestern.edu/research/policies/investigators-integrity.html#integrityres
	Patent and Invention Policy
	www.northwestern.edu/ttp/policies/index.html
	Policy Statement on Student Rights and Responsibilities
	www.northwestern.edu/handbook/rules/policy.html
	Principles Regarding Academic Integrity
	www.northwestern.edu/uacc/uniprin.html
	Research Information Guide
	www.northwestern.edu/research/policies.html
	Student Handbooks
	www.northwestern.edu/handbook/
	Summary Plan Descriptions of University Benefits Plans
	www.northwestern.edu/hr/benefits/

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

Trademark Licensing Policy
www.univsvcs.northwestern.edu/trademark_dir.html

Travel Policies and Procedures
www.univsvcs.northwestern.edu/travel/policy_proc.htm

What You Should Know about Sexual Harassment:
Policy and Guidelines for the Northwestern Community
www.northwestern.edu/provost/sexual-harassment/index.htm

It is the policy of Northwestern University not to discriminate against any individual on the basis of race, color, religion, national origin, sex, sexual orientation, marital status, age, disability, or veteran status in matters of admission, employment, housing, or services or in the educational programs or activities it operates, in accordance with civil rights legislation and University commitment.

Any alleged violations of this policy or questions regarding the law with respect to nondiscrimination should be directed to Director of Equal Employment Opportunity, Affirmative Action, and Disability Services, 720 University Place, Evanston, Illinois 60208-1147, phone (847) 491-7458; Office of the Provost, Rebecca Crown Center, Evanston, Illinois 60208-1101.