

Northwestern University
Judd A. and Marjorie Weinberg
College of Arts and Sciences

Chairperson's Handbook
2015-2016 Academic Year

1. CHAIR'S HANDBOOK 2015-2016	2
1.1 I. THE WEINBERG COLLEGE DEAN'S OFFICE	2
1.1.1 MEMBERS OF THE DEAN'S OFFICE	2
1.1.2 DUE DATES OF VARIOUS MATERIALS	2
1.1.3 DUE DATES OF SOME MATERIALS, ALPHABETICAL BY TOPIC	3
1.2 II. CONDITIONS OF EMPLOYMENT AND SALARY ADJUSTMENT	4
1.3 III. APPOINTMENT OF TENURE-TRACK FACULTY	17
1.4 IV. THE PROBATIONARY TERM, REAPPOINTMENT, EXTENSIONS	33
1.5 V. PROMOTION AND GRANT OF TENURE	39
1.6 VI. TEACHING-TRACK FACULTY, SHORT TERM AND RESEARCH APPOINTMENTS	51
1.7 VII. TEACHING, ADVISING, AND UNDERGRADUATE LIFE	67
1.8 VIII. THE CURRICULUM	80
1.9 IX. RESEARCH	87
1.10 X. LEAVES OF ABSENCE, COURSE BUYOUTS AND TRAVEL	89
1.11 XI. STAFF	92
1.12 XII. SPACE, FURNITURE, EQUIPMENT, PHONES, AND SECURITY	94
1.13 XIII. COMPUTER USE AND SUPPORT	100
1.13.1 Computer Purchasing and Policies	101
1.13.2 Data Protection and Security	103
1.13.3 Receiving IT Support	103
1.13.4 Research Computing Resources	104
1.13.5 Teaching and Learning Computing Resources	104
1.13.6 Website Provision and Support	105
1.14 XIV. BUDGETS AND ACCOUNTING	105
1.15 XV. PUBLICATIONS, WEBSITES, AND OTHER EXTERNAL MATTERS	106
1.16 XVI. GRADUATE EDUCATION	108
1.17 XVII. DEVELOPMENT AND FUNDRAISING	111

CHAIR'S HANDBOOK 2015-2016

I. THE WEINBERG COLLEGE DEAN'S OFFICE

MEMBERS OF THE DEAN'S OFFICE

By name: <http://www.weinberg.northwestern.edu/admin/tools/deans-office-directory/index.html>

By function: <http://www.weinberg.northwestern.edu/admin/tools/directory-by-function.html>

DUE DATES OF VARIOUS MATERIALS

Date Due	Materials	To Whom
October 6	Promotion Committee and Tenure Committee nominations	Steven Cole
October 13	Notify Dean's Office of departmental votes on candidates for tenure Notify Dean's Office of probable candidates for promotion for lecturer faculty Winter Quarter freshman seminar descriptions due	Steven Cole Monica Russell y Rodriguez Lane Fenrich
October 27	Dossiers of all candidates for tenure Departmental votes on candidates promotion to full professor	Steven Cole Steven Cole
October 31	Submission of departmental honors coordinator	Mary Finn
November 10	Dossiers of all candidates for promotion to full professor	Steven Cole
January 15	Spring Quarter freshman seminar descriptions due	Lane Fenrich
February 2	Dossiers for tenure-track candidates for reappointment Dossiers for lecturer promotion candidates	Steven Cole Monica Russell y Rodriguez
Early February	Names of seniors likely to be nominated for graduation with departmental honors and name of departmental honors coordinator	Mary Finn
February 1	Faculty requests for leaves of absence in any part of 2015-2016	Department chairperson
Early-to-Mid February	Vita supplements (forms will be sent to chairpersons in January)	Beth Clifford Smith
February 19 ???	Schedule of all 2015-2016 teaching and courses; and requests for additional teaching Requests for faculty leaves of absence in 2015-2016, with chairperson's recommendations	Monica Russell y Rodriguez Edward Gibson
March 1	Weinberg College Nominations for: Administrative Board of Graduate School and Faculty Appeals Panel	Marie Jones
March 9	Nominations of faculty members and TAs for teaching awards	Steven Cole
Mid March	Faculty Evaluations and Salary Recommendations	Katie Dallia
Early April	Proposals for short-term faculty appointments for Fall 2015 and academic year 2015-2016	Beth Clifford Smith
Mid April	Faculty and student marshals for Commencement and for Convocation	Eric Fridman
Mid May	List of Freshman Advisers for 2015-2016	Lane Fenrich
Late May	Exempt and Non-exempt staff evaluations	Beth Clifford Smith
Last Week of May	Seniors nominated for departmental honors	Mary Finn

May 31	Acting department chairperson, summer 2015	Dean Adrian Randolph
June	Chair names Director of Undergraduate Study	Mary Finn
	Name of Student Advisory Board representative and alternate	Mary Finn
Mid June	Fall Quarter freshman seminar descriptions due	Mary Finn
Mid July	Staff Recognition Award Nominations Due	Beth Clifford Smith

DUE DATES OF SOME MATERIALS, ALPHABETICAL BY TOPIC

Topic	Materials	To Whom	Due Date
Additional Teaching	Requests for replacement teaching for required courses for whom there is no available faculty	Monica Russel y Rodriguez	Feb 19
Freshman Advisers	List of Freshman Advisers for 2015-2016	Lane Fenrich	Mid May
Freshman Seminars	Winter Quarter freshman seminar descriptions due	Lane Fenrich	Mid Oct
	Spring Quarter freshman seminar descriptions due	Lane Fenrich	Mid Jan
	Fall Quarter freshman seminar descriptions due	Mary Finn	Mid June
Graduation Marshals	Names of faculty and student marshals for Commencement and for Convocation	Eric Fridman	Mid April
Hiring Plan	Submission of proposed departmental hiring plan	Dean Adrian Randolph	Mid April
Honors, Graduating Seniors	Seniors likely to be nominated for graduation with departmental honors and name of departmental honors coordinator	Mary Finn	Early Feb
	Seniors nominated for departmental honors	Mary Finn	Last Week of May
Leaves of Absence	Faculty requests for leaves of absence in any part of 2015-2016	Department chairpersons	Feb 1
	Faculty requests for leaves in 2015-2016 with chairperson's recommendations	Edward Gibson	Feb 19
Nominations for Faculty Committees	Promotion Committee and Tenure Committees	Steven Cole	Oct 6
	Administrative Board of Graduate School and Faculty Appeals Panel	Marie Jones	Mar 1
Promotion and Tenure	Notify Dean's Office of departmental votes on candidates for tenure	Steven Cole	Oct 13
	Notify Dean's Office of possible and probable candidates for promotion for lecturer faculty	Monica Russel y Rodriguez	Oct 13
	Dossiers of all candidates for tenure, mandatory and early	Steven Cole	Oct 27
	Departmental votes on candidates for promotion to full professor	Steven Cole	Oct 27
	Dossiers of all candidates for promotion to full professor	Steven Cole	Nov 10
	Dossiers for lecturer promotions to senior lecturer or distinguished senior lecturer	Monica Russel y Rodriguez	Feb 2
Reappointment	Dossiers of all tenure-track faculty candidates for reappointment	Steven Cole	Feb 2
	Recommendation of lecturer (teaching-track) faculty for reappointment	Monica Russel y Rodriguez	Feb 2
Salary Recommendations	Faculty evaluations and salary recommendations	Katie Dallia	Mid March
Schedule of Courses	Schedule of all courses in 2015-2016	Monica Russel y Rodriguez	Feb 28- Div. I
			March 7 - Div. II
			April 1, Div. III
Staff Evaluations	Non-exempt and exempt staff evaluations	Beth Clifford Smith	Late May
Staff Awards	Weinberg Staff Recognition Awards	Beth Clifford Smith	Mid July
Student Advisory Board	Name of Student Advisory Board representative and alternate	Mary Finn	June

Summer Chairpersons	Persons in charge of departments in summer 2013	Edward Gibson	May 31
Teaching Awards	Nominations of faculty and TAs	Steven Cole	Mar 9
Teaching Responsibilities		Edward Gibson	Mid Sept
Vita Supplements	(Forms will be sent to chairpersons in January)	Beth Clifford Smith	Early to Mid-Feb

II. CONDITIONS OF EMPLOYMENT AND SALARY ADJUSTMENT

- A. DEPARTMENT MEMBERS' RESPONSIBILITIES.
 - 1. SERVICE AND CITIZENSHIP.
 - 2. PRESENCE ON CAMPUS.
 - 3. JURY DUTY.
 - 4. OFFICE HOURS.
 - 5. POLITICAL ACTIVITIES; USE OF UNIVERSITY FACILITIES.
 - 6. NON-DISCRIMINATION AND HARASSMENT, INCLUDING SEXUAL HARASSMENT.
 - 7. GUIDANCE ON CIVILITY AND VIOLENCE
 - 8. CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT.
 - 9. OUTSIDE ACTIVITY FOR PAY; APPOINTMENTS AT OTHER INSTITUTIONS.
 - 10. ADDITIONAL NU EMPLOYMENT OF FULL-TIME NU FACULTY.
 - 11. INTEGRITY IN RESEARCH.
 - 12. DRUG-FREE WORKPLACE.
 - 13. PERSONAL PROBLEMS.
 - 14. CONTRACTS: ESPECIALLY FOR SOFTWARE DEVELOPMENT, MULTIMEDIA PRESENTATIONS, LONG-DISTANCE LEARNING
 - 15. DEPARTING FACULTY AND UNIVERSITY-OWNED PROPERTY.
 - 16. WORK WITHOUT COMPENSATION
 - 17. GIFTS TO THE UNIVERSITY FROM FACULTY AND STAFF
 - 18. PURCHASING GOODS AND SERVICES FOR PERSONAL USE THROUGH UNIVERSITY ACCOUNTS.
 - 19. PHONES, FAXES, POSTAGE, AND DUPLICATING
 - a) THE DEPARTMENT PAYS.
 - b) THE FACULTY MEMBER PAYS.
 - c) THE GRANT PAYS.
 - 20. EXPENSES FOR DUPLICATION OF CLASSROOM HANDOUTS.
 - 21. UNIVERSITY FUNDS FOR ENTERTAINMENT AND COURTESIES.
 - 22. ATTENDANCE AT SENIOR CONVOCATION.
 - 23. EMERITUS STATUS.
- B. DEPARTMENTAL RESPONSIBILITIES.
 - 1. NON-DISCRIMINATION AND AFFIRMATIVE ACTION.
 - 2. DEPARTMENT CLIMATE.
 - 3. VOTING RULES.
 - 4. KNOWLEDGE OF FACULTY WHEREABOUTS.
 - 5. ILLNESS.
 - 6. SEXUAL HARASSMENT: EDUCATION AND INVESTIGATION.
 - 7. SPACE.
 - 8. ADMINISTRATION OF CONFLICT OF INTEREST POLICY.
 - 9. INSTITUTIONAL PARTNERSHIPS.
 - 10. ADVISING AND ENCOURAGING NEW FACULTY.
 - a) PREPARATIONS.
 - b) COMPUTER SETUP.
 - c) TEACHING ASSIGNMENT.
 - d) TEACHING-TRACK FACULTY, VISITORS, AND INTERIM FACULTY.
 - 11. TEACHING SCHEDULES.
 - 12. PERIODIC REVIEW.
 - 13. MONITORING EXPENDITURES.
 - 14. DEPARTMENTAL RESEARCH FUNDS; DISCRETIONARY RESEARCH ACCOUNTS.
 - 15. DEPARTING FACULTY MEMBERS: AUTHORIZATIONS, ACCOUNTS, AND EQUIPMENT.
 - 16. PLANNING SPECIAL EVENTS USING THE UNIVERSITY CALENDAR.
 - 17. DEPARTMENTAL RECORDS.
 - 18. CHANGING THE NAME OF A DEPARTMENT OR PROGRAM.
 - 19. CHAIRS' MEETINGS.
 - 20. MEETINGS OF DEPARTMENT ADMINISTRATIVE PERSONNEL.
 - 21. DEPARTMENTAL ATTENDANCE AT SENIOR CONVOCATION; GOWN RENTAL.
 - 22. ABSENCE OF CHAIR.
 - 23. BRIEFING A NEW chair.
 - 24. DEPARTMENT CHAIR E-MAIL ADDRESSES.
- C. CVS AND VITA SUPPLEMENTS.
 - 1. VITA SUPPLEMENTS.
 - 2. PERIODIC COMPILATIONS; COMPUTER-STORED DATA.
 - 3. NORTHWESTERN SCHOLARS.

- D. SALARY ADJUSTMENT.
 - 1. TIMETABLE.
 - 2. MAKING THE MOST OF THE ANNUAL REVIEW.
 - 3. EXCEPTIONAL CASES.
- E. RETIREMENT.
 - 1. ROUTINE RETIREMENT.
 - 2. PHASED RETIREMENT.
 - 3. PART-TIME POST-RETIREMENT APPOINTMENT AT NORTHWESTERN.
 - 4. EMERITUS STATUS.
 - 5. NORTHWESTERN EMERITI ORGANIZATION.
 - 6. DISABILITY LEADING TO RETIREMENT.
- F. RETENTION.

A. DEPARTMENT MEMBERS' RESPONSIBILITIES.

1. SERVICE AND CITIZENSHIP.

A faculty member teaches courses and advises students as assigned by the Dean or department chair, does research, and, as a responsible member of the community, participates in the conduct of its affairs, including assigned administrative tasks. A faculty member's teaching responsibilities entail curricular development including, but not limited to, creation of new courses and periodic revision of existing offerings. Service in these areas, as outlined in the University Statutes, helps to form the basis on which performance is evaluated.

The context of this service is described by the principles of academic freedom and responsibility as formulated by the American Association of University Professors, to which Northwestern subscribes: "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... 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... He/She should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others..." These excerpts are from the AAUP statement as quoted in the Northwestern University Faculty Handbook: Academic Freedom, page 1. The full (quoted) statement can be found online at <http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf>.

2. PRESENCE ON CAMPUS.

The University engages faculty members, usually for the nine months of the academic year, to do the work described in the paragraphs above. Northwestern's academic year begins with New Student Week in September, when both incoming freshmen and returning students seek faculty members' advice; it ends in June with departmental graduation parties and Senior Convocation in the College and the Baccalaureate and Commencement ceremonies of the University. Full-time members of the faculty must, by University Statute, be in residence during the academic year as so defined, i.e., may not absent themselves from the University during that time. This includes those members of the faculty who are not teaching regular, scheduled courses during a quarter but excludes those who have been granted formal leaves of absence.

Full-time faculty members are expected to be available during all business hours for teaching, advising and service.

Faculty members are obligated to meet classes as scheduled. An instructor who, for professional reasons, proposes to absent himself or herself from a scheduled class hour must obtain the consent of the department chair or program director. Arrangements should be made to cover or make up the missed class session, preferably calling on colleagues on the faculty, as it is often hard to schedule a make-up session that all students can attend.

A quarter without formal classroom teaching is not to be treated by the faculty member as a quarter of leave. During a quarter when a faculty member is not teaching a regularly scheduled class, it is expected that he or she will be in residence and continue to advise students, fulfill service assignments, and participate in the life of the department. During such a quarter, a proposed absence for professional reasons of two weeks or less must be approved by the department chair or program director. A proposed absence of more than two weeks – including exchange visitorships at other institutions -- must have the approval, as well, of the Associate Dean for Faculty.

Full-time faculty members are obliged to participate in faculty governance. A faculty member who is not on leave must be available for meetings on any day of the work week. For example, a faculty member may not insist that all meetings fall only on Tuesday or Thursday **or only in the afternoon**.

3. JURY DUTY.

Faculty members are sometimes summoned to jury duty during the course of a teaching quarter and cannot find a substitute to cover classes during the day or days of service. In that case, it is possible to request to delay jury duty to a more convenient time. The summons usually includes contact information. The chair will likely need to supply a letter attesting to the impossibility of finding a substitute for the dates in question. The University encourages faculty and staff to fulfill jury duty at a more convenient date as service to society.

4. OFFICE HOURS.

Students should be able to consult with their instructors without difficulty or delay. This means that faculty members are expected to meet regular campus office hours that are announced on syllabi and in their classes, posted on their office doors, and known in their departmental offices. The provision of regular office hours is considered an integral part of every faculty member's teaching obligation, **and is a requirement in any**

non-leave quarter. Faculty should strive to offer sufficient hours to meet student demand for consultation. Failure to announce and hold regular office hours constitutes a failure to meet a key responsibility of all faculty. When teaching assistants are assigned to a class, the faculty instructor should ensure that the TAs, too, provide adequate time for consultation with students.

Faculty are expected to contribute to the advising of students throughout the year, but in particular during advance registration and registration each quarter. If a faculty member is in residence, but not teaching during a given quarter, he or she must still provide announced times for meeting with students.

5. POLITICAL ACTIVITIES; USE OF UNIVERSITY FACILITIES.

Please see <http://www.northwestern.edu/general-counsel/policies/political.html>.

6. NON-DISCRIMINATION AND HARASSMENT, INCLUDING SEXUAL HARASSMENT.

The University is committed to a campus environment free of discrimination and all forms of coercion that impede the academic freedom or diminish the dignity of any member of its community. Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. Harassment, whether verbal, physical or visual, that is based on any of these characteristics, is a form of discrimination. This includes harassing conduct affecting tangible job benefits, interfering unreasonably with an individual's academic or work performance, or creating what a reasonable person would sense is an intimidating, hostile or offensive environment. For full details see <http://www.northwestern.edu/hr/equlopp-access/equal-employment-opportunity/nondiscrimination.html>.

Northwestern reaffirms that policy specifically as it pertains to preventing sexual harassment. The University Policy on Sexual Harassment defines sexual harassment and recommends steps to be followed in cases of alleged sexual harassment. It states: "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" (see the full statement online at <http://www.northwestern.edu/sexual-harassment/university-policies/sexual-harassment-policy/index.html>). A copy of Guidelines for Investigating and Resolving Sexual Harassment Complaints may be obtained from the Provost's Office. For the chair's role in preventing or investigating incidents of sexual harassment, see subsection II.B.6.

Sexual harassment may take many forms: pressure for sexual activity, unnecessary touching, inappropriate or abusive comments, and other conduct that a reasonable person would sense as sexually intimidating, hostile or offensive. Often, it constitutes an abuse of power, being directed at someone in a vulnerable position. Faculty members are responsible for knowing and observing standards of appropriate behavior. If an individual is uncertain about what might be regarded as offensive, he or she should seek advice from the department chair, the Dean's Office or the University's Sexual Harassment Prevention Officer. Faculty members should take care to inform their teaching assistants that inappropriate behavior will not be tolerated.

All faculty members should be aware that Northwestern University policy prohibits romantic, dating, or sexual relationships between faculty and Northwestern undergraduate students. See http://policies.northwestern.edu/docs/Consensual_Relations_011314.pdf for the full policy statement.

7. GUIDANCE ON CIVILITY AND VIOLENCE

It is the policy of Northwestern University that all members of the University community, including faculty, staff and students, are expected to deal with each other with respect and consideration. When a community member's conduct varies from this standard, it is the responsibility of the manager, chair or dean who supervises the person engaging in the conduct to address it.

Guidance can be found at <http://www.northwestern.edu/provost/policies/statements/civility.html>.

8. CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT.

Each year, members of the faculty are asked to fill out forms on-line detailing outside commitments (employment, consultancies, and other activities) and significant financial interests. Federal granting agencies require disclosure of potential conflicts at the time grants are submitted through the University's system. Both annual and project-specific disclosures are reviewed by a conflict of interest committee in the Dean's Office and, if necessary, a management plan will be developed in consultation with the faculty member. The University's Conflict of Interest Office provides fuller information: <http://www.northwestern.edu/coi/>.

9. OUTSIDE ACTIVITY FOR PAY; APPOINTMENTS AT OTHER INSTITUTIONS.

University policy requires that a faculty member, before engaging in an outside activity for compensation (not meant to include, e.g., a modest honorarium for giving a lecture), secure the approval of the Dean of his or her school. If the activity does not interfere with University responsibilities, and is not carried out either directly or implicitly in the name of the University, the general practice is to approve a mutually advantageous arrangement. For a full-time faculty member, the amount of time devoted to such outside activities may not exceed the equivalent of one day per week during the time of the faculty member's appointment (typically the nine-month academic year). The Dean's Office should be consulted before a faculty member enters into an agreement with any outside group. Paid activities that require an absence of more than a week at a time during the academic year are unlikely to be approved.

Faculty holding full-time appointments at Northwestern may not hold full-time appointments of any type in any other organization, nor may they hold faculty appointments at other educational institutions without the written approval of the Dean. This policy applies to all faculty. An appointment carrying an adjunct, guest, or visiting title will often be approved if it is for a limited term. Such an arrangement may involve unpaid leave from Northwestern. Affiliations that lack the adjunct or visiting qualifier or that require that the faculty member list affiliation with the other

institution on an equal footing with Northwestern are unlikely to be approved. In all publications, presentations, grant applications, and publicity, the faculty member's primary affiliation must be listed as Northwestern; other affiliations may be noted as secondary.

A fuller statement of policy and requests for exceptions may be found at http://www.northwestern.edu/coi/policy/core_coi_policy.pdf

10. ADDITIONAL NU EMPLOYMENT OF FULL-TIME NU FACULTY.

In general, faculty members are not to receive supplemental compensation for an activity understood to be part of the normal obligations to teach, do research, and contribute service. This means, for example, that a College faculty member should not be paid an honorarium to speak at an academic conference hosted by Northwestern or be a guest lecturer in a Northwestern class. However, he or she may be paid to give a seminar to a group of alumni or other outside audience.

See <http://www.northwestern.edu/hr/managers-administrators/payroll-administration/index.html> for information on, "Policy for Payment of Consulting Fees and Compensation for Supplemental and Temporary Employment." This is a statement of University standards and procedures; it discusses the use of consultants, regular employees, supplemental employees, and temporary exempt employees. Faculty members can serve in some of these capacities.

Faculty members are sometimes invited to teach in the Summer Session or School of Professional Studies and are paid a stipend for doing so. Such class assignments should not count as part of the faculty member's annual teaching load in the College, except within the context of an agreement between the Deans of WCAS and SPS. Tenure track assistant professors should concentrate their professional time on research and required teaching and may not take on additional teaching without permission of the departmental chair. Faculty members with a course reduction from the College for administrative service or to support research activities may not take on additional teaching for pay during the academic year.

11. 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. Since a charge of misconduct, even if unjustified, may damage an individual's career, any such issue must be handled promptly and expeditiously with full attention given to the rights of all individuals involved. The University's standards for scientific integrity are spelled out in the booklet "Guidelines for Investigators in Scientific Research," available from the Office of Research or at: <http://www.research.northwestern.edu/ori/misconduct/documents/GuidelinesforInvestigatorsinScientificResearch.pdf>.

12. DRUG-FREE WORKPLACE.

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. Should an employee violate this policy appropriate discipline may be imposed and the employee may be required to complete a drug rehabilitation program. The University urges employees engaged in the illegal use of controlled substances to seek professional advice and treatment. Refer to the staff handbook online at http://www.northwestern.edu/hr/policies-forms/policies-procedures/NU_Staff_Handbook.pdf for the full statement of policy.

13. PERSONAL PROBLEMS.

NU Life Matters provides resources, including short-term counseling to members of the faculty and staff and to their families about a variety of personal problems. chairs should make department members aware of this service. Information can found be at the website <http://www.northwestern.edu/hr/work-life/nu-life-matters.html>.

NU Life Matters also provides thousands of articles and self-assessment tools on a variety of work/life topics including emotional well-being, family and care giving, health and wellness, daily living, and working well.

14. CONTRACTS: ESPECIALLY FOR SOFTWARE DEVELOPMENT, MULTIMEDIA PRESENTATIONS, LONG-DISTANCE LEARNING

Faculty are not authorized to sign contracts on behalf of the University. In accordance with University Bylaws, all Northwestern University contracts (including purchase orders for the purchase or leasing of supplies, materials or equipment) must be executed by the President or, by delegation, the Provost or a Vice President of the University. With the President's prior written approval, the Provost and Vice Presidents may delegate authority to execute general contracts within certain, defined categories to persons under their supervision. See <http://www.northwestern.edu/general-counsel/contracts/signature.html> for details. The Vice President for Research must sign all contracts regarding distance learning, multimedia presentations, and development of software after review by the Office of General Counsel. This policy covers any contract involving the

- Use of the name Northwestern University,
- Use of materials developed using University resources or as a part of one's employment by the University,
- Use of materials supported by grant funds administered through the University, and
- Activities in which the facilities of Northwestern will be used either without special fee or under subcontract.

The University Bylaws permit only the President, the Provost, a Vice President or their delegate to sign a contract on behalf of the University.

15. DEPARTING FACULTY AND UNIVERSITY-OWNED PROPERTY.

Resignations coming very late in the spring make it difficult for the College to plan a coherent curriculum for the following year. A faculty member should notify the department and Dean's Office promptly and in writing of any decision to resign. As a courtesy to colleagues and students, any resignation effective by the start of the next academic year should be submitted by May first.

Faculty leaving the University may not remove University-owned property without the written approval of the Dean. This rule applies to office equipment, furniture, computer equipment, and the like purchased with monies from external grants or discretionary accounts administered through the University, or with funds from the faculty member's department, Weinberg College or Central Administration. See subsection XII.E for a full discussion of policy and procedure.

Once a faculty member has decided to resign from the University, he or she must get approval from the Dean's Office before spending further monies from a discretionary account. Typically travel to give previously-scheduled conference presentations is approved, but not the purchase of equipment or large numbers of books. Items purchased remain the property of Northwestern.

Payment of summer salary from University funds is contingent on the faculty member's full affiliation with Northwestern University the following academic year.

College policy does not prohibit departing faculty (via resignation or retirement) from voting on matters relating to the future composition of the department (appointments, promotions) or its curriculum. Departments may enact such a rule so long as it is applied uniformly. Individual faculty members may also choose to recuse themselves from such votes.

The University does not pay any of the costs for a faculty member to move to a new institution nor should department staff be detailed to pack boxes. The new institution is responsible for moving expenses.

A faculty member who resigns after a year in which he or she enjoyed a leave will be required to reimburse the institutional cost of the leave, typically including salary plus benefits, and possibly some discretionary expenditures as well.

16. WORK WITHOUT COMPENSATION

Apart from persons in narrowly-specified categories, individuals may not render uncompensated service to Northwestern University unless special arrangements have been approved. See: <http://www.northwestern.edu/hr/forms/WorkWithoutCompStaff.pdf>.

The University does not permit arrangements whereby a person begins or continues to work without compensation in anticipation of approval of compensated employment. Also prohibited is retroactive compensation after a person receives either proper immigration status or funding to support the position. One may not "volunteer" his or her services during a period preceding legal employment status or the arrival of funding.

Visiting Scholars who are supported by entities other than the University may work without compensation from Northwestern University, provided that the Office for Research has approved their status as Visiting Scholars.

17. GIFTS TO THE UNIVERSITY FROM FACULTY AND STAFF

Faculty and staff members cannot give charitable donations to the University that are designated for the donor's benefit. For example, a faculty member cannot give money that is then transferred to his or her research account. However, a colleague is permitted to give a gift that benefits his or her department more broadly, e.g. speaker funds, graduate student travel funds. For full policy see XVII.F.

18. PURCHASING GOODS AND SERVICES FOR PERSONAL USE THROUGH UNIVERSITY ACCOUNTS.

Northwestern is exempted from paying state sales tax on goods that it buys to further its essential purpose of education and research. Purchases for the personal use of an employee are not exempt from tax, so it is illegal for an employee to use a Northwestern account to buy an item (book, computer) for personal use and then to reimburse the University, thereby evading the tax. A statement of the University's policy in this regard is available at: <http://www.northwestern.edu/userservices/purchasing/policy.pdf>.

Faculty and staff are not allowed to have sign-off authority on purchases from companies in which the person or a family member has a substantial financial interest.

NU's preferred travel centers offer split billing so that the fare of a spouse who is accompanying a University employee can be charged directly to a personal credit card while the fare for the employee is charged directly to a NU Financials chart string. Personal travel should not be directly charged to the chart string.

19. PHONES, FAXES, POSTAGE, AND DUPLICATING

a) THE DEPARTMENT PAYS.

The College pays for basic monthly phone service, now subsumed under the Converged Communication charge. The Core Charge includes both local and domestic long-distance calls and faxes, but international calls and some other services are still billed. See http://www.it.northwestern.edu/transitions/2005/converged_intro.html.

In connection with the recruiting of new faculty members, the department pays reasonable costs for postage, duplicating, and necessary international calling. Departments have modest budgets for copying and phone charges related to other departmental business, such as the placing of graduate students in teaching and research positions; course work (not to include large amounts of classroom handouts, etc., for which see subsection 14); scholarly publication (when not paid by grants); and routine activities of a faculty member as a member or officer of a professional organization. Departmental accounts cannot usually bear the expenses associated with being executive secretary, president, etc., of a large association.

Faculty members should inform students that the departmental fax machine cannot be used to receive faxed papers. Faxes of more than a few pages tie up the machine for lengthy periods, inconveniencing a large number of users. Email should be used instead.

Departments should devise systems for monitoring expenditures and controlling costs. See subsection 12.

b) THE FACULTY MEMBER PAYS.

Faculty members are themselves responsible for the costs of international phone calls, faxes, postage, and duplicating in connection with outside consulting; preparation of a textbook intended for profit; leave of absence (departments are not budgeted to pay for mailing the books and papers of faculty members who relocate during a leave); departure from the University; any personal matter (including dissertation).

Faculty and staff may use University phones for personal international calls and University copiers for personal copying, but University subaccounts must be reimbursed.

c) THE GRANT PAYS.

Research grants must be charged for all expenses directly related to the research that is being carried out with the support of the grants---for intercontinental telephone calls and faxes; postage; travel; etc. Detailed records should be maintained to document the relation of expenses to project objectives. Basic Converged Communications charges are regarded as a departmental budget obligation, the cost of which is recovered through the indirect cost rate recovery process. It is not allowed as a direct cost against a federal sponsored program. This would also be true of any mobile or cellular device, the purpose of which is to give any form of "dial tone" access. New cost accounting standards are stringent in their definition of allowable expenses on federal grants. Questions should be directed to the Office of Sponsored Research.

20. EXPENSES FOR DUPLICATION OF CLASSROOM HANDOUTS.

The College will not pay for the production of large quantities of printed or duplicated classroom handouts that effectively serve as a textbook or laboratory manual, e.g., accounts of experiments, case studies, copies of articles, quarter-long lecture notes, etc. Like textbooks, they are to be purchased by the student.

21. UNIVERSITY FUNDS FOR ENTERTAINMENT AND COURTESIES.

Such expenditure should occur only in furtherance of Northwestern's defining tasks of teaching and research. The University has issued formal guidelines on this topic, with examples of appropriate and inappropriate expenditures and an indication of the kinds of funds that may be expended; these websites provide details of University and College policies:

- <http://www.northwestern.edu/financial-operations/policies-procedures/policies/entertainment.pdf>
- <http://www.weinberg.northwestern.edu/staff/documents/EntertainmentPoliciesQuickRefandInterpretations06-16-2011.pdf>

22. ATTENDANCE AT SENIOR CONVOCATION.

Each faculty member should attend the Weinberg College Senior Convocation at least one year in every five (see subsection II.B.21). In the spring, the Dean's Office asks chairs to supply the names of faculty who will attend.

23. EMERITUS STATUS.

Faculty members over the age of 55 who retire from the University after a minimum of ten years continuous service to Northwestern may request emeritus status. The Dean consults with department chairs and makes recommendations to the Provost.

For those holding courtesy or joint appointments, emeritus status may be requested only in the home department. See Northwestern University Faculty Handbook for details and privileges. Faculty who leave the University after age 55 to take up a regular position elsewhere are not eligible for emeritus status at Northwestern until their actual retirement from full-time academic service.

B. DEPARTMENTAL RESPONSIBILITIES.

1. NON-DISCRIMINATION AND AFFIRMATIVE ACTION.

The University maintains the following policy on non-discrimination. It affects the activities of every department at every level.

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

2. DEPARTMENT CLIMATE.

The Department chair is in a strong position to foster a climate that is supportive of colleagues and students. He or she should be sensitive to the kinds of words and actions that could reasonably be interpreted as insulting and isolating. Sights, aspersions, and incivility have no place in a scholarly community. It is the chair's unpleasant duty to confront such behavior.

More difficult are attitudes that are not expressed so directly. In the course of a search, colleagues may legitimately differ in the ranking of candidates. Yet, everyone should be able to agree that any individual who progresses through the rigors of a search and interview process, receives an offer, and joins the Northwestern community has earned the right to be here and should be assumed to be a scholar of the highest potential and should be treated with respect.

Likewise, students and staff members should be treated with respect and should be aware of department expectations of courtesy and civility.

The University is developing new procedures for search committees to raise awareness of possible implicit biases in the hiring process.

3. VOTING RULES.

Weinberg College does not specify who may vote in departments except in relation to appointment, reappointment, and promotion. Departments have established different conventions about who may vote on other matters. Likewise, departments establish rules on absentee votes, mail ballots, voting while on leave, the voting rights of joint appointees, the voting rights of departing faculty members, and so forth. Rules should be stated in writing and applied uniformly.

Programs, like departments, should have established rules for voting on important matters. Options include a governing or executive committee, a committee of all affiliated faculty, and ad hoc committees appointed in consultation with the Dean's Office. In personnel matters, including the appointment, reappointment, and promotion of core faculty and the approval of courtesy or secondary appointments, the program must develop clear and consistent procedures that conform to the College-wide rules about who may vote in such cases. Please consult with the Associate Dean for Faculty Process or the Associate Dean for Teaching Track Faculty.

4. KNOWLEDGE OF FACULTY WHEREABOUTS.

Primary responsibility for regulating faculty absences is delegated to the department chairs and program directors. They should inform themselves about all faculty absences, and, when the teaching of classes will be affected by an absence, should be able to assure the Dean that the quality of education will not suffer. chairs and program directors are required to bring any unexplained absence, frequent short absences, or lengthy absence to the attention of the Associate Dean for Faculty. See subsection II.A.2.

The chair or director should know the whereabouts of and how to reach every member of his or her department at all times of the year, including winter and spring breaks and summers. A centralized calendar can be useful in this regard. Urgent student issues sometimes arise; often a faculty member has unique information or opinion about a matter of department or College business.

5. ILLNESS.

When a faculty member falls ill, the chair should assist in making the best possible arrangements for the continuity of classes. If the illness/recovery period is likely to require an absence of more than two weeks, the faculty member must apply directly to the Provost's Office for medical leave (http://www.northwestern.edu/provost/docs/faculty_medical_leave_form.pdf). The confidentiality requirements of federal law mean that a chair and the Dean may be unaware of an application for medical leave until the Provost's Office alerts the department to the need to cancel or cover a class.

When a relatively long absence from work is likely, the chair should inform the Dean's Office right away about coverage of teaching and advising. The chair may not cancel a faculty member's course due to the faculty member's illness unless that person is placed on formal medical leave by the Provost. Although colleagues should step in a cover for a short-term absence, a department should not simply "cover" for a colleague suffering from an extended illness or disability who has not applied for formal medical leave.

6. SEXUAL HARASSMENT: EDUCATION AND INVESTIGATION.

The department chair has a special responsibility to encourage and maintain a climate in the department that is free of discrimination or coercion. Students, staff, and faculty can legitimately expect that the campus environment will permit them to work without molestation of a physical or verbal nature. Faculty responsibilities in this regard are discussed in subsection II.A.5.

The chair should take the lead in educating all faculty, teaching assistants, and staff in these matters. Everyone should be encouraged to read the University's policy on discrimination and harassment (<http://www.northwestern.edu/sexual-harassment/university-policies/discrimination/>) and on sexual harassment (<http://www.northwestern.edu/sexual-harassment/university-policies/index.html>). The chair should ensure that members of the department understand the range of behaviors that may constitute harassment. The director of the University's Sexual Harassment Prevention Office may be invited to lead a seminar for the department. The Dean's Office can help in making arrangements. It would be valuable for a department to hold an orientation for teaching assistants, visitors, and new faculty each fall.

Written complaints of harassment may be directed to the chair; he or she should possess a copy of Guidelines for Investigating and Resolving Sexual Harassment Complaints which may be obtained from the Provost's Office or at the website named above. The Guidelines describe options available to the complainant ranging from self-initiated actions to informal and formal procedures. These options include asking the department to conduct an educational program about sexual harassment. In any case, when the chair is aware of questionable behavior, he or she should make sure that the individual so-alleged understands the appropriate standards of behavior and the possible sanctions if a formal complaint should ever be filed. Supreme Court rulings have made it clear that complaints about harassment should not be ignored. Please consult the Dean's Office about handling formal or informal complaints.

Northwestern University policy prohibits romantic, dating, or sexual relationships between faculty and Northwestern undergraduate students, regardless of whether there is a supervisory or evaluative relationship between them.

In other situations not involving undergraduates, chairs should be alert to the problems which may arise when a faculty member, teaching assistant or other person in a position of authority enters into a consensual romantic relationship with a person subject to his or her authority.

Members of the department should be cautioned about such relationships. Should such a relationship develop, it **will** be necessary to negotiate a reassignment of the individuals in a way that eliminates the circumstance of one having formal authority over the other. In this and other matters pertaining to potential sexual harassment, chairs should be familiar with prevailing University policies, familiarize members of the department with those policies, and consult the Dean's Office about any questions that arise. Please see the University's policy regarding Consensual Romantic or Sexual Relationships between Faculty, Staff, and Students (http://policies.northwestern.edu/docs/Consensual_Relations_011314.pdf).

7. SPACE.

Space is assigned to the departments by the College, and the College reserves the option of reassigning it as necessary. Within the space assigned to it, a department designates specific uses. The department chair has the authority and responsibility to reassign space to achieve departmental objectives, **including the accommodation of new faculty or the expansion of laboratories in response to new funding**. Such decisions should be made after consultation with the affected faculty and staff and with the departmental space committee (if one exists). See also Section XII.A.

8. ADMINISTRATION OF CONFLICT OF INTEREST POLICY.

Each year, members of the faculty are asked to fill out forms on-line detailing outside commitments (employment, consultancies, and other activities) and economic interests. Potential conflicts identified on these forms will be reviewed by the faculty conflict of interest committee in the Dean's Office. The committee will consult with the department chair when the chair may be able to shed light on the nature or seriousness of the conflict. chairs should also advise faculty that when a new situation arises in the course of the year or when a potential conflict is declared in a grant application, an amendment to the annual report should be filed promptly. The Department of Human Resources will ask the department chair or business administrator to review and sign off on conflict of interest forms submitted by staff members.

9. INSTITUTIONAL PARTNERSHIPS.

Sometimes a faculty member or group of faculty wish to establish a formal partnership with another institution in order to facilitate research collaborations, student and faculty exchanges, conferences, and the like. Such arrangements are handled via a Memo of Understanding (MOU) that can be signed only at the University level, after discussions among various interested parties (Weinberg College, General Counsel's Office, The Graduate School, etc.). Please be in touch with the Associate Dean for Faculty Process as a first step in developing a new MOU. Partnerships that concern only graduate student exchanges and dual degree programs will be handled by the Associate Dean for Research and Graduate Education and involve discussions with The Graduate School and General Counsel.

10. ADVISING AND ENCOURAGING NEW FACULTY.

The chair and his or her senior colleagues should do their best to make new faculty members feel at home on campus and assist them in establishing themselves as productive teacher-scholars. Assistant professors should receive clear information regarding the department's (and College's) expectations in the areas of teaching, research, and service. For more details about advising junior colleagues, please see section IV.A.

Departments should foster a strong ethos in favor of teaching. This might include a regular program in which new faculty members might visit the classroom of accomplished colleagues. Likewise, senior mentors might visit the classes of new teachers and give off-the-record advice. Chairs should also make new colleagues aware of the resources of the Searle Center for Advancing Learning and Teaching (<http://teach.northwestern.edu/index.htm>). **Faculty members who continue to struggle with teaching should receive close mentoring from a qualified colleague or consultant. Please contact the Associate Dean for Faculty to discuss problems.**

The College organizes an orientation for new faculty members in September. Chairs should encourage new colleagues at all ranks to attend, as the seminar concerns specific College policies and procedures as well as general teaching issues. Contact the Associate Dean for Undergraduate Academic Affairs for details. The Dean also holds annual orientations for assistant professors during which they may bring up questions and matters of concern.

a) PREPARATIONS.

The chair should monitor that commitments made to new faculty members are fulfilled as promptly as possible (e.g. space). **Incoming faculty may obtain a netID and Northwestern email address up to 90 days before the start date. If necessary, a pre-start adjunct appointment can be arranged to facilitate the process of applying for grants.**

b) COMPUTER SETUP.

New faculty generally receive money for computers in their start-up accounts. The new colleague, aided by the department staff, should work with Weinberg Information Technology to arrange for purchases. This will help to avoid security and compatibility problems for non-standard equipment.

c) TEACHING ASSIGNMENT.

Within the framework of the department's established teaching load, the individual faculty member's teaching assignment and schedule are the responsibility of the chair, who typically consults with the faculty member in question. Assistant professors should teach undergraduate and, if

possible, graduate courses so that the teaching record is varied at the time of reappointment and tenure reviews. That said, the department chair should ensure that junior faculty members have an opportunity to repeat some of their courses so that they do not have an excessive number of new preparations during the probationary term.

d) TEACHING-TRACK FACULTY, VISITORS, AND INTERIM FACULTY.

It is expected that the chair or program director will develop a good working relationship with any departmental teaching-track faculty, term appointees and visitors.

Members of the **teaching-track faculty** should be mentored by the chair/director and appropriate colleagues. Chairs/directors should pay close attention to the quality of teaching, to specific problems in classroom practice or curricular planning, and to issues that may arise with teaching assignments. The teaching-track faculty, by the very nature of their jobs, have a large influence on student learning and high visibility among students. Chairs should invest time and resources to help them become as effective as possible.

Members of the teaching-track faculty are eligible for promotion and leave. While the Dean's office monitors these matters, it is the responsibility of the chair/director to work with their teaching-track faculty to apply for these opportunities when appropriate and as determined by the teaching-track leave and promotion policies (see chapter VI, Section A of this handbook). They are also eligible for travel funds to support their professional development see <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/lecturer-travel-funds-policy.html> for application forms).

Faculty members who teach part-time or full-time for a limited period of time are also crucial to the success of a department's teaching repertoire. Such interim faculty typically have appointments as lecturers, but are not members of the teaching-track faculty. Interim faculty are hired for short term needs or when it has not been possible to run a national search. Departments should orient new faculty and visitors to essential aspects of teaching in Weinberg College. You may refer them to the on-line PDF "Teaching at Weinberg" (listed under this link http://www.weinberg.northwestern.edu/faculty/documents/id/Teaching_in_WCAS.pdf and also discuss with them the conventions of teaching in your department and Weinberg College (for example, the expectations for reading week, the schedule of exams, what to do when a course fills, and the use of the Course Management System). We encourage you to include them in the intellectual and social community of your department while they are members of your teaching cohort. Interim faculty are typically not eligible for promotion or leaves.

Teaching-track faculty and interim, visiting, and part-time faculty should be a clear and prominent part of your Department website and easily found by students who may be largely unaware of distinctions among titles.

11. TEACHING SCHEDULES.

All letters of appointment indicate that the Dean assigns teaching responsibilities. This task is largely delegated to department chairs or program directors who have the right and responsibility to assign courses according to the needs of the curriculum. In addition to overseeing the appropriate timing of required and elective courses each year, the chair should monitor the teaching responsibilities of departmental members with an eye toward equability of load, both in terms of number of courses and overall number of students. These provisions underscore the fact that no faculty member can dictate that he or she will teach only a small number of specialized classes, cap courses at a level below the departmental norm, or control the scheduling of his or her classes (time of day or days of week). Nor may a faculty member commit to teaching in another unit (program, department, school) without discussing the matter with the chair of his or her home department.

The Dean's Office authorizes the chair to allocate a specified number of teaching reductions within the department to compensate faculty members for particularly heavy administrative assignments, such as director of undergraduate studies. The exact number of such course reductions is specified in the chair's letter of appointment. The chair may not create additional course reductions without the prior approval of the Associate Dean for Faculty.

In arranging the yearly curriculum, the department chair must ensure that the department fulfills its teaching commitments to related programs and take into account the contractual obligations some faculty members may have to other units of the College. The chair may be called on to coordinate with directors of programs to ensure that programs also meet their curricular obligations.

12. PERIODIC REVIEW.

The chair is responsible for organizing or conducting periodic reviews of all members of the department. Yearly evaluation is required as part of the salary adjustment process; review for reappointment or promotion is less frequent.

Assistant professors find it useful to receive written critiques of work they submit at the time of reappointment or other review. In the spirit of helpfulness departments should provide copies of such assessments, not glossing over areas for improvement.

The General Faculty Committee (precursor to the current Faculty Senate) has recommended, and the central administration endorsed, the following policy:

The substance of any evaluation by a standing or ad hoc faculty committee, departmental 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, for granting promotion and tenure, for reassigning duties, and for reassigning laboratory space or other research facilities. At the request of any faculty member, the dean or department chair will meet with him or her to discuss informally the content of such evaluations. Untenured faculty members are encouraged to seek such meetings annually.

13. MONITORING EXPENDITURES.

Chairs and program directors are responsible for monitoring departmental expenditures and keeping an eye on departmental accounts. Any

questions about them should be addressed promptly to the Dean's Office. See also [Chapter XIV](#) for detail.

Chairs should establish uniform rules for allocating departmental resources and routine procedures for faculty and staff to reimburse the department for the costs of personal phone calls, photocopies, etc. (See subsections XII.B. and XII.C.) Departments have developed different approaches.

Departments may find it useful to produce a booklet of departmental policies and procedures, covering cost and supply issues along other frequently asked questions. If a policy is explained in terms of budgetary constraints, and if it covers essential needs, treats faculty members equitably, and provides for some flexibility, it should be accepted by the department as a whole.

Any new College entity (department, program, interdisciplinary group, etc.) that receives a budgetary allocation will be asked to provide annual reports to the Dean's Office as to use of funds from the previous year and plans for use in the coming year. This process is intended to help new units establish strong procedures for articulating priorities and managing its resources.

14. DEPARTMENTAL RESEARCH FUNDS; DISCRETIONARY RESEARCH ACCOUNTS.

The Dean's Office provides tenure-line faculty in the humanities and some social sciences with modest discretionary research funds if they do not have other sources of funding. A supplement, also modest, is available to support international travel for certain activities. Please be in touch with the Associate Dean for Faculty about these. Some faculty members have individual research discretionary accounts associated with an endowed chair or resulting from their recruitment. Discretionary research funds may be used for research and professional expenses, such as travel for research and professional meetings, computer hardware and software, other equipment purchases, campus office furniture, support of technicians or postdoctoral fellows, other research assistance, manuscript preparation, purchase of books and supplies, and research services. The funds may not be used for a variety of other purposes including but not limited to: summer salary (unless in accordance with the new summer salary policy, see subsection IX.B.5.d), course buy-outs, green card and visa legal expenses, entertainment, and furniture for a home office. Please consult the Director of Financial Analysis about allowable expenses. Research discretionary accounts assigned to a faculty member are University funds and not personal funds. Items purchased remain the property of Northwestern.

Some departments and programs have additional funds which may, at the discretion of the chair, be used to support research-related faculty travel. The department should develop a set of guidelines by which such money may be allocated to faculty members on an as-needed basis. Faculty should be encouraged to apply to the University Research Grants Committee and the Center for Interdisciplinary Research in the Arts for small grants and subventions.

15. DEPARTING FACULTY MEMBERS: AUTHORIZATIONS, ACCOUNTS, AND EQUIPMENT.

When a faculty member leaves Northwestern, it is the department's responsibility to make sure that campus authorizations are discontinued, accounts closed, keys collected, and all University-owned equipment, including that purchased on external grants, accounted for. Chairs should work with the Associate Dean for Facilities and Planning or the Assistant Dean for Research and Graduate Studies on grant- and equipment-related matters, and they will consult with the University's central accounting department about the original funding for the equipment. See subsection XII.E for details.

16. PLANNING SPECIAL EVENTS USING THE UNIVERSITY CALENDAR.

When planning a visitor's public lecture or a colloquium that is likely to be of interest to the broader academic community, check the prospective date on PlanIt Purple (<http://planitpurple.northwestern.edu>), Northwestern's online calendar, so that conflicts with other scheduled events likely to appeal to the same audience can be avoided. In addition, a calendar focused only on upcoming Weinberg academic events is accessible at <http://www.weinberg.northwestern.edu/discover/events/>. After selecting a date for an event, be sure to post the event on PlanIt Purple so that others can likewise avoid a conflict. The College's [Manager of Special Events](#), can provide information about the dates of College events that may conflict with a department's planned activity. *Major events should be called to the attention of the Dean's Office.*

The department *must* secure the Social Security number and *home* address of any speaker (or, for that matter, writer) who is to receive a stipend or have expenses reimbursed. Without these, payment is impossible. <http://www.northwestern.edu/hr/policies-forms/policies-procedures/payroll-admin/engaging-individuals-as-independent-contractors.html>

17. DEPARTMENTAL RECORDS.

The chair should take care to maintain the records of departmental policies and procedures. This includes any statutes voted by the faculty and accounts of procedural precedents. These records, handed down from one chair to the next are a valuable guide for those actions that are not governed by College rules.

Records of faculty and staff should be kept for three years after the person leaves the University and then transferred to the University archives (phone: 1-3354). Records of searches should be kept for three years minimum. If a non-US citizen is hired, all records of the search should be kept until he or she has received permanent residency. See details in Section III.J.

Please maintain financial records for five years.

The University's comprehensive policy on retention of records may be found at: http://policies.northwestern.edu/docs/Retention_of_University_Records_030410.pdf and http://policies.northwestern.edu/docs/RUR_Appendix_A070611.pdf.

18. CHANGING THE NAME OF A DEPARTMENT OR PROGRAM.

Any proposed change to the name of a Department or Program must follow these steps: Voting members of the unit develop a proposal and

rationale for the change. They vote. If the vote is favorable, the chair or director forwards the proposal and vote to the Dean. The Dean reviews the proposal and opens a discussion with the chair or director if modifications are needed. The Dean then puts the proposal on the agenda of the Weinberg College faculty meeting for first and second readings and a vote. If the Dean and College faculty are both supportive of the proposal, the Dean then forwards the recommendation about the name change to the Provost and President. **If a name change is connected to curricular revision, those revisions must go through the appropriate curricular review process.**

19. CHAIRS' MEETINGS.

Several times during each academic year, chairs and program directors meet with the Dean and members of the Dean's staff to discuss policies and prospects in such areas as graduate education, academic advising, faculty recruitment, retirements, curriculum, research, fundraising, and budget. chairs are encouraged to submit topics for the agenda of these meetings.

20. MEETINGS OF DEPARTMENT ADMINISTRATIVE PERSONNEL.

Periodically the administrative personnel of the departments and programs are convened to meet with Weinberg College and University staff about procedures and policies, e.g., the accounting system, faculty searches, promotion and tenure reviews.

21. DEPARTMENTAL ATTENDANCE AT SENIOR CONVOCATION; GOWN RENTAL.

The annual Weinberg College Senior Convocation in June is an important event in the lives of graduating seniors, parents, and friends, as all repeatedly attest. All chairs and about seventy-five of the College's faculty members are asked to march in the academic procession on that occasion. It is the chair's responsibility to see that one out of every five members of the department attends. If department faculty members do not own academic gowns, the Dean's Office will pay the cost of the rental.

22. ABSENCE OF CHAIR.

If the chair will be out of town, or otherwise unable to tend to department business for more than a few days during the academic year or for more than a week during the summer, a member of the department should be designated to handle routine matters, and the Dean's assistant should be informed. If the chair will be absent during negotiations with a faculty candidate for appointment, please give contact information to Marie Jones.

23. BRIEFING A NEW chair.

Continuity of departmental affairs benefits from well-maintained files and from special transitional meetings. chairs should ensure that departmental statutes, routine files and notes relating to current problems are kept in a form accessible to the incoming chair. Sometime before the transition takes place, the new and outgoing chairs should meet with members of the Dean's staff to review matters of importance to the department.

24. DEPARTMENT CHAIR E-MAIL ADDRESSES.

Department chairs may request that Weinberg IT establish an e-mail account that will belong to the chairship itself, and be passed from one chair to the next. Among other things, this arrangement permits the establishment of an e-mail archive of matters of relevance to the department. The separate account also allows the chair to separate his or her professional mail from that regarding departmental business. Some chairs ask the department assistant to screen the chair account and redirect those messages intended for distribution to the faculty. The address for any such account will be "xxxx-chair@northwestern.edu" where "xxxx" is the department's commonly used name. For example, "historychair@northwestern.edu" or "english-chair@northwestern.edu". These accounts will be used for University administrative functions and the account holder(s) will be responsible for any archiving of e-mail for departmental reference. Like other e-mail accounts, these accounts will require password changes every 120 days. They will also need to be renewed approximately every two years. Please be in touch with the **Senior Director of Information Technology and Administrative Initiatives** if you wish to establish such an account.

C. CVS AND VITA SUPPLEMENTS.

A department sends a CV to the Dean's Office when it recommends a person for an appointment. CVs are also submitted when faculty members are considered for reappointment, promotion, or the grant of tenure. These latter documents must be detailed about teaching and service as well as research (see subsection V.W. for contents). Vita supplements summarize a year's professional activities. Together, these sources provide information about faculty interests, activities, and achievements. They are used, for instance, by the Department of University Relations to locate authorities on issues of public interest for the media, and in the Department of Development by way of interesting a donor in the work of a faculty member or department.

1. VITA SUPPLEMENTS.

In January, the request for vita supplements goes out to all tenured, **tenure-track, and teaching-track faculty as well as other teaching faculty with multi-year appointments.** All supplements are completed either in Word or PDF format and submitted to the department office. Departments then transfer the supplements electronically to the Dean's Office.

2. PERIODIC COMPILATIONS; COMPUTER-STORED DATA.

Departments are encouraged to keep current, detailed digital CVs for all members, as does the Dean's Office.

3. NORTHWESTERN SCHOLARS.

The Northwestern Scholars website is a searchable compendium of the research records of the Faculty. The information is partially loaded from vitas and partially culled from electronic sources. See <http://www.scholars.northwestern.edu>.

D. SALARY ADJUSTMENT.

Faculty members are reviewed every year and their records in institutional citizenship, teaching and advising, research, and service enter into decisions about salary levels. The College is small enough that chairs, the Budget Committee, and the Dean can pay close attention to individual cases. A second Budget Committee has been established to review the recommendations from chairs and program directors about members of the teaching-track faculty. A faculty member who fails to submit a vita supplement will receive a 0% raise.

The Central Administration annually provides the College with a salary pool for the faculty for annual merit increases, as well as a separate pool for promotion increases and half of retention increases. Please be aware that each commitment necessarily draws from, and comes at the expense of, the overall resource pool.

1. TIMETABLE.

In the winter, after the Provost has sent notices to the schools about funds that will be available for salary increases in the next academic year; the Dean sends each chair and appropriate program directors a set of salary worksheets. The chair/director completes the worksheets and writes a letter in support of his or her recommendations. The Dean, the Associate Deans and the Budget Committees (whose members are elected by the faculty) review and discuss all of the recommendations in the College, referring also to each faculty member's vita supplements. When provisional salary figures have been settled, they are made known to chairs/directors, who may respond in writing. The Dean presents the recommended salaries for review by the Provost and after the Provost has approved, notifies each faculty member of his or her salary for the coming academic year.

2. MAKING THE MOST OF THE ANNUAL REVIEW.

The following suggestions may help chairs and directors use the review process to greatest advantage:

Speak to each faculty member about his or her salary, preferably in a multi-year context. Expectations should not be raised, because in most cases these expectations may not be satisfied. Rather, learn what expectations are and counsel the faculty member about realistic possibilities over the next few years.

In the letter to the Budget Committee, be willing to make distinctions among departmental faculty, backed up by specific evidence and associated with rough dollar amounts. An overall, several-year "plan" for the department is persuasive to the Committee. The Budget Committee is *not* often receptive to such broad statements as "My entire department is underpaid by 15%." It is much more useful to target particular individuals, or small groups, as people whose productivity in research, teaching and citizenship is such that real increments in their salaries are appropriate.

The teaching record is important for both tenure-line and teaching-track faculty; weak performance tends to reduce the size of raises. Comment on exceptionally strong records of teaching, advising, and curricular development. Likewise, research or professional accomplishments of teaching-track faculty may be included in the assessment as they are for tenure-line faculty. Exceptional service should also be brought to the attention of the Dean and Budget Committee.

It is often a good idea to talk to individual faculty members after salary letters have arrived. In the case of large raises, reinforce a faculty member's satisfaction by commending a strong record and noting its relationship to the raise. In cases of smaller raises, it is useful to provide some encouragement and specific advice about career development. In particular, faculty who are not strong teachers should seek advice from colleagues and from the Searle Center for Advancing Learning and Teaching (<http://www.northwestern.edu/searle/>).

3. EXCEPTIONAL CASES.

Department chairs should single out any colleagues deserving exceptional treatment in the salary review because of merit or a pending outside offer. Likewise, the Dean appreciates advice about which colleagues might merit appointment to an endowed chair when a vacancy occurs.

E. RETIREMENT.

All faculty members should give careful thought to retirement finances well ahead of any projected date of retirement in order both to plan ahead and to be well-prepared should unforeseen circumstances arise. **A faculty member should make an appointment with the Benefits Division of Human Resources to discuss various aspects of retirement, including post-retirement options for medical insurance. A discussion with a representative of TIAA/CREF or Fidelity about retirement income is also advisable.** See also the website "Retirement Planning Guide for Faculty and Staff" at <http://www.northwestern.edu/hr/policies-forms/how-do-i/prepare-for-retirement.html>. Benefits counselors can provide confidential advice to faculty well ahead of an actual retirement date.

The chair should be prepared to discuss retirement with colleagues or to ask the Dean's Office to follow up with colleagues who have expressed an interest in retirement. The chair may not propose retirement to a selected individual, but may discuss retirement policy with the full department or ask each tenured colleague to submit a statement about their five-year goals. Once a faculty member volunteers that he or she is considering retirement, the chair can provide information to the colleague and inform the Dean's Office.

Each retirement must be negotiated individually; chairs should consult with the Dean or one of the Associate Deans working in Faculty Affairs. Sp

Special circumstances may need to be worked out individually. For example, a faculty member may be due for a leave in the year prior to retirement, and ask that the requirement to return to full-time status be waived. Arrangements may be needed to allow salary recovery from grants post-retirement. Other privileges - office or lab space, for example - must be negotiated on a case-by-case basis and often hinge on limited departmental resources.

1. ROUTINE RETIREMENT.

The faculty member, department and Dean's Office agree on a date for formal retirement. The faculty member remains on full-time status until that day.

2. PHASED RETIREMENT.

Phased retirement results in a 50% reduction of the faculty member's time commitment to the University in return for which the individual receives 60% of his or her salary rate. Because that 50% commitment includes advising and even a reduced level of service, the colleague is expected to be in residence most of the academic year. Absences should be worked out with the chair and Dean's Office.

Typically a phased retirement takes place over a period of two or, exceptionally, three years. For benefits purposes, the faculty member retains full-time status although contributions to plans are based on salary actually paid. The rules of TIAA-CREF and Fidelity allow faculty members over the age of sixty to receive payments from accumulated retirement plan funds once they have entered an irrevocable agreement with the Dean to retire by a certain date. To be eligible for phased retirement, a faculty member must be over 55 with fifteen years of service.

3. PART-TIME POST-RETIREMENT APPOINTMENT AT NORTHWESTERN.

A faculty member may negotiate an arrangement by which he or she takes full retirement at a specified date, after which, for a period of up to two years, the University agrees to hire that individual in a part-time capacity as Professor Emeritus, Associate Professor Emeritus, or the appropriate teaching-track title. Emeritus faculty remain eligible to apply for grants, but any arrangements regarding space or use of other University resources must receive the written approval of the department chair and dean before the grant is submitted..

4. EMERITUS STATUS.

Faculty members over the age of 55 who retire from the University after a minimum of ten years continuous service at Northwestern may request emeritus status. The Dean consults with department chairs and makes recommendations to the Provost. Both tenured and teaching-track faculty are eligible for nomination.

For those holding courtesy or joint appointments, emeritus status may be requested only in the home department. See Northwestern University Faculty Handbook for details and privileges. Faculty who leave the University after age 55 to take up a faculty or research position elsewhere are not eligible for emeritus status at Northwestern until their actual retirement from full-time academic service.

Emeritus faculty who retire with a discretionary account balance of \$25,000 or less may continue to draw on the funds for appropriate professional expenses. In the case of larger accounts, the College, department, and faculty member should discuss how these funds could best support the research and teaching mission of WCAS. No new payments into the account will be made from University funds. Salary recovery accounts are not subject to this limit.

5. NORTHWESTERN EMERITI ORGANIZATION.

The Northwestern Emeriti Organization, <http://www.northwestern.edu/provost/faculty-resources/retirement/emeriti-organization/index.html>, maintains a schedule of lunches, dinners, and speakers to help emeritus faculty remain in touch with colleagues and to participate in the intellectual life of the University.

6. DISABILITY LEADING TO RETIREMENT.

Faculty members on extended medical leave or long-term disability should be in touch with the Benefits Office in the Human Resources Department. The terms of long-term disability coverage change after the age of 65. Each member of the faculty should understand LTD coverage before the need arises.

F. RETENTION.

Members of the faculty sometimes attract an offer from another university. The chair should be alert to colleagues who are considering a possible appointment elsewhere and inform the Associate Dean for Faculty of serious overtures. The Dean's Office is unlikely to respond to a general "we encourage you to apply" inquiry, as such letters are mailed out to a sizable number of accomplished scholars. But if a colleague has been short-listed at a peer institution or is specifically targeted for an offer, please let the Associate Dean for Faculty know at once. In some cases, it is possible to encourage a colleague to withdraw from consideration before a campus interview. In other circumstances, a colleague may prefer to follow through with a visit. In the latter case, the Dean will wait to review to the formal offer from the other institution.

The Dean will consult with the Department about the particular ways in which the colleague is a vital member of the campus community. The Dean or Associate Dean may arrange to meet with the candidate to hear his or her concerns and may attempt to respond to the colleague's needs in terms of making Northwestern a stronger environment for his or her career. But sometimes an outside offer carries conditions or terms

that the College cannot meet or it appears that the candidate's career would actually benefit from a move to a different institution. Likewise, overtures from a school that is not considered at least a peer of Northwestern may not generate a response from the Dean. In that instance, the colleague will need to consider the trade-offs of being at one kind of university rather than another.

Please note that the Dean's Office now expects departments to share the costs of retentions, at the rate of 10% of non-salary research support. In addition, half of the funds for retention raises are drawn from the College's total salary pool. A year in which the College needs to commit salary funds to numerous retentions tends to constrain our ability to provide meaningful raises to outstanding colleagues who have chosen not to go on the market.

III. APPOINTMENT OF TENURE-TRACK FACULTY

- A. HIRING PLANS AND FACULTY SEARCHES.
 - 1. OCCASION FOR HIRING.
 - 2. THE DEPARTMENTAL PLAN.
 - 3. SPACE CONSIDERATIONS.
 - 4. AUTHORIZATIONS.
- B. APPOINTMENT: ASSUMPTIONS, POLICIES, AND AFFIRMATIVE ACTION.
- C. THE SEARCH.
 - 1. THE SEARCH COMMITTEE.
 - 2. PLANNING THE SEARCH: ADVERTISING.
 - 3. PRE-SEARCH FORM AND APPROVAL OF AD.
 - 4. NOTIFICATION OF APPROVAL; EEO MESSAGE.
 - 5. SPECIAL SOURCES OF INFORMATION.
 - 6. JOINT SEARCHES.
 - 7. COSTS.
 - 8. ON-LINE APPLICATIONS.
 - 9. ARRIVING AT THE SHORT LIST.
 - 10. INTERVIEWING AT PROFESSIONAL MEETINGS.
 - 11. CAMPUS VISIT: HIGHLY RANKED CANDIDATES FIRST.
 - 12. NOTIFYING THE DEAN'S OFFICE ABOUT CANDIDATE VISITS.
 - 13. NOTIFYING CANDIDATES WHO ARE NOT SELECTED.
 - 14. MEETINGS AND INTERVIEWS ON CAMPUS.
 - 15. TIPS FOR THE CAMPUS VISIT.
 - 16. RECRUITMENT COSTS.
 - 17. LODGING AND MEALS.
 - 18. ENTERTAINMENT.
 - 19. REIMBURSEMENT.
- D. ASSISTANT PROFESSOR OFFERS.
 - 1. SEARCH COMMITTEE REPORT.
 - 2. DEPARTMENTAL DISCUSSION AND VOTE.
 - 3. MATERIALS SUBMITTED TO THE DEAN.
 - a) THE DEPARTMENT LETTER AND CANDIDATE'S MATERIALS.
 - b) AFFIRMATIVE ACTION SUMMARY FORM.
 - c) MATERIALS ABOUT FEMALE OR MINORITY FINALISTS
 - d) SETUP RECOMMENDATIONS.
 - e) DEPARTMENTAL SHARE.
 - f) START DATE; BENEFITS.
 - 4. FELLOWSHIP YEAR.
 - 5. SPECIAL CONDITIONS: PhD NOT RECEIVED.
 - 6. SPECIAL CONDITIONS: ADVANCED, BUT UNTENURED, APPOINTMENTS.
 - a) ADVANCED ASSISTANT PROFESSOR.
 - b) UNTENURED ASSOCIATE PROFESSOR.
 - 7. JOINT BUDGETARY APPOINTMENT.
- E. BRINGING A FACULTY MEMBER TO NORTHWESTERN WITH INDEFINITE TENURE.
 - 1. SEARCH COMMITTEE REPORT.
 - 2. DEPARTMENTAL DISCUSSION AND VOTE.
 - 3. MATERIAL SUBMITTED TO THE DEAN – DOSSIER.
 - a) DEPARTMENT LETTER
 - b) OUTSIDE LETTERS.
 - c) PROPOSED REVIEWERS AND BENCHMARKS.
 - d) CV.
 - e) STATEMENT.
 - f) TEACHING.
 - g) REVIEWS.
 - h) PUBLICATIONS.
 - i) AFFIRMATIVE ACTION MATERIALS.
 - j) NUMBER OF COPIES AND FORMAT
 - 4. APPOINTMENTS COMMITTEE AND AD HOC COMMITTEES.
 - 5. SETUP RECOMMENDATIONS.
 - 6. DEPARTMENT SHARE.
 - 7. START DATE; BENEFITS.
 - 8. JOINT BUDGETARY APPOINTMENT.

- F. LANDING THE CANDIDATE.
- G. PARTNER EMPLOYMENT ASSISTANCE.
- H. MAKING THE OFFER: RELOCATION DETAILS.
 - 1. MOVING EXPENSES.
 - 2. HOUSING.
- I. PREPARATIONS FOR ARRIVAL.
- J. APPOINTMENT OF A FACULTY MEMBER WHO IS NEITHER A U.S. CITIZEN NOR A PERMANENT RESIDENT.
 - 1. THE INITIAL VISA.
 - 2. THE H1-B VISA
 - a) CHARGE FOR VISA PROCESSING
 - b) PREMIUM PROCESSING.
 - 3. PERMANENT RESIDENCY; LABOR CERTIFICATION.
 - a) ADVICE
 - b) DEPARTMENTAL ROLE
 - c) LABOR CERTIFICATION.
 - d) EXEMPTION FROM LABOR CERTIFICATION; OUTSTANDING RESEARCHER CATEGORY.
 - e) SUBSIDY FOR ASSISTANT PROFESSORS ONLY.
 - f) FEES PAYABLE BY FACULTY MEMBER.
- K. ADVISING AND ENCOURAGING NEW FACULTY.
- L. NON-BUDGETARY SECONDARY APPOINTMENTS.
 - 1. UNIFORM POLICY.
 - 2. APPOINTMENT.
 - 3. TERM.
 - 4. EMERITUS STATUS.
- M. ENDOWED CHAIRS
 - 1. RENEWABLE POSITIONS.
 - 2. TERM OR ROTATING POSITIONS.
- N. UNSUCCESSFUL SEARCH.
- O. UNSOLICITED INQUIRIES FOR FACULTY POSITIONS.

A. HIRING PLANS AND FACULTY SEARCHES.

1. OCCASION FOR HIRING.

The need to search for a new member of the faculty most often arises when a colleague leaves or retires. Replacement of departing colleagues and expansion, when financially possible, will be based on careful, long-term planning. At the level of the College, special consideration will be given to areas of greatest student interest and to ways in which successful interdisciplinary programs can be fostered, both within the College and in collaboration with other schools. The Dean and Associate Dean for Faculty will work with departments throughout the year to develop medium and long-term hiring strategies. These discussions will focus on the needs of undergraduate and graduate instruction, promising directions in the discipline, opportunities to build strength in priority fields, relative prospects for external funding of research, and attractive cross-department and cross-school collaborations. Departments will be asked early in the Spring quarter to provide the Dean's Office with a plan for faculty recruitment in the subsequent academic year, based on predicted changes in the composition of the faculty and long-term strategies in the discipline. These department plans will be reviewed by the Dean and lead toward the College's request to the Provost, in the late Spring quarter, for faculty search authorizations for the next academic year. It is appropriate for departments, in devising these recruitment plans, to provide a forecast that covers the three years to come, bearing in mind, of course, that many contingencies will modify such plans.

Because of the evolving direction of the College and University, no simple promise can be made that a departing faculty member will automatically be replaced in that same department. There is an exception to this rule: when a department recommends that a faculty member not be granted tenure, authorization to seek a replacement will be routinely granted unless very unusual reasons exist for decreasing the size of the department. Thus, a department need not fear that it will be disadvantaged by loss of a position when it maintains high standards in its promotion policies. Likewise, once a search is authorized, it will generally remain open until filled. If a department fails to identify or hire an exceptional candidate one year, it will be allowed to continue the search the next year, except in highly unusual circumstances.

2. THE DEPARTMENTAL PLAN.

When a department's recruitment plans call for the addition or replacement of a faculty member, it should address each of the items below in writing. The needs of one department must be compared with those of others, therefore accurate, comparable information is therefore essential. In a letter to the dean, the chair should indicate:

The place of the proposed new faculty member in the long-range plans of the department. The ways in which, given the department's current structure, the desired candidate would fit into its programs of research, graduate teaching, and undergraduate instruction and the ways in which the new member would relate to current and predicted student interests and enrollments. (It is necessary to indicate the relative importance of these functions and give evidence for the significance of the roles they play.) Departments should not default to a recommendation that a search be launched in the same subfield as the departing colleague. Shifts in the discipline and in enrollments may justify a changed direction for the open position. The Dean asks departments to consider the discipline-wide best use of each position that comes open.

The ways in which the proposed appointment might enhance interdisciplinary ties across Weinberg departments and across schools at Northwestern.

The desired rank. Even when replacing a senior member of the department, new faculty appointments are normally authorized at the rank of beginning assistant professor. If the department seeks an appointment at a higher rank, it must demonstrate compelling need.

Any departing faculty member's activities under the headings of research, graduate teaching, and undergraduate instruction and advising. The consequences for the department if the College were unable to authorize replacement of the departing faculty member. Please be as specific as possible.

The likelihood that the proposed search will advance departmental efforts to diversify the faculty.

3. SPACE CONSIDERATIONS.

The department should ensure that there is space for a new faculty member's office and laboratory before undertaking a search. The Dean's Office will not approve any department recommendations for offers unless suitable space has already been identified. To avoid delays at the end of the process, the department should develop its space inventory early and consult with the Associate Dean for Facilities and Planning at the beginning of the process.

By the same token, any need for remodeling must be discussed with the Associate Dean early in the process. Some proposals turn out to be infeasible and, if discussion is left until the end, may delay an offer to a candidate.

4. AUTHORIZATIONS.

The Dean presents the College's hiring plan with the Provost and, upon approval, informs chairs of authorized searches during the summer.

B. APPOINTMENT: ASSUMPTIONS, POLICIES, AND AFFIRMATIVE ACTION.

To the extent to which we are successful in making the right choices in the initial appointments of faculty members, we ensure the quality of the faculty without the strains that attend the decision not to reappoint or promote a colleague. It takes skill, effort, and insight to recruit outstanding teachers and scholars; but it is also morally and psychologically easier to do that than it is later on to separate from the institution a member of the faculty who has not lived up to his or her promise. It is worthwhile, therefore, to invest both care and imagination in the process leading to the appointment of a new colleague. It is emphatically worthwhile to aim high, not only in respect to promise in research and teaching but also in regard to the subtler ways in which additions to the faculty can bring uncommon dimensions and fresh intellectual stimulus to the campus.

The substantive issue concerning recruitment of faculty members consists of finding the most qualified persons, including women and members of minority groups, for all openings. The question that may well arise in any particular case is not "Why did Northwestern hire X?" but "Why did Northwestern not hire Y?" In line with the University's commitment to increasing the representation of African-Americans, Latino/as and other minorities on the faculty, a thorough, nationwide search should be undertaken to fill faculty positions. The burden is on the University to show that a good faith search for a new faculty member has been carried out. A good faith search requires fair consideration of all applicants without predetermination in favor of an inside or otherwise advantaged candidate.

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

Effective affirmative action searches depend on commitment and imagination at the department level. For example, searches must not be defined in a way that downplays those subfields in which women and minority candidates are likely to be found. Some actions are required; they are outlined in this chapter. Developing an effective strategy depends on the characteristics of each field. The President and the Provost of the University have advised the Deans of their willingness to take an active role, as appropriate, in recruiting and retaining outstanding women and minority faculty members.

C. THE SEARCH.

1. THE SEARCH COMMITTEE.

The chair puts together the search committee. Care should be taken to ensure that the committee includes women and/or members of minority groups. The departments should also invite at least one faculty member from outside the department and possibly outside Weinberg College to serve as voting members of the search committee. (External members do not participate in the final department vote.) Such arrangements make Northwestern's interdisciplinary strengths a more consistent factor in our recruiting.

Non-tenure line faculty may sit on search committees. They may vote as members of the search committee, but may not participate in the final department vote.

Sometimes the College will establish a multi-department search for a colleague in a programmatic area that crosses several disciplines. Recent examples include Environmental Social Sciences, Latina/o Studies. In these instances, the Dean will generally set up the search committee.

The Provost's Office will host training for search committees specifically on the ways to foster diversity and avoid bias.

2. PLANNING THE SEARCH: ADVERTISING.

Advertising is required, as are special efforts to locate and evaluate female and minority candidates in those fields where they are

underrepresented. The department should advertise the position in the profession's standard periodicals, job-information bulletins, or websites. The department is also encouraged to post detailed descriptions of open positions on its own website. Advertisements should contain wording encouraging scholars from underrepresented groups to apply. To reduce the cost in expensive venues, departments are encouraged to develop a short version of the ad for publication with a link to the longer version of the ad on the department's website. The longer version provides an opportunity to highlight special resources, initiatives, and connections at Northwestern.

Additionally, notices or advertisements should be placed in the newsletters of professional caucuses of women and members of minority groups; also, the officers of those caucuses should be canvassed. The search committee should write to departments and programs which might likely enroll or employ potential candidates who are women or members of minority groups. (Notes of phone calls made for those purposes should be initialed, dated, and retained.) Letters may also be sent directly to female and minority members of a discipline; mailing lists are often available from professional associations. Departments are urged to extend and expand these procedures, always keeping full records.

3. PRE-SEARCH FORM AND APPROVAL OF AD.

Before it may advertise an opening for a regular, full-time faculty position, or other faculty appointment likely to last longer than one year, the department must submit a Pre-Search form to the Associate Director for Faculty Affairs (<http://www.weinberg.northwestern.edu/faculty/documents/pre-searchwebform12-13.pdf>). On this form, the department lists members of the search committee and indicates special efforts to be made to locate female and minority candidates. A copy of the proposed ad should be attached to the form. Please allow 3 to 4 days for approval. (Do not submit it directly to the Provost's Office as that will delay approval.)

The department must also state where the ad will appear and provide a cost estimate obtained from the journal or professional organization. Normally, Dean's Office approval applies to only one appearance of an ad in any publication. The **Associate Dean for Faculty Processes and Governance** must approve the text of the ad, the cost of advertising, and other actions planned by the search committee for tenure-line searches. The Associate Dean for Teaching-Track Faculty does the same for teaching-track searches.

Once an advertisement has been approved for payment from the Dean's Office, an email will be sent to the department. Please forward this email along with your chart string to the Associate Director for Faculty Affairs and she will transfer the funds. Any ad which has been run without prior approval of the Dean's Office will have to be paid for by a department from its discretionary resources, not from support accounts.

Some other costs related to Affirmative Action may be eligible to be paid out of Dean's Office funds. For example, the cost of mailing labels purchased from a caucus of women or minority scholars will be considered as a special expense. Please check with the **Associate Dean for Faculty Processes and Governance** first, to confirm whether money is available. The department will need to pay the cost of postage for special mailings.

When two or more departments and programs undertake a joint search, one staff member should coordinate placement of ads in order to avoid duplication of efforts and advertisements.

4. NOTIFICATION OF APPROVAL; EEO MESSAGE.

When the search and the ad have been approved, the Dean's Office will notify the department administrator responsible for administering the search. At this time, they will also receive a corresponding Job Opening ID number for the approved search.

As the search proceeds, the department must collect the necessary EEO/affirmative action information. Department administrators must log-in to HRIS Self-Service and to enter each candidate's email address. This role is referred to as the Self-ID Coordinator.

After the Self-ID Coordinator enters the candidate's email address into HRIS Self-Service, the candidate(s) will receive an email message from NU requesting that they access a secure and confidential website, where they will be asked to self-identify and enter in their demographics. This process is voluntary for the candidate, and their information will be directly routed to the NU AA/EE Office.

At your request, the Equal Opportunity Office will provide demographic information about your search, but they cannot match names to ethnicity.

5. SPECIAL SOURCES OF INFORMATION.

Monitoring lists of fellowship winners and holders of named postdocs is one way of tracking potential candidates. Department members have a responsibility to keep informed of outstanding PhD or postdoctoral candidates soon coming onto the market. For appointments to more senior ranks, a department should also develop a list of the best potential candidates and then invite their applications. Awareness of attractive candidates is not a substitute for a national search. Rather, it is a way of verifying that we have received applications from the strongest scholars.

6. JOINT SEARCHES.

When more than one unit is involved in the search, it is vital that the search committee chair keep all interested chairs and program directors informed of the progress of the search, including the status of the short list and scheduling of interviews and campus visits.

7. COSTS.

The College runs a large number of searches each year, the total cost of which is substantial. The Dean's Office transfers funds to the departments to cover campus visits by the top candidates. The amount is spelled out in the budget section of the authorization letter, and funds are transferred to the department's faculty recruiting chart string in September. It is vital that each department and search committee keep expenses within the approved limits. Excessive costs will be charged to the department's discretionary accounts.

8. ON-LINE APPLICATIONS.

All searches are expected to use the College's system for on-line submission of applications. This system facilitates tracking of applications and the sharing of evaluations by members of the search committee. Please be in touch with Francesca Petty (1-3276), for details and training.

9. ARRIVING AT THE SHORT LIST.

A good faith search implies even-handed and non-discriminatory consideration of all applicants. The search committee should discuss the best practices, and specifically whether there are potential sources of bias that it should guard against. For example, minority candidates sometimes follow educational paths that differ from non-minority candidates. Minorities must not be screened out on this basis, nor because their mentor is not well-known to the committee. The Provost's training course will help search committees identify biases that may arise in a particular field.

The department or its search committee should devise procedures whereby at least the same two faculty members read every initial application. The screening process will change as the list of those being considered narrows; whatever the stage of the process, the department should make certain that applications are screened by a uniform procedure.

Both the research and teaching background of the candidates should be taken into account. The search committee should read critically the letters of recommendation and the statements submitted by the candidates. As the search progresses, writings by the candidates should be read at least by the departmental members of the committee. Once a long short-list is devised, a delegation may wish to conduct interviews at professional meetings or via Skype.

With such information, a short list of candidates for campus interviews is developed and word is sent to Fran Petty before invitations to visit are issued. If there are no women or members of underrepresented groups on the list, the committee should revisit its rankings and determine whether a ranking female or minority candidate should be in the top-rated group. A search committee that is unable to attract applications from the top women and minority scholars in the field will need to discuss its procedures with the Dean before the search is allowed to continue.

10. INTERVIEWING AT PROFESSIONAL MEETINGS.

In many fields, eligible candidates are screened by preliminary interviews at meetings of professional organizations, or by authorized recruiting trips of the chair or another colleague designated to act for the chair. If a field's annual convention occurs at a time appropriate for interviewing, the College may be able to underwrite travel for that purpose. A request for support should be sent to the Associate Dean for Faculty well in advance. The limit on such support is airfare for two colleagues, one suite and one regular room for three nights and reasonable meal expenses.

11. CAMPUS VISIT: HIGHLY RANKED CANDIDATES FIRST.

Whenever possible, candidates should be brought to Evanston in the order of the ranking noted above. No offer can be made until a candidate has visited campus during which time he or she will have an opportunity to meet with faculty, students, and when appropriate, the Dean.

The Dean's Office expects that departments will interview highly ranked female and minority candidates before recommending an offer to any candidate. If the department proposes to interview neither women nor members of minority groups, it must be prepared to document fully its efforts to improve diversity and to explain these efforts to the Dean. In such cases, no offer will be approved in the absence of a review of the department's efforts.

12. NOTIFYING THE DEAN'S OFFICE ABOUT CANDIDATE VISITS.

The Dean interviews all candidates for tenured appointments. The Department should contact the Dean's assistant (1-3276) to schedule a meeting time before making travel arrangements for the candidate.

Junior candidates should meet with an associate dean, usually the Associate Dean for Faculty or the Associate Dean for Academic Initiatives (non-scientists) or the Associate Dean for Research and Graduate Studies (lab scientists). This meeting allows the candidates to ask about College policy and conveys to them the interest of the Dean's Office in their potential role on the faculty. The Dean's Office must also be notified of the timing of candidates' job talks.

Accordingly, the department must forward to the Associate Dean for Faculty the names of candidates to be interviewed on campus before the scheduled visit. Assuming the department is using the WCAS on-line application system, the Dean's Office will be able to view files electronically. The Dean's staff will review the files and relay any concerns (e.g., lack of diversity, inappropriate candidate rank or field) to the department. If a department conducts a search in a way that shows that more oversight is needed, then in future years searches by that department will be required to seek Dean's Office approval of which candidates will be invited to campus.

13. NOTIFYING CANDIDATES WHO ARE NOT SELECTED.

The department should take care to send a gracious note to senior candidates who are no longer in the running, preferably before the Dean's Office begins the review of the top candidate. It has happened that in the course of the ad hoc review, the Dean writes to a referee who had submitted his or her candidacy and then had heard nothing at all. To avoid this awkwardness and to maintain cordial relationships in the larger field, the chair of the department or the search committee should let people know where they stand. Likewise, in junior searches, any candidate who was interviewed at a professional meeting or over the phone/Skype should receive a gracious note if they do not make the short list.

14. MEETINGS AND INTERVIEWS ON CAMPUS.

Departments should use the campus visit to impress upon the candidate the University's strengths, the attractiveness of the Chicago area, and the College's attentiveness to the candidate's concerns. Departments should take care to plan the logistics of the visit carefully and to present Northwestern in ways that emphasize its advantages.

The candidate is interviewed by the chair and other members of the department. In addition, the candidate gives a lecture or conducts a seminar, to which one or more of the faculty associate deans should be invited. The department should invite members of other departments who may share interests with the candidate. It is to our advantage to demonstrate our culture of building interdisciplinary ties. Such talks should also be open to interested students and should be brought to their attention via posters and email to majors, minors, and graduate students. The department should also work with its Student Advisory Board representative to encourage student interest.

The candidate - especially a junior candidate - should meet with a group of students, preferably graduate students and undergraduate majors, with no faculty member present. The department is likely to find students' perspectives helpful. Some departments include a representative from the graduate students on the search committee itself.

15. TIPS FOR THE CAMPUS VISIT.

The logistics of the visit should be planned with care. If possible, the candidate should be met at the airport, or given clear instructions on how to get to Evanston. For example, you may provide them with the 800 number for the North Shore Cab or other local taxi so they may arrange to be picked up. Note that University rules do not permit use of limousines or similarly priced car services. The candidate and interviewers should be given a copy of the day's schedule and interviewers should adhere to the timetable. The candidate should be accompanied from place to place. The candidate's seminar should be scheduled for a pleasant room and the chair and search committee chair should ensure a good turnout.

Candidates benefit from appropriate information. The Dean's Office (1-2209) can provide departments with packets of materials about the University and the Chicago area, including maps. The department should supplement these items with information about the department ("Introducing Bulletins," graduate brochure, schedule of brown bag seminars, e.g.), about any campus interdisciplinary programs that may interest the candidate, and about other campus events, as appropriate.

It is important to offer to help the candidate with personal concerns. Prospective employers cannot ask about marital status, children, disabilities, or other personal matters, but the department can ask whether any important issues have been overlooked. If the candidate voices interest in local day care or schools or the prospects for partner employment, the department should be in touch with the Dean's Office for help. Visits to schools and introductions for the spouse/partner can often be arranged.

Female and minority candidates often find it important to meet with members of the Faculty Diversity Committee, the Association of Women Faculty, or other sets of faculty members. The Dean's Office can help arrange such meetings.

16. RECRUITMENT COSTS.

Each department receives a recruitment budget which the College transfers into a designated account in the department. These funds are to be used to pay costs associated with candidate visits, so that the Dean's Office need not be consulted in advance about the expense of each candidate's visit. It is the department's responsibility to keep within limits on entertainment and other costs. Unexpended funds will carry forward into the next fiscal year for use in that year's recruiting of faculty. Note: basic advertising costs will continue to be transferred to the department, upon pre-approval by the [Associate Dean for Faculty Processes and Governance](#).

Whenever possible, the department should arrange candidates' prepaid travel through the University's travel agencies, which undertake to arrange the lowest possible fares consistent with applicable restrictions. If it is necessary for the candidate to arrange his or her own transportation, he or she should call one of the University's agencies using the toll-free numbers. An agent will book the appropriate flights and arrange with the department for the expense to be billed directly to the department. When it is impractical for the candidate to use an NU Travel Agent to arrange air travel - for example, when that person is making a multi-leg trip only a portion of which is at the department's expense - the department should urge him or her to choose the least costly fares. If a change of schedule becomes unavoidable after the airline ticket is issued, the department should tell the candidate that sometimes a non-refundable ticket can be applied toward a new ticket on the same carrier. The URL for NU Approved travel agents is <http://www.univsvcs.northwestern.edu/travel/approved.htm>.

Typically, the costs of a visit by a candidate's spouse or partner is not allowed. Exceptions must be approved *in advance* by the [Associate Dean for Faculty or the Associate Dean for Faculty Processes and Governance](#).

Please consult the most current travel policies, available from the Financial Systems <http://www.northwestern.edu/financial-operations/policies-procedures/policies/travel.pdf>, for further information about travel arrangements. Any questions about which expenses will be covered by the College or charged to the recruiting fund should be directed to the Dean's Office before the expenditure is made.

17. LODGING AND MEALS.

The College-allocated recruitment fund may be charged for the reasonable cost of all meals during a candidate's stay and for the cost of a single room in a hotel for one or two nights. The department should make the hotel reservation at the special rate negotiated for the University (Discounts are available at some Evanston and Chicago hotels). The hotel should send its invoice to the department. The College allocated recruitment funds will not pay for long-distance telephone calls, in-room movies, service-bar, or laundry on the candidate's hotel bill. Candidates should be informed ahead of time that they must pay for such expenses themselves. At the time it makes the reservations, the department should notify the hotel that such charges will not be paid by the University.

18. ENTERTAINMENT.

Departments should follow College and University guidelines on entertainment expenditures: <http://www.weinberg.northwestern.edu/staff/documents/EntertainmentPoliciesQuickRefandInterpretations06-16-2011.pdf>.

Expenses may cover a meal at a restaurant for faculty members and candidate or a reception that enables all members of the department to meet the candidate, for example. For meals at restaurants, the expectation is that no more than three colleagues will attend and that costs

remain within the University policy standard of \$65 per person (including tax and tip). If the department proposes any exceptions to these dollar limits, it should contact the Dean's Office well in advance. The University does not pay for meals of faculty spouses or children. Some restaurants maintain a fixed price menu for Northwestern guests at considerable savings.

When a search is being redone because a current faculty member needs to re-file a visa or green card application, the department may not use University funds to pay for the customary get-acquainted lunch or dinner with that faculty member.

It is inappropriate to spend significant University funds on alcohol. Although a modest wine may be ordered with dinner, other alcoholic drinks or expensive wines should be paid by the faculty hosts from personal funds. University monies are intended to further the educational mission of the University; this is the rationale for a policy of judiciousness and fiduciary restraint.

Meals at restaurants in connection with searches must be paid for at the time of the meal by the host. Reimbursement should then be requested via a Travel Expense Report (see <http://www.weinberg.northwestern.edu/staff/finance-budget-payroll/accounting-and-financial-reporting/nu-financials/how-to-enter-expense-reports.html>). The University will no longer accept direct billing from a restaurant except for banquets and catered events.

19. REIMBURSEMENT.

It is best to advise the candidate prior to travel that the University requires itemized original receipts for reimbursement (including airline tickets) and that the receipts must be presented within 90 days of the campus visit. The candidate should fill out a Visitors' Travel Expense Report, and a W-9 Form, preferably before departing from campus, and give it to the department. The department completes a Visitors' Expense Report for the amount. (For Visitors' Travel Expense Report, see http://ciera.northwestern.edu/Visitors/visitors_exp_rpt.pdf. If the candidate is not a U.S. citizen or permanent resident, the visitor must complete the forms in the "Payment Packet & Forms for Non-Resident Aliens." That packet is available on-line at <http://www.northwestern.edu/hr/policies-forms/forms/foreign-nationals/CSFpacket.pdf> .

D. ASSISTANT PROFESSOR OFFERS.

During or after a candidate's visit, the chair tells the [Associate Dean for Faculty](#) and the [Associate Dean for Faculty Processes and Governance](#) whether the department wishes to make an offer and, if it does, recommends terms. Since the College attempts to make the best possible appointments, a recommendation to make an offer cannot be considered routine. It is subject, rather, to scrutiny and discussion. Among topics that frequently arise are research support, teaching, space, equipment, and impact on the library (see Section XII). When satisfactory agreements are reached and the Provost has approved the offer, the Dean makes a formal, written offer to the candidate, spelling out rank, salary, and other terms. A copy of the offer is sent to the chair. Only the Dean is authorized to make a binding offer. *In conversation or other communication with the candidate, the department may not unilaterally propose or amend terms of the offer, nor should the department, either before or after the Provost's final approval of the appointment, unilaterally promise a date by which the candidate should expect to receive an offer.* The department chair should discuss the College Fellow option only with eligible candidates. (III.D.3) Upon written acceptance of the offer, formal appointment papers are processed.

1. SEARCH COMMITTEE REPORT.

The search committee delivers its recommendations to the voting faculty. The committee report (which may be oral or written according to department rules) should discuss its evaluation of all finalists who visited campus. The committee may choose to recommend one or more of those candidates as meeting the high standards for appointment. In addition, if there are no members of underrepresented groups in the final pool, the search committee should discuss with the larger faculty the efforts it made to identify such candidates.

If the search committee recommends multiple candidates to the department, the department must first vote on each candidate separately to determine whether that person meets the high standards for appointment. The Dean's Office strongly prefers that the bar for approval be set at two-thirds or some other fraction well above a simple majority. Fifty-one percent approval is not a very strong endorsement of the candidate. If more than one candidate meets the standard, the Department conducts a run-off vote. Please note that a run-off vote among finalists is secondary to the up-or-down vote on each individual candidate. More details about voting appear just below.

2. DEPARTMENTAL DISCUSSION AND VOTE.

The department meets, discusses the candidate's qualities and his or her standing relative to the pool, and votes by anonymous ballot.

Eligible to vote on a candidate for an assistant professorship are all tenured and all tenure-track faculty. The vote must be Yes-No-Abstain on the appointment of the candidate in question. Votes on "packages" or "rankings" of candidates are not acceptable substitutes. If the department uses a run-off or modified Borda style system to choose among acceptable candidates, then the results of each vote must be reported. (Such special procedures should be spelled out in the department by-laws and must allow for any voter to vote against any given candidate.)

All voters should have read at least one sample of the candidate's work. Exceptions can be made only where the search committee provides a detailed written synopsis and evaluation and/or the subfields of a department are mutually incomprehensible. Voters must also read the letters from referees. With the on-line application system, faculty members will usually be able to read materials securely even if they are away from campus.

All professional evaluations must be in writing. External opinions may not be collected by means of oral conversations in person or by phone.

All discussions of personnel matters must be treated as confidential and not discussed with colleagues outside the department or outside the University. The chair should remind the faculty of this rule at the outset of deliberations. Please take special care in sending any confidential materials to faculty who are away from campus.

A department member enjoying a close relationship with the candidate (familial, best friend, [collaborator](#), former advisor, etc.) or with another

candidate in the search should recuse him or herself from the files, discussion, and vote.

3. MATERIALS SUBMITTED TO THE DEAN.

a) THE DEPARTMENT LETTER AND CANDIDATE'S MATERIALS.

The chair states the voting process and the vote, including abstentions, the number of eligible voters, and the names of those eligible faculty who did participate and those who did not. The chair should identify in the department letter the members of the search committee, including the member from outside the department.

The chair spells out the case for hiring the proposed candidate, discussing the nature and significance of the candidate's scholarship, quality of teaching (if there is evidence), the department's expectations of the candidate's future work and the role of the candidate in strengthening the department. If reservations were raised at the department meeting, those points should be discussed in detail. This is particularly important where there are negative votes or where more than one vote is taken---a "straw vote" and a final vote. If the candidate's PhD is not yet finished, the letter should indicate the department's realistic expectations of a timetable for completion.

The full dossier should be submitted to the Dean's Office at this time, notably the candidate's vitae, letters of recommendation, and affirmative action materials.

b) AFFIRMATIVE ACTION SUMMARY FORM.

The department must submit the Affirmative Action Summary form to the dean. (It may be downloaded from <http://www.weinberg.northwestern.edu/faculty/documents/affirm-5.pdf>.) Here the department lists the names of finalists - that is, candidates interviewed or extensively reviewed - indicating sex, ethnic background, handicap, status as a veteran and the like, if known. Departments may not solicit this information from candidates. When such information about a candidate is not known, the form is left incomplete.

c) MATERIALS ABOUT FEMALE OR MINORITY FINALISTS

If the department proposes to make an offer to a non-minority male candidate and if the list of finalists includes one or more female or minority candidates, the department must submit the CVs and letters of recommendation of such finalists. If no women or members of minority groups appear on the list of finalists, the department should be prepared to describe the special efforts it made to locate such candidates.

d) SETUP RECOMMENDATIONS.

The department should inform the Dean's Office of the recommended salary, start date, length of tenure clock, and any other considerations that may have come up in conversation with the candidate and that you recommend. The department must also specify which office and laboratory space the candidate will occupy. If renovations are necessary, the department must speak with the Associate Dean for Facilities and Planning about the feasibility and costs of the proposed alterations. If the candidate will need access to the University's high speed computing facility, we will arrange that conversation. The Dean's Office and department must come to an agreement on these matters before an offer will be made.

If the candidate requires a laboratory setup, the department submits the candidate's wish list along with the chair's commentary evaluating the requests and indicating which items might already be available or provided from other sources. The chair should indicate whether the prices submitted by the candidate will be discounted when purchased through the University. The chair should also comment on requested funds for staff (postdocs, technicians, others) and indicate what level of graduate support the department will provide during the initial years of appointment. If complex equipment is included in the setup, the department should work with the Associate Dean for Facilities and Planning to determine whether the equipment requires modifications to the laboratory to reduce temperature and humidity fluctuations, shield from vibration or magnetism or otherwise provide strict environmental control.

The Dean's Office will then work with the Vice President for Research's Office to reach agreement on the sharing of expenditures. Any commitments for graduate student support should be made by the department chair out of that department's allocation.

e) DEPARTMENTAL SHARE.

Departments are expected to provide 10% of the setup costs, which include discretionary research funds, equipment, postdocs and technicians, backup funding and the like, but exclude renovations and summer salary. Departments also pay the institutional costs of phone installation and service keys, visas and green cards, except where otherwise specified. Generally furniture should come from the department's existing stock.

f) START DATE; BENEFITS.

Most new faculty members begin on September first and are paid in twelve equal installments starting September 30. Eligibility for health insurance begins on the start date if the person is starting on the first of the month, otherwise on the first of the next month. Some candidates will need a start date in the summer in order to maintain the continuity of health insurance. The salary is then spread out over thirteen or fourteen months. Please alert the Dean's Office to the need for an early start. The probationary terms of "early start" assistant professors will begin September first.

4. FELLOWSHIP YEAR.

Please discuss this option only with those candidates who are eligible.

The transition from graduate school to a tenure-line assistant professorship is aided in many fields by a transitional experience during which a newly-minted PhD may gain additional experience in research and/or teaching before taking on the full-time responsibilities of an assistant professorship. Recognizing the value of such a transitional year, Weinberg College offers a fellowship year to entry-level candidates who have not already enjoyed a postdoctoral fellowship or teaching appointment that increases experience in research and/or teaching. Those who accept the fellowship year will be called College Fellows and enjoy the rights and privileges of senior lecturers.

Qualifying candidates will be offered the alternative of a standard term as assistant professor (an initial, renewable three-year appointment) or a year as a College Fellow followed by the standard term as assistant professor. The fellowship year is contingent on simultaneous acceptance of the subsequent assistant professorship. Review for renewal will take place in the third year of the assistant professorship and review for tenure must take place no later than the sixth probationary year in the rank of assistant professor (or instructor, if the PhD is incomplete when the person arrives). Initial leave eligibility comes in the year after reappointment. If a candidate declines the fellowship offer at the time of hire, he or she may not reclaim it at a later date.

College Fellows are expected to be in residence on the same basis as the regular faculty. During the fellowship year, they will teach two courses only in subject matters that are reasonably close to their areas of expertise. In addition, fellows will not teach large introductory classes nor will they have any service obligations.

Experiences that count as prior research or teaching experience and therefore disqualify the candidate for a fellowship year include:

- one or more years on a postdoctoral fellowship intended to provide junior scholars time to pursue research, even if some teaching is required as part of the appointment.
- one or more years teaching full-time at a four-year college or university, so long as the teaching load was no more than 4 semester- or 6 quarter-long classes during at least one of those years. (This includes tenure-line positions and visiting assistant professorships.) If the teaching load exceeded this amount, then two or more years full-time at a four-year college or university, or three or more years as a roving visitor with a series of partial appointments.

5. SPECIAL CONDITIONS: PhD NOT RECEIVED.

The College makes a contingent offer to a prospective faculty member who has not yet completed all requirements for the PhD. Such candidates will typically be offered the fellowship year outlined above and will not be offered a separate fellowship period for completion of the degree. The salary rate and any summer salary will be linked to completion of the degree. It is expected that anyone arriving without the PhD in hand will complete all requirements for the PhD during the course of that first year. A salary adjustment will be made at the beginning of the quarter following completion and notification of the Dean's Office.

If all requirements are met by the end of the fellowship year and the Dean's Office has been notified, then on September first (the beginning of the second year at Northwestern), the individual will become an assistant professor for a three-year term, renewable upon reappointment. If all requirements are not met by that September first date, then the rank will be set at instructor for a one-year term and at a reduced salary. At either rank, the tenure clock starts on that September first, and review for reappointment takes place in the third probationary year.

If during the course of the fall or winter term of that first probationary year, an instructor completes all requirements for the degree, (i.e. the second year on the faculty) then an automatic promotion to the rank of assistant professor for the balance of the three-year term and a higher salary rate will take effect at the beginning of the subsequent quarter. If the degree is not finished by April 1, then the department will need to confer with the [Associate Dean for Faculty](#) about the advisability of offering the individual a terminal year on the faculty. See subsection IV.E on reappointing instructors.

At the time of the offer, the department should carefully assess the likelihood of the candidate finishing the PhD within a few months of starting on the faculty. It does the candidate no favor to hire him or her into a tenure track position prematurely. If a particularly attractive candidate is on the job market "too early," please be in touch with the [Associate Dean for Faculty](#) to discuss the best way to tailor a potential offer.

6. SPECIAL CONDITIONS: ADVANCED, BUT UNTENURED, APPOINTMENTS.

From time to time a department will wish to recommend the appointment of a candidate who has substantial experience as a faculty member at another institution but who is not yet ready for a decision about tenure. In these cases, the department should consider appointment as a short-term assistant professor or, more rarely, untenured associate professor. Please note that Weinberg College does not restart the tenure clock for someone who has taught at a peer institution for several years. In other words, the College does not provide a full, six-year probationary term for candidates who have already spent more than one year in a probationary term.

a) ADVANCED ASSISTANT PROFESSOR.

An individual who has taught for two or more years at another institution that expects its faculty to undertake both teaching and research and who has made substantial progress on projects to be presented during a tenure review, may be appointed an assistant professor with a term less than the usual six years. Typically, the College takes into account time spent at a previous institution and adds in one year for the disruption of changing institutions. The schedule is spelled out in the offer to the candidate. If the assistant professor is hired for a single term of three or four years, the department will need to take special care to monitor the colleague's progress.

b) UNTENURED ASSOCIATE PROFESSOR.

The untenured associate professorship is used rarely. It is almost always reserved for recruiting a faculty member who has either taught or conducted independent research for as many as six years elsewhere, but for reasons unrelated to the quality or quantity of the work has not yet assembled a record in both teaching and research that would permit the College to offer a permanent position. (Examples include an established artist who has never worked with graduate students or a scientist from industry who has never taught.) A scholar offered an untenured associate professorship must be a highly probable candidate for tenure. Typically the term of such an appointment is no more than three years with tenure review to take place no later than the third probationary year. This schedule is spelled out in the offer to the candidate.

For any candidate being considered for an untenured associate professorship, the department should solicit reference letters from people who are not close to or named by the candidate. Such candidates should already have strong research profiles in their fields. By soliciting independent letters, the department will gain a sense of how well-known the candidate's work is.

7. JOINT BUDGETARY APPOINTMENT.

In cases where a candidate will have a budgetary joint appointment between departments, between a department and a program, or between Weinberg College and another school, the offer letter will spell out procedures for salary review, reappointment, and promotion. Typically, one department will be named the "primary department," but the secondary department (or program) will be assured of a voice in these proceedings. A protocol describing proper procedures is available from the Dean's Office.

E. BRINGING A FACULTY MEMBER TO NORTHWESTERN WITH INDEFINITE TENURE.

In those instances when a department is authorized to search for a tenured colleague, the department should follow the same search procedures as for junior candidates including advertising widely and attempting to locate a diverse pool of applicants.

Any external candidate who is recommended for tenure must meet a high standard of excellence and should already have demonstrated that he or she is a leading scholar in the field. A new tenured colleague should be expected to invigorate intellectual discourse on campus, provide excellent teaching and mentoring, and strengthen the home department. Although searching for a new colleague is a time-consuming process, it is better to reopen the search on a later year rather than rush to hire a colleague who meets minimal expectations or who is simply the best of a weak field.

1. SEARCH COMMITTEE REPORT.

The search committee delivers its recommendations to the voting faculty. The committee report (which may be oral or written according to department rules) should discuss its evaluation of all finalists who visited campus. The committee may choose to recommend one or more of those candidates as meeting the high standards for appointment. In addition, if there are no members of underrepresented groups in the final pool, the search committee should discuss with the larger faculty the efforts that it made to identify such candidates.

If the search committee recommends multiple candidates to the department, the department must vote on each candidate separately to determine whether that person meets the high standards for appointment. The Dean's Office strongly prefers that the bar for approval be set at two-thirds or some other fraction well above a simple majority. Fifty-one percent approval is not a very strong endorsement of the candidate. If more than one candidate meets the standard, the Department would conduct a run-off vote. Please note that a head-to-head vote among finalists cannot substitute for the initial up-or-down vote on each individual candidate. More details about voting appear just below.

2. DEPARTMENTAL DISCUSSION AND VOTE.

The department meets, discusses the candidate's qualities and his or her standing relative to the pool, and votes by anonymous ballot. Eligible to vote on external candidates for tenured appointments are all tenured and all tenure-track faculty and the vote must be Yes-No-Abstain on the appointment of the candidate in question. Votes on "packages" or "rankings" of candidates are not acceptable substitutes. If the department uses a run-off or modified Borda style system to choose between a list of acceptable candidates, then the results of each vote must be reported. (Such special procedures should be spelled out in the department by-laws and must allow for any voter to vote against any given candidate.)

All discussions of personnel matters must be treated as confidential and not discussed with colleagues outside the department or outside the University. The chair should remind the faculty of this rule at the outset of deliberations. Please take special care in sending any confidential materials to faculty who are away from campus. With the on-line application system, faculty members will usually be able to read materials securely even if they are away from campus.

In making a recommendation about a lifetime appointment, it is expected that the departmental discussion of, and vote on, the candidate will reflect the familiarity with the candidate's writings. Either a subcommittee or the entire voting faculty should read and assess the overall body of scholarship. If a department relies on a subcommittee, then all voters must familiarize themselves with at least a sample of the candidate's writings. Exceptions can be made only where the subfields of a department are mutually incomprehensible.

In addition, the department must solicit between three and five letters from leading people in the field, who should not be affiliated with the candidate by mentorship, co-authorship, or co-PI status. All professional evaluations must be in writing. External opinions may not be collected by means of oral conversations in person or by phone.

A department member enjoying a close relationship with the candidate (familial, collaborator, former advisor, etc.) or with any other candidate in the search should recuse him or herself from the files, discussion, and vote.

3. MATERIAL SUBMITTED TO THE DEAN – DOSSIER.

A tenure review must be conducted for each tenured appointment, even if the candidate already holds tenure at a peer institution. This is not a perfunctory review and it can be time-consuming. The better job the department does in evaluating the case and collecting several thorough and disinterested written assessments, the more smoothly the review will proceed. The chair should forward to the Dean any of items below that not already in the Dean's Office (failure to provide them will delay the start of the review):

a) DEPARTMENT LETTER

The chair describes the voting process, and states the vote (including abstentions), the number of eligible voters, and the names of those eligible faculty who did participate and who did not. The letter provides a discussion of the role of the candidate in strengthening the department; a detailed commentary on the significance and originality of the candidate's scholarship, analyzing the most important works; discussion of specific ways in which the candidate's work has been influential in his or her field; an evaluation of the candidate's specific strengths and weaknesses in teaching and citizenship; and a statement of the department's expectations of the candidate's future work. If reservations were expressed in the department meeting, those points should be discussed in detail in the letter. This is particularly important where there are negative votes or where more than one vote is taken---a "straw vote" and a final vote. The letter should compare the candidate to an identified cohort of first-rate scholars in his or her field. This letter is not so much addressed to the Dean or associate dean, who will already be informed, as it is to the confidential, non-specialist Appointments and ad hoc committees. It should be reasonably self-sufficient and should be signed by the chair and several senior faculty members. The chair should identify in the department letter the members of the search committee, including the member from outside the department.

b) OUTSIDE LETTERS.

To assist in its deliberations, the department must collect external referee letters about candidates. The department must not rely solely on referees named by the candidate but should seek independent opinions. Do not collect more than five letters. The restriction is in place so that the Appointments and ad hoc committees can do their jobs. Referees should be full professors or, in select cases, hold equivalent positions in industry or research institutions. In cases where the candidate would be hired as an associate professor, a few stellar associate professors may be invited to comment. External opinions may not be collected by means of oral conversations, in person or by phone.

An option to help speed the review is for the department to ask some referees to send their responses to the Dean rather than the department. This step is particularly useful for very senior candidates. Please be in touch with Steven Cole about this procedure before making any requests.

For assistance in drafting letters and advice about matters such as benchmarks, please be in touch with Steven Cole.

c) PROPOSED REVIEWERS AND BENCHMARKS.

The department should provide a list of potential external referees, including their rank, departmental affiliation, and University, along with their email addresses. Referees should be leading scholars in the candidate's field, typically full professors at the best departments. Departments should list the best scholars for the review and not rely on the committees to find them independently. External referees must be able to provide an objective evaluation of the work. They should not be former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. It is essential that those generating the list of prospective external referees ascertain the relationship of those individuals with the candidate so that letters will not be sought from persons who cannot provide an arm's-length evaluation.

Benchmarks should be the strongest scholars in the field of roughly the same seniority or a bit more senior than the candidate. For both lists, please include a sentence or two describing the individual's standing in the field and appropriateness to the case at hand. No more than half the names may be supplied by the candidate.

d) CV.

The candidate's CV on paper and as an electronic file.

e) STATEMENT.

For candidates who do not already hold the rank of full professor: A statement of self-assessment which describes his or her accomplishments in teaching, research, and service, notes the significance of these accomplishments, and sketches plans for future work.

f) TEACHING.

Supporting information about the candidate's teaching ability, particularly copies of teaching evaluations. The department should also submit what information it has regarding the candidate's current teaching, previous course development, teaching innovations, advising, academic counseling, supervision of teaching assistants, performance during the on-campus presentations, etc.

g) REVIEWS.

Book reviews should be supplied for candidates with previously published books. Citation indices may also be included to demonstrate the candidate's influence.

h) PUBLICATIONS.

Selected publications and reviews or other published evaluations of the candidate's work, or alternatively, the URL where the candidate's publications can be downloaded. The Dean's Office offers referees copies of recent publications, or of the candidate's most significant work, and

the department should provide copies of those items that will allow referees to make a thorough and informed assessment of the candidate's established distinction and the promise of his or her scholarly projects.

i) AFFIRMATIVE ACTION MATERIALS.

The summary form, dossiers of the best female and minority candidates, and supporting materials regarding the nature of the search. The summary form can be found online at: <http://www.weinberg.northwestern.edu/faculty/documents/affirm-5.pdf>.

j) NUMBER OF COPIES AND FORMAT

Please send the Dean's Office **one set of paper copies** and **one set of electronic copies** of the department letter, external referee letters, list of proposed external reviewers, list of suggested benchmarks, current CV, statement, student evaluations and other materials bearing on the candidate's record of teaching and mentoring, and representative publications to be sent to external reviewers in the College-level review, including especially recently published articles and works in progress. Where applicable, the most recent book – either published, in proofs, or in manuscript – should also be provided. Finally, the department should not neglect to send a completed Affirmative Action form and CVs of any women/minority finalist candidates, which are also required for tenured appointments.

The required set of electronic copies may be delivered to the Dean's Office on CD, uploaded to Dropbox or Box, or attached to an email.

4. APPOINTMENTS COMMITTEE AND AD HOC COMMITTEES.

The Dean reviews the file and decides whether to appoint an *ad hoc* committee or to proceed with an expedited review by the Appointments Committee. In either process, senior colleagues from outside the recommending department are asked to examine the department's proposal and make a recommendation. The committees are required to solicit letters from external referees. In a regular *ad hoc* review, a department should allow eight to ten weeks for the review from the time the *ad hoc* committee receives the materials. Such reviews take longer during vacation periods or when referees must read a book manuscript. For guidelines addressed to special *ad hoc* committees, see "The *Ad Hoc* review: a summary" at <http://www.weinberg.northwestern.edu/faculty/documents/Summary%20of%20ad%20hoc%20procedures%2015-16.pdf>. The Appointments Committee is sometimes able to work more quickly if the candidate's work is already well-known and highly influential.

If the appointment is to an endowed chair and if the candidate has been recommended by a sizable interdisciplinary search after correspondence with authorities in the field, the Dean may dispense with the confidential committee or may personally write to referees or designate a colleague to do so.

As noted above, on some occasions the department itself may solicit letters that will go directly to the Dean. Please discuss this procedure with Steven Cole before making any requests.

The department will be invited to read the report from the Appointments committee or the *ad hoc*; the chair should then speak to the **Associate Dean for Faculty Processes and Governance** about the next steps in making an offer.

The department chair should assure the candidate that the length of the review is routine. Under no circumstances should an offer be promised by a certain date, neither should an offer or specific terms be promised before the Dean's and Provost's decisions.

5. SETUP RECOMMENDATIONS.

The department should inform the Dean's Office of the recommended salary, start date, and any other considerations that may have come up in conversation with the candidate and that you recommend. Adequate space must be identified before the Dean will make an offer to any candidate. At the time the department recommends an offer, it must specify which office and laboratory space the candidate will occupy. If renovations are necessary, the department must speak with Joel Trammell about the feasibility and realistic costs of the proposed alterations. If the candidate will need access to the University's high speed computing facility, we will arrange that conversation. The Dean's Office and department must come to an agreement on these matters before an offer will be made.

Candidates requiring laboratory set-up: If the *ad hoc* or Appointments Committee endorses the candidate, you should discuss with the candidate items necessary to establish a research program. The Department should not promise specific commitments; only the Dean can do so. The chair should indicate whether the prices submitted by the candidate will be discounted when purchased through the University. The chair should also comment on requested funds for staff (postdocs, technicians, others) and indicate what level of graduate support the department will provide during the initial years of appointment. If complex equipment is included in the setup, the department should work with Joel Trammell to determine whether the equipment requires modifications to the laboratory to reduce temperature and humidity fluctuations, shield from vibration or magnetism or otherwise provide strict environmental control.

Once you have submitted this information, the Dean's Office will work with the Vice President for Research's Office to reach agreement on expenditures. Any commitments for graduate student support should be made by the department chair out of that department's allocation.

6. DEPARTMENT SHARE.

Departments are expected to provide 10% of the setup costs, to include discretionary research funds, equipment, postdocs and technicians, backup funding and the like, but excluding renovations and summer salary. Departments also pay the institutional cost of phone installation and service keys, visas and green cards, except where otherwise specified. Generally furniture should come from the department's stock.

7. START DATE; BENEFITS.

Most new faculty members begin on September first and are paid in twelve equal installments starting September 30. Eligibility for health

insurance begins on the start date if starting on the first of the month, otherwise on the first of the next month. Some candidates will need a start date in the summer in order to maintain the continuity of health insurance. The salary is then spread out over thirteen or fourteen months. Please alert the Dean's Office to the need for an early start.

8. JOINT BUDGETARY APPOINTMENT.

In cases where a candidate will have a budgetary joint appointment between departments, between a department and a program, or between Weinberg College and another school, the offer letter will spell out procedures for salary review and promotion. Typically, one department will be named the "primary department," but the secondary department (or program) will be assured of a voice in these proceedings. A protocol describing proper procedures is available from the Dean's Office.

F. LANDING THE CANDIDATE.

Competition is tough for the best candidates. A department should keep up contact after the offer. Senior faculty members should be asked to call the candidate to discuss professional concerns. Above all, marshal specific evidence, tailored to the candidate, about why Northwestern is the best place for his or her career. Indicate to the candidate as well, how his or her contributions will be valuable to students and colleagues.

Be prepared to help the candidate with personal concerns. The Dean's Office stands ready to help with a partner's search for a job, with suggestions about the housing market, and with information about schools and child care. The matter of an appropriate job for the partner has been decisive in many cases in recent years. The Dean's Office can offer some help with potential contacts.

G. PARTNER EMPLOYMENT ASSISTANCE.

If the candidate indicates that his or her spouse/partner desires assistance in finding employment in the Chicago area, please ask the candidate to send the partner's vita to the [Associate Dean for Faculty Processes and Governance](#), along with a brief cover note about the sort of position that would be of interest. The Dean's Office will try to help the partner make appropriate connections. Information about jobs at a number of local institutions can be found through the Greater Chicago Higher Education Recruitment Consortium. http://www.hercjobs.org/greater_chicago_midwest

If the partner is also an academic, we are sometimes able to arrange a teaching appointment on a transitional basis, contingent on the individual's record, teaching needs, and the willingness of a department or program to host the partner. Please do not contact the heads of other units about a partner hire without first speaking with the [Associate Dean for Faculty Processes](#). In general, it is better if these discussions are led by the Dean's Office. The department of the candidate may be invited to share in the cost of hiring the partner. If the partner/spouse is a scientist, it is sometimes possible to arrange a research faculty or staff position, again contingent on record and the identification of a host laboratory. Typically research appointments are paid from grants after an initial period.

If a colleague from another department or school approaches you about possible employment for the partner of one of their spouses, please be in touch with the [Associate Dean for Faculty Processes](#) or the [Associate Dean for Faculty](#). The Dean's Office needs to be involved from the beginning, as such requests often involve College resources and deflect on College priorities.

When a partner is hired, that individual becomes a valued member of the University community, respected for his or her achievements who will be evaluated and rewarded for his or her own contributions to the University's mission.

H. MAKING THE OFFER: RELOCATION DETAILS.

1. MOVING EXPENSES.

With regard to moving expenses, an allowance is provided in the offer letter. This moving budget varies depending on the rank and location of a candidate. Please contact Ben Polancich, 847-491-7497, b-polancich@northwestern.edu for guidelines on specific hires. The College is unable to pay to move cars, or cover the costs of storage, extra insurance or other costs associated with transporting antiques, art objects, etc. On occasion the College may be able to contribute to the travel expenses of a faculty member coming from outside the continental United States. A newly appointed faculty member may arrange the move personally and be reimbursed after arrival on campus, or may use the University's authorized moving agent. In the latter case, Weinberg College pays the mover's total invoice up to the stated maximum; and any costs above those approved are paid by the new faculty member.

2. HOUSING.

Many new faculty need assistance in finding housing in or near Evanston. Such help is best proffered on the departmental level. It is particularly important that visiting faculty be given such assistance in view of the difficulty of finding appropriate housing in the campus vicinity. The University maintains a relocation website that includes general information about housing. <http://www.northwestern.edu/hr/work-life/relocation/index.html>.

I. PREPARATIONS FOR ARRIVAL.

Departments should plan ahead to make sure an office is available when a new colleague arrives and that renovations, if any, are complete. Likewise, any promised computing equipment should be ordered well in advance and available when the faculty member arrives.

Incoming faculty members should purchase any Northwestern-funded (and owned) equipment via the University's purchase order system. They should work with the DA on the order and consult with Weinberg Information Technology before selecting computer hardware. In this way, they

can avoid compatibility and security issues and take advantage of any special pricing. Weinberg IT can also help the new colleague with software purchases.

J. APPOINTMENT OF A FACULTY MEMBER WHO IS NEITHER A U.S. CITIZEN NOR A PERMANENT RESIDENT.

In order for a foreign national to be employed in a tenure-track position, he or she must be sure to obtain proper permissions from the U.S. government. Both the U.S. Citizenship and Immigration Service (USCIS) and United States Department of Labor have requirements that must be satisfied. These agencies have independent deadlines. Both require immediate attention by the faculty member.

Foreign nationals should begin paperwork for the proper visa as soon as they accept the offer. Except in the math, science, and economics departments, new faculty should email wcas-visa@wcas.northwestern.edu to initiate the process. In the math, science, and economics departments, the department staff will oversee the paperwork.

The University may not pay someone, nor may that person perform services for the University, until the necessary visa or permit has been issued. Also prohibited is retroactive compensation for work performed before governmental authorization to work. See II.A.13.

The application process for permanent residency is long and must be started within 18 months of the original job offer. The Dean's Office will partially reimburse *beginning tenure-track assistant professors* for the cost of applying for permanent residency. It will also pay fees required of employers.

It is the faculty member's responsibility to maintain proper immigration status and permission to work in the United States. Should a faculty member's immigration status and/or permission to work expire; the faculty appointment (as well as all salary payments and benefits) will be suspended until the faculty member re-establishes proper immigration status and/or permission to work, as required by Federal law. In the case of an extended suspension, the University may revoke appointment.

Faculty members should consult the International Office website (<http://www.northwestern.edu/international>) for travel guidelines. They may not leave the country without valid papers to return. This applies also to family members. Faculty members stranded abroad without proper visas and work papers will not receive salary from the University and benefits coverage may cease.

1. THE INITIAL VISA.

The most urgent concern for the department and the new faculty member is to ensure that the individual can demonstrate eligibility to work in the United States and therefore to be paid by the University. Most new, regular faculty members who are already in the U.S. fall into one of two categories at the time of hire:

Tenure-line faculty should be hired on an H-1B visa (see below). For some other categories of academic employment, an individual may hold an F-1 or J-1 visa while finishing the PhD. These visas can usually be extended for 12 to 18 months respectively, if they have not previously been extended. The incoming faculty member should arrange an extension through the International Office at his or her degree-granting institution. The new faculty member must then begin procedures to obtain an H-1B visa.

New faculty members coming from abroad must arrange the appropriate visa through a U.S. Consulate after **completing** the process with the International Office at Northwestern. A consulate cannot issue the appropriate visa until approvals have been granted by the United States Citizenship and Immigration Service in the U.S. The University is not permitted to pay regular employees who have a B-1 (business), a B-2 (pleasure) or a B-1/B-2 visa. Faculty cannot apply for a work visa if they are in the US on a tourist visa.

2. THE H1-B VISA

The H-1B visa is the appropriate visa for someone with specialized training who seeks to obtain permanent residency and work in the US long term. Faculty members cannot teach or be paid unless a valid visa **or other work permission** is in force. There is a six-year maximum on H-1B status.

It currently takes at least six months to obtain an H-1B ; departments should instruct new faculty to begin the necessary paperwork as soon as they accept the offer.

Some individuals already hold an H-1B visa for another job. H-1B visas are specific to the employer and are not portable. They can be transferred with the appropriate "change of employer petition." Please be aware that, like a new visa, this process may take five or six months for final approval, **but applicants are able to begin employment at NU once USCIS has issued a receipt notice**. The incoming faculty member will need to arrange a new H-1B visa before he or she can do any work at Northwestern (or be paid).

Departments must complete some of the paperwork for the H-1B, beginning with the *Prevailing Wage Statement*. The International Office provides instructions and advice on how to complete the necessary steps, see their website regarding the H-1B: <http://www.northwestern.edu/international/information-for/international-employees.html>.

a) CHARGE FOR VISA PROCESSING

The University's International Office will charge the unit sponsoring an individual a fee for visa processing. In addition, the department issues two checks payable to The Department of Homeland Security (no abbreviations). The EIN number for The Department of Homeland Security is V410750420 B. Please verify current amounts with the International Office. These must be separate checks.

b) PREMIUM PROCESSING.

If the H-1B is needed in less than five months, the individual or department may opt for Premium Processing. Under this option, the USCIS petition is submitted and an approval notice is returned in 20 business days. There is an additional charge, payable again to The Department of Homeland Security. If premium processing is needed because the faculty member has not acted quickly to provide materials for the application process, then he or she will be expected to pay the \$1,225 fee. (Note: the prevailing wage determination can take up to 3 months and there is currently not a mechanism to expedite this part of the process.)

3. PERMANENT RESIDENCY; LABOR CERTIFICATION.

A tenure-track faculty member should initiate the process of obtaining permanent residency (the green card) promptly since there are strict time limits that one ignores at great peril. **The first step is to consult with the University's International Office.** During the application process, two federal agencies are involved: USCIS and the U. S. Department of Labor. They have different deadlines. A valid visa from USCIS does not satisfy Labor Department requirements for certification. The University may not offer permanent employment (i.e. tenure) to someone who is neither a citizen nor permanent resident of the United States (excepting very small categories of foreign nationals, primarily refugees).

a) ADVICE

The International Office (ext.1-5613) is able to offer some general guidance on obtaining permanent residency. The director of that office almost always suggests that the faculty member hire a lawyer, and maintains a list of lawyers who have worked with other faculty members. When the University is sponsoring the application for permanent residency, the individual must use a lawyer from the approved list.

b) DEPARTMENTAL ROLE

The department must provide some of the administrative support for permanent residency applications. Notable, the department provides the records of the search for the Labor Certification and prepares some forms. The sponsoring unit is billed for certain fees that must be paid by the employer. These now amount to roughly \$3,000.

c) LABOR CERTIFICATION.

In many cases, an initial step in obtaining permanent residency is certification by the U.S. Department of Labor that no American citizens or permanent residents were equally qualified for the position. It is necessary for the faculty member to initiate this labor certification process *within 18 months of the time the College makes the job offer.* As part of the process, the department must describe in some detail the procedures followed in the search and the pool of candidates who are U.S. citizens or permanent residents. Maintaining full records of faculty searches (see subsection I.J.) is essential.

If a foreign faculty member fails to file for labor certification within the 18 month period, or if there was no print ad the department may be required to reopen the search and the faculty member risks losing his or her job. Labor certification is a separate process - and separate paperwork for the department - from the Labor Condition Application, required for the H-1B.

d) EXEMPTION FROM LABOR CERTIFICATION; OUTSTANDING RESEARCHER CATEGORY.

Under the terms of the Immigration Act of 1990, foreign nationals who have at least three years of post-doctoral experience and a reputation for outstanding work may be exempt from labor certification. **Faculty should consult an immigration lawyer who will have a sense of the minimum bar for this route to residency.**

e) SUBSIDY FOR ASSISTANT PROFESSORS ONLY.

For assistant professors only, the College will provide a partial subsidy for the costs of obtaining permanent residency. This subsidy is separate from the payment of visa fees and any specific costs for labor certification needed prior to residency and the amount is specified in the offer letter. For other foreign faculty, the University pays the fees required of it, but no subsidy. It does not subsidize citizenship applications.

f) FEES PAYABLE BY FACULTY MEMBER.

Faculty may not use funds from a discretionary research account to pay the costs of obtaining a green card or citizenship beyond what is provided with the subsidy for assistant professors.

J. THE RECORDS OF THE SEARCH.

These are to be retained by the department for at least three years, whether or not a formal offer is made. The Affirmative Action Pre-Search and Summary forms and copies of the actual ads should be retained indefinitely. Any document that contains a social security number must be shredded when it is due for disposal.

Important exception: If a foreign national is hired, the department must retain all records of all candidates until the faculty member receives permanent residency in the U.S.

The documents listed below constitute evidence of a good faith search. There are several circumstances under which it might be necessary to retrieve these records. They would have to be produced, for example, if the federal government audited the University's compliance with laws relating to equal opportunity. They are also essential to any faculty member who is a foreign national intending to apply for labor certification and permanent residency (see subsection I.I.3.a).

All correspondence between department and Dean: the chair's request to fill the position; the Dean's authorization to search; the Dean's

authorization of a campus visit, etc.

All advertisements and notices of the position: photocopies or tear sheets of the actual ads and notices; correspondence pertaining to placement of ads; etc.

All correspondence and notes of telephone calls reflecting special efforts to locate qualified female and minority candidates.

All letters of application, CVs, job-placement folders (containing statements of recommendations, etc.) of candidates. Notations on correspondence - such as "Send standard 'No' letter," always initialed and dated - are especially useful and needed.

All letters of recommendation, solicited or unsolicited.

All follow-up correspondence and notes of follow-up telephone calls about candidates' qualifications (notes of calls should be initialed and dated).

All notes (initialed and dated) about interviews with candidates on their campuses, at professional meetings, or in Evanston.

All notes (initialed and dated) about candidates' written work. (It is not necessary to retain the work itself, which should be returned to the candidate.)

Any lists. Who survived the first screening? Which candidates were interviewed in their graduate departments? Which candidates were interviewed at professional meetings? For whom were follow-up materials sought?

Originals of the Affirmative Action Pre-Search and Summary forms. Please retain these forms indefinitely.

K. ADVISING AND ENCOURAGING NEW FACULTY.

See <http://www.northwestern.edu/provost/faculty/prospective/guide.html>.

Entry-level tenure-track faculty members are assured one quarter per year with no formal classroom teaching in each of the first three years of appointment and should not teach more than two courses in any other quarter. They should be in residence during the quarter without assigned teaching and should take advantage of the time to make substantial progress on scholarly projects. They should be discouraged from taking on additional teaching for pay. A new faculty member who receives a teaching reduction from the College may not take on additional teaching within Northwestern or for another institution during the academic year.

L. NON-BUDGETARY SECONDARY APPOINTMENTS.

A department may offer a non-budgetary courtesy or secondary appointment (often called a "joint appointment") to a faculty member in another Weinberg department or in another school of the University. The terms "courtesy" or "secondary" should not imply that these are merely formal affiliations. Any recommendation to offer a faculty member such an appointment should be based on his or her active, ongoing contribution to the host department, whether a matter of record or anticipated. The appointee's role in the host department may include such activities as the cross-listing of courses, service on graduate dissertation committees, collaboration on research, assistance in the recruitment of faculty and graduate students, and participation in seminars and colloquia. When a faculty member's home department recommends that he or she be promoted, if that faculty member holds a secondary appointment **that involves teaching or service**, the secondary department may be invited to comment on the candidate's **activities** and to supply its perspective on the recommended promotion.

Prominent members of institutions that have an affiliation with Northwestern (e.g. the Field Museum, the Chicago Botanic Garden, the Family Institute) may receive non-budgetary courtesy or adjunct appointments as well. These affiliations also require a vote of the departmental faculty.

1. UNIFORM POLICY.

A department must have a uniform written policy on the right of secondary appointees to attend and vote in its meetings. (Typical policies: a secondary appointee may attend and speak in meetings but may not vote; may vote on all but personnel matters; may vote on all matters.) If a host department has different rules for different secondary appointees, it should act to bring those policies into uniformity by determining the policy it will follow for all such colleagues, announce that policy to them, and inform them that at the time of any renewal of a secondary appointment, they will be invited to accept rights of participation in department affairs in accord with the department's uniform policy.

2. APPOINTMENT.

The chair of the department and the prospective member discuss their mutual interests and expectations, and the chair acquaints the candidate with the typical responsibilities of secondary appointees in the department---for example, in regard to attendance at department meetings and the categories of issues, if any, upon which the department will invite her or him to vote. If the appointment seems mutually desirable and the joint appointee will not have department voting privileges, the chair conducts an e-mail ballot among the department's regular members. If the results of that vote are substantially divided, the potential secondary appointment should be discussed at a department meeting and a written ballot taken. If the secondary appointee will have department voting privileges, the appointment should be discussed at a department meeting and a written ballot taken.

If the vote is favorable, the department submits a Short-Term Appointment Application (choose "Secondary (Courtesy or Paid) Appointment" under "Action Requested"). Included in the application (under "Additional Supporting Documents for Candidate") is a recommendation from the department (the letter includes the totals for those voting in favor and against, those abstaining, and those absent or, in the case of an e-mail ballot, not responding) and a copy of the candidate's up-to-date curriculum vitae (under "Candidate's Current CV"). After any appropriate discussion with the host department, the Dean's Office may check with the faculty member's home school (if not Weinberg College) to be sure that the appointment meets with no objection, whereupon the Associate Dean makes the offer.

3. TERM.

An initial secondary appointment is typically for a term of three years (it may be for a shorter period but is seldom for a longer one), although in no case may the length of a secondary appointment exceed the length of the appointment held by the faculty member in his or her home department. Appointments are renewable, often for an extended term. A non-budgetary appointment can be brought to an end at any time that either the faculty member or the department sees fit.

4. EMERITUS STATUS.

According to the Provost's Office, faculty may hold emeritus rank only in their home departments.

M. ENDOWED CHAIRS

The College has a number of endowed chairs and professorships which are awarded to outstanding teachers and scholars on the faculty. Sometimes these positions are used to recruit distinguished senior scholars to Northwestern. At other times a vacant chair may be used to bring in eminent visitors. The number of endowed positions is limited and some distinguished members of the faculty have not yet been recognized with a chair or professorship. There are two sorts of endowed positions:

1. RENEWABLE POSITIONS.

Subject to availability, these chairs are awarded for a period of five years to senior faculty members who have achieved a high level of distinction in their fields. Appointment is renewable so long as the chair holder continues to produce outstanding scholarship and teaching. At the Dean's discretion, a renewable chair may sometimes be awarded for a shorter, non-renewable term or be offered to a visitor. A faculty advisory committee works with the Dean to review the candidates in the fifth year of appointment. It may recommend renewal for five years or a shorter term or non-renewal.

2. TERM OR ROTATING POSITIONS.

A number of research or teaching professorships are awarded to mid-career faculty who have demonstrated outstanding achievement in their professional work. The term is typically two or three years, after which the professorship is rotated to another faculty member.

N. UNSUCCESSFUL SEARCH.

Should a search fail to yield a candidate sufficiently strong to merit an offer, the chair of the department should alert the [Associate Dean for Faculty Processes and Governance](#). If possible, the chair should indicate whether the department wishes to search in the same field during the next academic year. No affirmative action papers need to be filed at the end of an unproductive search.

O. UNSOLICITED INQUIRIES FOR FACULTY POSITIONS.

Every department receives such inquiries. In replying, the chair should not obligate the department to some specific positive action in the indefinite future---for example, should not say that the department will keep the writer's inquiry on file. Instead, a version of this reply should be sent:

Dear Mr. Doe:

Thank you for your letter inquiring about a position in the Department of English.

I am sorry to say that we do not have a position open at this time. Should one be authorized, we will advertise it in the MLA's *Job Information List*. We ask that you check future issues of that list and be in touch with us again if we advertise a suitable opening.

I appreciate your interest in joining our faculty.

Sincerely yours,

IV. THE PROBATIONARY TERM, REAPPOINTMENT, EXTENSIONS

- A. LENGTH OF PROBATIONARY TERM; MENTORING.
 - 1. NEWLY-ARRIVING FACULTY.
 - 2. KINDS OF MENTORING.
 - 3. CHAIR'S ONGOING RESPONSIBILITIES.
 - 4. SUPPORT FOR TEACHING.
 - 5. MENTORING OF GRADUATE STUDENTS.
 - 6. EXTERNAL MENTOR FOR ASSISTANT PROFESSORS.
- B. EXTENDING THE PROBATIONARY PERIOD.
 - 1. POLICY.
 - 2. EVALUATION.
 - 3. EXTENSION OF APPOINTMENT.

- 4. TIMING OF TENURE REVIEW.
- C. REAPPOINTMENT OF ASSISTANT PROFESSORS.
 - 1. POLICY.
 - 2. STANDARDS.
 - 3. THE REAPPOINTMENT REVIEW.
 - 4. REQUIRED DECISION.
 - 5. DOSSIER.
 - a) CURRICULUM VITAE.
 - b) CANDIDATE'S STATEMENT.
 - c) DEPARTMENT LETTER.
 - d) POSSIBLE EXTERNAL REFEREES.
 - e) TEACHING MATERIALS.
 - f) EXTERNAL AND STUDENT REFEREES ALREADY CONSULTED.
 - 6. DEAN'S RECOMMENDATION.
 - 7. CONVEYING THE OUTCOME TO THE CANDIDATE
- D. COLLEGE FELLOWS
- E. PROMOTING, REAPPOINTING OR NOT REAPPOINTING AN INSTRUCTOR.
 - 1. DEGREE COMPLETED BEFORE APRIL 1.
 - 2. NEED TO MAKE REAPPOINTMENT DECISIONS IN SPRING.
 - 3. DEGREE INCOMPLETE IN SPRING OF SECOND YEAR ON FACULTY.
- F. MID-COURSE ASSESSMENT OF SHORT-TERM ASSISTANT PROFESSORS.
- G. PRE-TENURE PREPARATIONS IN PENULTIMATE YEAR.

A. LENGTH OF PROBATIONARY TERM; MENTORING.

For most assistant professors, Northwestern's probationary term is six years with mandatory review for tenure in the sixth year. That means that the dossier of publications to be sent to reviewers must be ready at the end of the fifth year. Departments can do much to help junior colleagues become familiar with Northwestern's scholarly culture and develop productive strategies for achieving their goals within this period. To that end, the department chair and senior colleagues should make sure that assistant professors have access to appropriate mentoring and that junior colleagues receive timely feedback on their teaching and writing. Written feedback should be provided after the reappointment review, and on other occasions when the colleague would welcome it.

Some assistant professors with prior tenure-track appointments at other institutions are given a shorter probationary period, specified in the offer letter. Those on a three or four year track will not have a formal reappointment review along the way, but there will be an official check on progress and report to the Dean. The timing of this assessment will be specified in the offer letter. For short-term assistant professors especially, senior colleagues should be vigilant about the brief time frame in which the junior colleague needs to complete projects, obtain grants (in some fields), and bring teaching and mentoring to the expected level.

1. NEWLY-ARRIVING FACULTY.

New junior members of the faculty should receive clear information regarding the department's and College's expectations in the areas of teaching, research, and service.

More than that, however, the chair should make clear what sorts of advice are available in the department and elsewhere. It is useful to institute a system of mentoring that pairs various senior and junior faculty members and to set up a routine schedule of annual conversations regarding progress. Regardless of the assignment of junior faculty to senior mentors, chairs must meet at least annually with untenured faculty to discuss their professional progress. Salary review is an appropriate moment for such discussion.

Entry-level tenure-track faculty members are assured one quarter per year free from teaching in each of the first three years of appointment and should not teach more than two courses in any other quarter. They must be in residence during the quarter free from teaching but should take advantage of the time to make substantial progress on scholarly projects. Assistant professors may not teach overload courses in the [School of Professional Studies](#), the Summer Session, or another institution without the approval of the chair and Associate [Dean for Faculty](#). Permission should not be given when the colleague enjoys a course reduction from the College.

2. KINDS OF MENTORING.

The department should offer several types of guidance for incoming faculty: orienting them to Northwestern policies and procedures (e.g. policies regarding grading and academic dishonesty), introducing them to colleagues within the department and in neighboring units of the University, guidance about teaching and teaching resources at Northwestern, general guidance about career development (e.g. picking and choosing conferences, publishing in top refereed journals, selection of a strong press for a book manuscript, etc.), tips about remaining focused and avoiding distractions (overload teaching, too much time spent on service), and specific advice regarding expectations for reappointment and promotion at Northwestern. Some departments have established programs that allow junior faculty to bring in an outside mentor (a senior scholar not at Northwestern) who is asked to read some of the faculty member's work and then come to campus to consult with the faculty member and a few department members about the work and the larger field. Such outside consultants are valuable especially when there is no senior colleague in a related subfield.

In addition, it is useful to discuss the significant timelines in the discipline (e.g. the long route to book publication) so that the junior faculty member can plan ahead appropriately. In this regard, the department can also help leave-eligible faculty devise a strategy for applying to external agencies in support of a two- or three-quarter leave, including putting him or her in touch with the Director of Foundation Relations, or one of the two Research Administrators in the Dean's Office, who can assist the faculty member in identifying funding opportunities and preparing proposals. Of course, it is also the faculty member's responsibility to seek advice from the chair and other colleagues.

3. CHAIR'S ONGOING RESPONSIBILITIES.

The chair should meet with each assistant professor at least once per year to discuss accomplishments and plans. It is an important responsibility to make sure that assistant professors do not fall between the cracks for whatever reason: because the assistant professor's subfield is small, or there has been a good deal of turnover in the senior ranks, or the assistant professor is on a short track to a tenure decision. Members of the faculty whose professional background is foreign may need special guidance on the ways of American educational institutions and the norms of the discipline in the US. Chairs should be available to lend a sympathetic ear to the concerns of junior faculty and should be prepared to direct them to the appropriate office or person for additional advice. The Dean's Office can help, and the Associate Dean for Faculty often meets with faculty members. The chair should also be alert to the kinds of advice junior faculty are receiving from others. Sometimes "word on the street" advice can be misleading.

The chair should also acquaint new tenure-track faculty with the processes and timetables of reappointment, promotion, and the grant of tenure, and should emphasize the importance of keeping full records of the sorts of information called for during promotion-and-tenure proceedings. In the winter of the penultimate year in the probationary term, the chair and the candidate should work out an appropriate schedule for the submission of materials required in the tenure review.

Chairs should be alert to the possibility that a junior colleague may be receive bad advice from another colleague at Northwestern or elsewhere. Examples include overestimating the value of editing a book or organizing multiple conferences, devaluing the importance of teaching and mentoring, and inadequate strategies for grant applications. Regular conversation with junior colleagues should provide ample opportunity to ferret out and correct wayward advice. Nevertheless, junior faculty are ultimately responsible for their own career decisions.

4. SUPPORT FOR TEACHING.

Departments should foster a strong ethos in favor of teaching. This might include a regular program in which new faculty might visit the classroom of accomplished colleagues and senior mentors might visit the classes of new teachers and give off-the-record advice. Chairs should also make new colleagues aware of the resources of the Searle Center for Advancing Learning and Teaching (<http://teach.northwestern.edu/index.htm>).

Assistant professors should teach undergraduate and, if possible, graduate courses so that the teaching record is varied at the time of reappointment and tenure reviews. That said, the department chair should ensure that junior faculty members have an opportunity to repeat some of their courses so that they do not have an excessive number of new preparations during the probationary term.

If the department receives complaints from students about a faculty member's teaching, advising, or collegiality, the chair or designated senior colleague must look into the accuracy of such complaints and work with the faculty member to resolve any issues and improve performance. If such problems are not addressed, they may diminish the candidate's chance for promotion.

5. MENTORING OF GRADUATE STUDENTS.

Assistant professors should teach and mentor graduate students where possible. Mentoring of graduate students (and postdoctoral fellows) is a significant part of teaching, as it involves nothing less than the preparation of the next generation's intellectual leaders, both within and beyond the academy. For advice on mentoring graduate students, please direct new faculty colleagues to <http://www.tgs.northwestern.edu/resources-for/faculty/excellence-in-mentoring/index.html>.

6. EXTERNAL MENTOR FOR ASSISTANT PROFESSORS.

Many assistant professors find sufficient mentoring through colleagues on the Northwestern faculty. Other junior faculty members may work in a field that is underrepresented at Northwestern or for other reasons desire advice from an external mentor in the field who is able to review a book manuscript or corpus of articles at a critical point in the probationary term. Weinberg College provides the option of a single, focused mentoring workshop for assistant professors and will share the cost of this session with the department. Please see the document "External mentoring program for assistant professors" for full details.

B. EXTENDING THE PROBATIONARY PERIOD.

1. POLICY.

A tenure-track faculty member may request that one year be added to his or her probationary term in cases where particular circumstances have arisen to interfere substantially with the research or other projects which the faculty member intends to submit as part of his or 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 the immediate family; or the failure of the University to meet a commitment with regard to research facilities (e.g. promised space is not made available). Although the decision on each request will depend on the specific circumstances, requests to prolong the probationary term by one year for circumstances relating to the birth or adoption of a child will automatically receive favorable consideration; requests related to childrearing will generally receive favorable consideration. (Application should be made after the birth or adoption.) Except in unusual circumstances, clocks will not be stopped during a year of research or employment elsewhere, nor does this policy apply to situations that arise normally as a faculty member's program expands and evolves (e.g. the faculty member wishes to obtain additional space; an important grant application is turned down; the member embarks on a new line of research). University policy about parental leaves and extensions may be found at <http://www.northwestern.edu/provost/policies/statements/familyleave.html>.

2. EVALUATION.

Decisions about extensions of the probationary period are taken by the Provost after review by the chair and Dean. Before September 1st of the year of tenure review, the faculty member writes a letter stating specifically how circumstances interfere with his or her progress and might justify an extended probationary period. In requests for extensions related to childrearing, the letter must state explicitly that the faculty member in question is at least an equal partner in the childrearing. The letter must also state explicitly that the faculty member understands that he or she "will not enjoy an entitlement or stronger claim to tenure by virtue of continued membership on the faculty beyond the customary probationary period." (The reason for this is that Northwestern University policy provides for tenure by default at the end of the sixth year in a regular faculty rank if written notice has not been given by then. The requested disclaimer allows the University to prolong the probationary period beyond that point.) The faculty member gives this letter to the chair.

Please note that a childbearing or childrearing leave does not automatically trigger an extension of the probationary term. The faculty member must apply for it.

The chair must evaluate the circumstances in relation to those faced by other assistant professors and provide a recommendation to the Dean. Requests based on personal reasons are not subject to debate or vote by the department. The chair forwards that evaluation and the original letter to the Dean. Should the Dean not approve the request, the faculty member may apply directly to the Provost for a review of the decision.

3. EXTENSION OF APPOINTMENT.

If the request is approved by the Provost, the faculty member's probationary term is extended by a year. Accordingly, the appointment will be lengthened in the following manner: if the request is made in the first two years of an assistant professorship, the initial term of appointment will be lengthened to four years. If the faculty member makes the request in the third, fourth, or fifth year of a tenure-line appointment, then the second term of appointment will be extended by a year.

Faculty members will generally be given a one-year extension if the request is granted. Extensions for childbirth and/or adoption and/or childrearing are limited to a total of two years within a faculty member's pre-tenure probationary period at Northwestern, regardless of the number of children.

4. TIMING OF TENURE REVIEW.

It is vital that colleagues whose probationary terms have been extended be given the full benefit of the extra year. They should not be pressured to come up for tenure before the year of mandatory consideration. When they are reviewed, they are expected to have achieved the same productivity as any other faculty member in the sixth probationary year and not to meet some more stringent standard.

C. REAPPOINTMENT OF ASSISTANT PROFESSORS.

1. POLICY.

The renewal of an appointment that does not extend beyond the probationary period carries no suggestion, much less the tacit promise, that tenure will ultimately be granted. Nevertheless, it is in the best interests of the College and of each of its departments to treat such renewals with the utmost conscientiousness. The review should not be viewed as a mere formality; the absence of reasons against renewal is not sufficient cause to renew. The best positive support of a recommendation to renew is the department's present expectation that it will wish to give serious consideration to granting permanent faculty status to the candidate after a further probationary period.

2. STANDARDS.

Candidates should be able to demonstrate serious progress in their research (or artistic production) demonstrated by published or drafted papers, conference presentations, significant revisions of the dissertation, external grant support, and other markers, as appropriate. Issues of quantity and quality as well as the ultimate professional impact of the candidate's work must be considered. If a candidate has failed to make the progress called for, the offer of a terminal year should be considered.

In evaluating a candidate for reappointment, the department must give serious consideration to the quality of the candidate's teaching at both the undergraduate and (if relevant) graduate levels. When the teaching record is not yet good and if the candidate has failed to show significant improvement, the department should seriously consider the offer of a terminal year on the faculty. If the teaching has not yet reached a high level of quality but is improving, the department should work with the candidate to outline a strategy for further improvements. Obligations to our students require that we hold faculty to standards of excellence in teaching and advising, and other forms of mentorship.

Most departments find that the third-year review is an excellent time to discuss progress-to-date with a junior faculty member and to map out corrective action where necessary. Among other things, the department should ask whether research is progressing in a coherent and productive fashion. The department should call the candidate's attention to activities that are likely to draw energy away from the essential tasks of research, teaching, and service and also verify that the service required of the faculty member, whether departmental or otherwise, is not excessive.

3. THE REAPPOINTMENT REVIEW.

Eligible to vote are all tenured faculty members. (Untenured associate professors may participate in the discussion but not in the vote itself.). The vote should be conducted by secret ballot. A department member enjoying a close personal relationship with the candidate (familial, former advisor, etc.) should recuse him- or herself from all stages of the review process.

In conducting the reappointment review, the department should consider whether the following issues are important in their field:

- Extensive co-authorship, such that our colleague's contribution is hard to discern.

- Continued and projected collaboration with former mentors.
- Book-in-progress is based on the dissertation and does not seem to go beyond the earlier work or involve additional research.
- Published articles overlap substantially with the book (or with each other).
- Failure to seek publication in strong refereed journals.
- Lack of focus, with too many research projects underway concurrently.
- Lack of funding in the sciences and those social sciences where external support is needed for research. Lack of grant applications.
- Little or no undergraduate teaching and advising.
- Poor record of mentoring graduate students, if one works with graduate students
- Too many new course preparations.
- Excessive time devoted to service in the department, wider university, or profession to the detriment of scholarly production.
- Lack of engagement in the debates of the field through conferences and seminars (local or national) where work and professional trajectory might be showcased.
- Excessive engagement in conferences, if unaccompanied by a consistent record of publication or exhibition of creative scholarship.

4. REQUIRED DECISION.

Before the Fall Quarter, the Dean's Office sends a letter to each chair listing all tenure-track assistant professors whose appointments expire the following August 31. An assistant professor in the sixth and final year of the probationary term must be considered for the offer either of tenure or of a specifically terminal, seventh year on the faculty (for reappointment that involves the grant of tenure and promotion, see Section V.). Other assistant professors whose appointments will expire must be considered for the offer either of reappointment - which, in their case, can never extend beyond the six-year boundary - or of a terminal year of notice on the faculty.

5. DOSSIER.

In the Fall Quarter, the departments consider candidates' work and standing in light of the policy, **standards, and issues of potential concern outlined** above. Department members should review papers, chapters, grant proposals, teaching materials, any outside letters (external opinion must be in writing), and other items before the meeting at which a vote on reappointment is taken. Discussions of reappointments, as of other personnel matters, should be treated as confidential. Please take special care in sending any confidential materials to faculty who are away from campus.

One copy of the full dossier is forwarded to the Dean's Office in January. For a same-rank reappointment, publications need not be supplied but must be available should the Dean wish to consult them. The department should forward these materials to the Dean:

a) CURRICULUM VITAE.

For guidelines, see subsection V.W.

b) CANDIDATE'S STATEMENT.

The candidate should prepare a statement of several pages discussing progress in research and teaching and outlining plans for the second term of appointment. The candidate should give some attention to the probable course of his or her work after current projects are completed. The candidate should indicate what efforts are being made to improve teaching and address any problems in classroom performance.

c) DEPARTMENT LETTER.

The letter should be written and signed by a committee of the chair and a small subset of the departmental members who were present at the meeting when the case was discussed, and it must be made available for review (and correction) by all members who attended the meeting and voted. The opinions of individual faculty members should not be identified by name. The chair should make sure that all members of the voting faculty are familiar with the candidate's work and have read at least a sample of it.

The chair's letter should state the voting process: the vote, including abstentions; the number of eligible voters; and the names of those eligible faculty who voted and who did not. There must be at least three voters on any reappointment. If a department lacks that number because of leaves or other shortage of senior faculty, the chair should be in touch with Steve Cole to arrange for a surrogate department.

The body of the letter should present the department's recommendation, indicating as well the kinds of matters that a numerical vote often does not reflect, e.g., the degree of the department's conviction in making its recommendation to the Dean. If the recommendation is positive, the letter should include the statement that in the department's view, the candidate clearly developing a strong record for consideration at the time of the tenure review. If the recommendation is negative, reasons should be set forth. It is imperative that a full and candid account of departmental discussion, both positive and negative, be included in the department letter.

In many departments the chair designates one or more senior faculty members to become closely familiar with the candidate's program of research and to read his or her publications with care specifically for the purpose of this review. The senior faculty should write a statement evaluating the candidate's work both as a contribution to its discipline and as an indication of the candidate's promise as a scholar. In the department letter, that statement should be quoted from liberally, or the statement should be appended to the department letter.

The department letter should evaluate the candidate's teaching. If the candidate's teaching has not yet reached a level of high quality, the department should outline corrective measures being taken or planned for example through the Searle Center or a series of classroom visits and mentoring by senior colleagues. Departments do colleagues no favor by asserting that a teaching record is "very good" or "excellent," when CTEC evaluations are mediocre. The department should also consider the candidate's role as a mentor of graduate students.

The letter should comment on the candidate's service, and his or her role as citizen in department, College, and University.

d) POSSIBLE EXTERNAL REFEREES.

The Dean, like the department, has the option of seeking the advice of authorities elsewhere. The letter should list the names, addresses, and telephone numbers of several outside referees in the candidate's sub-field, and should note any special relationships between referee and candidate (e.g.: "Smith chaired Jones's doctoral committee").

e) TEACHING MATERIALS.

As part of the candidate's dossier, the department should forward evidence for the conclusions presented in the department letter: CTEC evaluations and statistical summaries, classroom materials (syllabi, examinations) if available, reports of classroom visits by senior faculty, other pertinent materials.

f) EXTERNAL AND STUDENT REFEREES ALREADY CONSULTED.

In its deliberations, the department may consult three to five external referees; in some cases, it will have to consult them in order to make an informed judgment. Any external evaluation must be in writing. Both replies and the departmental request should be attached.

If the department consults external reviewers, no more than half should be named by the candidate. The department should arrive at other names independently. The department must provide reviewers with the candidate's current vita and offer to supply copies of publications as needed.

The department may also wish to solicit written comments about the candidate's teaching from former students.

6. DEAN'S RECOMMENDATION.

In the winter, after reviewing each case, the Dean sends each candidate an offer of reappointment or an offer of a terminal year on the College's faculty. The new status, whichever it is, takes effect the following September.

7. CONVEYING THE OUTCOME TO THE CANDIDATE

Junior faculty are usually eager for feedback from the reappointment review. The findings of any internal report and senior faculty's deliberations give the chair a great deal of information about the candidate's performance. Without identifying any colleagues, the chair should speak frankly about what the department members felt are the greatest strengths and weaknesses, especially in teaching, research, and publication. It might be useful to call special attention to issues that may develop during an eventual tenure review. Depending on field, these questions might arise: will the manuscript be published by the sixth year, what is the candidate's record in seeking grants, does the record indicate intellectual growth, is there evidence of growth as an independent scholar by taking work beyond that achieved in collaboration with the candidate's mentor, are there sufficient publications in refereed journals, has the candidate published important work in English, is the candidate spending too much time on service? Sometimes, specific comments on the manuscript may usefully be passed on to the candidate. The department chair should maintain a file outlining the issues discussed with the candidate and might usefully provide a written copy of the summary to the candidate. Likewise, this is a time for the candidate to speak freely to the chair about his or her progress and role in the department.

Any letter to a candidate should include a disclaimer like the following example: "Any suggestions given in this letter should be viewed as general advice regarding accomplishments that make a strong tenure case, rather than as a list of specific goals that must be achieved."

D. COLLEGE FELLOWS

College Fellows automatically become assistant professors at the conclusion of the Fellowship Year. No action is required by the department. If the candidate's PhD is still incomplete, however, then he or she will be appointed at the rank of instructor.

E. PROMOTING, REAPPOINTING OR NOT REAPPOINTING AN INSTRUCTOR.

At Northwestern, time spent as an instructor, like that spent as an assistant professor, accumulates toward the six-year probationary term prior to a mandatory decision about the grant of tenure and promotion.

1. DEGREE COMPLETED BEFORE APRIL 1.

A faculty member who arrives on campus or finishes the College Fellowship Year without having completed the PhD assumes the rank of an instructor with a one-year term of appointment and a salary rate lower than that of an assistant professor. (Exact figures are stated in the offer letter.) If the faculty member completes all requirements for the PhD before April 1, and the Dean's Office is officially notified by that date, the appointment automatically becomes an assistant professorship and lasts for the balance of the original three-year term. The salary is raised to the higher rate at the beginning of the next academic quarter. *Upon completing the PhD degree, the faculty member should ask the Registrar or other central administration representative of the degree-granting institution to send the Dean a letter certifying that all requirements for the degree have been satisfied.* This certification is necessary before the faculty member can be promoted. A letter from the advisor or department chair is not sufficient.

2. NEED TO MAKE REAPPOINTMENT DECISIONS IN SPRING.

If requirements for the PhD remain incomplete in the spring of an instructor's first year, the Dean's Office and department must consult about whether to offer a second one-year appointment or a terminal year. A formal vote must be taken by the department. If the department wishes to

make the case for further appointment, it will need to address questions about the candidate's productivity and ability to bring work to completion.

3. DEGREE INCOMPLETE IN SPRING OF SECOND YEAR ON FACULTY.

For the instructor who has not completed degree requirements by the spring of the second probationary year, the offer of a terminal year will be the preferred course.

F. MID-COURSE ASSESSMENT OF SHORT-TERM ASSISTANT PROFESSORS.

Some assistant professors with prior tenure-track appointments at other institutions are given a shorter probationary period, specified in the offer letter. Senior colleagues should be vigilant about the brief time frame in which the junior colleague needs to complete projects, obtain grants (in some fields), and bring teaching and mentoring to the expected level. Those on a three or four year track will not have a formal reappointment review along the way, but the chair will be asked to make a formal "mid-course" report to the dean about the progress of the candidate. The chair – aided by appropriate colleagues – should examine evidence of teaching and mentoring and the progress on scholarly projects during the full probationary term and since arriving at Northwestern. After discussing these matters with the candidate, the chair should provide a brief report to the Dean, commenting as well on projects that are a priority before the tenure review. The timing of this assessment will be specified in the offer letter.

The report to the Dean should summarize the following aspects of the junior colleague's record as a scholar-teacher at Northwestern: (1) the scholarly/creative strengths and weaknesses in the record from the full probationary term (at NU and the previous faculty post), (2) the teaching strengths and weaknesses in the record especially from the time since arriving at Northwestern, and (3) the service strengths and weaknesses in the record especially at Northwestern. The report should more importantly address the following question: (4) what are the specific recommendations to the candidate for the remainder of probationary term.

G. PRE-TENURE PREPARATIONS IN PENULTIMATE YEAR.

In the winter of the 5th probationary year, the chair should provide the faculty member with a written schedule of due dates for materials relating to the promotion review. Many items (CTECs, syllabi, statement, e.g.) may be due in September of the sixth year, in time for department colleagues to review them before voting. If a department intends to collect external evaluations of the candidate's work over the summer, a late spring due date will be necessary for relevant publications, an up-to-date CV, and the names of referees suggested by the candidate. Please be sure to give faculty members adequate notice of these dates. The candidate can provide updated publications and CV in the fall for departmental and Dean's Office review. (See Section V for full details about the tenure review.) In addition, the chair should remind candidates to consult the policy on extending the probationary period if they believe they are eligible for an additional year. The deadline for applying for such extensions is August 31 of the fifth year, but it is best for all parties if the application is made by late spring.

V. PROMOTION AND GRANT OF TENURE

- A. THE GRANT OF TENURE.
 - 1. POLICY.
 - 2. DEPARTMENTAL VIGILANCE.
 - 3. "EARLY" TENURE DECISIONS.
- B. PROMOTION TO THE FULL PROFESSORSHIP: POLICY.
- C. OPTIONAL AND REQUIRED ACTIONS.
- D. BUDGETARY JOINT APPOINTMENTS.
- E. LENGTH OF PROCESS AND SCHEDULE.
- F. ADVANCE PLANNING.
- G. LETTERS FROM EXTERNAL REFEREES.
- H. DEPARTMENT MEETING AND VOTE.
 - 1. DELIBERATIONS.
 - 2. THE VOTE.
 - 3. MAJORITY.
 - 4. SURROGATE DEPARTMENTS.
- I. CONFIDENTIALITY.
- J. DOSSIERS: LEGALITIES, CONTENTS, DEADLINE.
- K. MATERIALS SUPPLIED BY THE CANDIDATE.
 - 1. CURRICULUM VITA.
 - 2. STATEMENT BY THE CANDIDATE.
 - 3. OTHER MATERIALS.
- L. DEPARTMENT LETTER.
 - 1. DEPARTMENTAL VOTE.
 - 2. EVALUATION OF THE CANDIDATE'S SCHOLARSHIP OR EQUIVALENT CREATIVE ACTIVITY.
 - 3. CANDIDATE'S FIELD.
 - 4. ISSUES OF SPECIAL CONCERN TO THE PROMOTION AND TENURE COMMITTEES.
 - 5. SOLICITED REFEREES' OPINIONS AT THE DEPARTMENT LEVEL.
 - 6. EVALUATION OF THE CANDIDATE'S TEACHING AND ADVISING.
 - 7. CITIZENSHIP AND SERVICE.
 - 8. BENCHMARKS.

- a) DESCRIPTION.
- b) SCHOLARLY FIELD OF BENCHMARKS.
- c) STATURE OF BENCHMARKS.
- d) USEFULNESS OF BENCHMARKS.
- 9. EXTERNAL REFEREES.
- 10. STUDENT REFEREES.
- M. SUPPORTING MATERIALS: PUBLICATIONS OR EQUIVALENT MATERIALS.
- N. SUPPORTING MATERIALS ABOUT TEACHING.
- O. MATERIALS ABOUT RELATIVE STANDING IN THE FIELD AND CURRENT RESEARCH.
- P. CANDIDATE'S REPRESENTATIVE.
- Q. ADDITIONAL MATERIALS; APPROPRIATE PROCEDURE.
- R. AD HOC COMMITTEE; COMMITTEE ON TENURE; COMMITTEE ON PROMOTION.
- S. CANDIDATE WHO DECLINES TO BE REVIEWED FOR TENURE.
- T. DEPARTMENTAL RECOMMENDATION AGAINST THE GRANT OF TENURE.
- U. LETTERS FROM FACULTY MEMBERS; MINORITY REPORTS.
- V. APPEALS OF A NEGATIVE RECOMMENDATION OR DECISION.
 - 1. DEPARTMENTAL RECOMMENDATION.
 - 2. DEAN'S OR PROVOST'S DECISION.
- W. PREPARING A CV.

A. THE GRANT OF TENURE.

1. POLICY.

The policy aims to have Northwestern's faculty be of unqualified excellence. Any tenure decision calls for application of the highest standards with respect to professional achievement and promise in both research and teaching. The Weinberg College of Arts and Sciences aims for the superlative, and each case is evaluated on its own merits. When making a recommendation for tenure, a department must feel able to affirm that the candidate in question is as good a permanent appointment in his or her area as Northwestern is capable of making, now or in the foreseeable future, given both accomplishments to date and reasonable expectations as to future achievements. This same standard must be employed by others who participate in the review. Tenure is not awarded for competent service, solid research, and adequate teaching.

In most cases, professional achievement takes the form of research activity that issues in scholarly publication or artistic work that is publicly displayed. Occasionally, a colleague will present a dossier of outstanding professional accomplishment in methodologies whose originality and theoretical sophistication significantly advance or redefine work in the discipline. Departments - and subsequently Ad Hoc committees and the Weinberg College Tenure Committee, acting with the advice of external referees - evaluate the quantity, but above all, the quality, creativity, importance, and influence of such work. They look for evidence of superior achievement relative to peer scholars, recognition of that achievement by senior colleagues both within and beyond the campus, and the promise of a career trajectory that will continue to affect the direction of his or her field. A positive recommendation to confer tenure should offer strong evidence supporting claims about the high quality of a candidate's work, the distinctiveness of his or her voice, and the degree of influence on the field. Candidates for tenure are expected to have established national reputations through their research, writing, and/or artistic work. In all regards, the standard is a high level of excellence.

The quality of a candidate's teaching and his or her potential as a teacher are major factors affecting the decision to grant tenure to a faculty member. Teaching is defined broadly; it means not simply the ability to lecture, but also the faculty member's role vis-a-vis students in various contexts, from seminars or independent study to advising. Advising undergraduate students is a significant part of teaching since conveying to students what may be the best academic course for them to follow, given their interests and goals, is to help educate them. Mentoring of graduate students and postdoctoral fellows (if relevant) is a highly significant part of teaching, as it involves nothing less than the preparation of the next generation's intellectual leaders, both within and beyond the academy. An institution devoted to instruction must weigh the quality of teaching in all decisions regarding its faculty.

Assistant professors, like other members of the tenure-line faculty, are expected to share in the duties of faculty governance. During the probationary period, the candidate may concentrate his or her university service at the departmental level. Departments should take care not to place overly heavy administrative duties on untenured faculty; nevertheless the expectation is that assistant professors will contribute to the smooth functioning of the department.

Positive reviews or assessments during the probationary period do not commit the University to a positive decision on tenure. *En route* assessments are based on progress to date and are not a premature evaluation of the case for tenure. Indefinite tenure may be granted only after lengthy, thorough review of the candidate's mature dossier of materials, beginning with the crucial vote of the candidate's department, which draws on external assessment and thorough discussion. If the department recommends the grant of tenure, additional senior authorities in the candidate's field, the candidate's Ad Hoc committee, the Weinberg College Committee on Tenure, the Dean, and the Provost will all have had the opportunity to evaluate the record of achievement and promise of continuing excellence.

Assistant professors should consult the document "Guidelines for Candidates" which highlights policies, procedures, and standards relating to the grant of tenure in the College, along with an outline of the stages and timing of the process (see <http://www.weinberg.northwestern.edu/faculty/promotion/index.html>).

2. DEPARTMENTAL VIGILANCE.

Maintenance of high standards must begin at the departmental level. The role of the faculty is to evaluate a case for tenure (or for promotion) against appropriately high standards and not merely to put the candidate forward when the individual feels ready. A department damages its credibility by recommending candidates for tenure or promotion if the record is not sufficiently strong.

If a department has its own written statements about tenure and promotion policy, the chair must ensure that such statements accord with College policy.

3. “EARLY” TENURE DECISIONS.

Decisions about tenure need not be taken until the final year of the individual's probationary term. Departments and candidates alike should view it as normal that an individual takes the full number of years available to establish his or her influence in the field. There must be no presumption that an early recommendation for promotion is necessary to prove a candidate's strength. Tenure-track faculty should not be pressured to rush to a review that may prove to be premature. It is useful for the department chair to discuss any “early” reviews with the [Associate Dean for Faculty](#) to understand concerns that often arise in such circumstances.

When a faculty member has been granted an extension of the probationary period of one or more years, it is vital that the department think in terms of the number of probationary years the person has served rather than the number of calendar years. Thus, when a colleague is in his or her fifth probationary year, the department should not expect that person to come forward for a tenure decision even if it is the sixth year of appointment. To encourage or pressure an assistant professor to be reviewed for tenure before the sixth probationary year would cancel the equalizing effect that the extension policy is intended to achieve. Equally important, candidates with a year's extension are expected to have achieved the same productivity as any other faculty member in the sixth probationary year and not meet some more stringent standard. The Ad Hoc and Tenure Committees are also instructed to consider what has been achieved during the probationary term and not in “X number of years” since hiring or since the PhD For conditions under which the tenure clock may be stopped for a year, see subsection IV.B.

B. PROMOTION TO THE FULL PROFESSORSHIP: POLICY.

Promotion to the rank of professor is appropriate when the faculty member has achieved a high level of distinction, supported by clear evidence of deep and broad influence in the field and the prospect of continued excellence. Such distinction may be based in part on the work that earned tenure, but it must also be grounded in significant, well-known scholarship (or equivalent activity) accomplished since that time. The department, Promotion Committee, Dean, and Provost look for a demonstration that the candidate has fulfilled the promise seen at the time of the tenure decision.

Likewise, it is expected that through steady development of talents, the candidate has attained [a level of excellence in classroom teaching, advising of undergraduates, and mentoring of graduate students and postdoctoral fellows \(if relevant\)](#). The candidate should also have built a record of active and productive service to Weinberg College and the University. Such accomplishments - not time served or minimal satisfaction of some quantitative norm - are the measure of readiness for promotion to full professor. Each case must be considered on its own merits. The fact that Professor B has reached the same milestone as Professor A did when s/he was recently promoted is not sufficient grounds for promotion.

The candidate's major work completed since tenure is the heart of the review of research or other professional achievement. A faculty member best presents himself or herself for promotion after that work is published, unless the results of the post-tenure work have been widely disseminated and well-received before actual publication. Departments and candidates should note that it has become increasingly difficult to persuade referees to read unpublished manuscripts on short notice. Likewise the Promotion Committee raises questions about candidates whose new work has not yet had time to enter into debates in the field. The Committee is skeptical of departmental promises that unpublished work is bound to be influential. It is rare that a candidate's work published at the time of tenure is of sufficient accomplishment and influence to establish him or her as one of the true leaders of the field. In addition, a candidate who submits an unpublished manuscript as the centerpiece of his or her promotion case should bear in mind that the top scholars in the field who read this draft version may not later read the final version. Therefore, one should think carefully about the timing of one's candidacy for promotion if the major work is still in manuscript.

Finally, if a candidate's research program depends on extramural funding, there must be clear evidence that he or she has secured such funding or is doing everything possible to do so in order to sustain a strong research program.

As in the case of tenure decisions, departments must evaluate carefully the readiness of the candidate for promotion to full professor. The role of the faculty is to evaluate a case for promotion against appropriately high standards and not merely to put the candidate forward when the individual feels ready.

PROMOTION TO FULL PROFESSORSHIP: NOTE ON PROCEDURE.

In the place of traditional Ad Hoc committees, the Dean instead calls on a small number of full professors in each of the three major divisions of the College to advise her on the promotion cases from their particular division that year. These senior consultants carry out an initial review of the candidate's files in November, their principal task being to identify the pool of potential referees to be contacted by the Dean's Office; they also select appropriate benchmark scholars and determine how the candidates' fields should be described to referees. The Dean's senior consultants are allowed to seek advice from other members of the faculty when such advice would be helpful, but they must do so through the agency of the Dean's Office.

Associate professors should consult the document “Guidelines for Candidates for Promotion and Tenure” which highlights policies, procedures, and standards relating to the process for promotion to the highest rank, along with an outline of the stages and timing involved (see <http://www.weinberg.northwestern.edu/faculty/promotion/index.html>).

C. OPTIONAL AND REQUIRED ACTIONS.

A faculty member acquires tenure in his or her seventh year of continuous full-time paid service in a tenure-eligible professorial rank at Northwestern, provided that, during the sixth year, the seventh year was not designated as a terminal year. (In cases where the probationary term has been extended, notification must come by the end of the sixth probationary year.) In the College, assistant professors are not issued

reappointments that entail tenure unless they are also promoted to the rank of associate professor. Moreover, it is very unusual for an assistant professor to be promoted to the rank of associate professor without the grant of tenure. With rare exceptions, full professors with full-time, non-visiting appointments have tenure.

A department always has the option of recommending the promotion of a tenured associate professor to the rank of professor. An untenured associate professor or an assistant professor may similarly be recommended for the grant of tenure, the latter with promotion to the rank of associate professor, at any time in their probationary terms.

For candidates who are in the last year of their probationary term, however, action must be taken, and these are the possibilities:

An untenured associate professor must be considered for either the offer of tenure or the offer of a year's notice, a final year on the faculty. (An untenured associate professor recommended for the grant of tenure may also be recommended for promotion to the rank of professor.)

An assistant professor must be considered for either the offer of tenure with promotion to the rank of associate professor, or the offer of a year's notice, a final year on the faculty.

D. BUDGETARY JOINT APPOINTMENTS.

In cases where a candidate for promotion has a *budgetary* joint appointment with another department, program, or school, special arrangements may need to be made for joint action by the two bodies. Typically such candidates are provided with a statement about procedures when they are hired and these procedures govern the steps in the review. chairs should be in touch with [the Associate Dean for Faculty](#), the [Associate Dean for Faculty Processes and Governance](#), or the [Assistant Dean for Faculty Advancement](#) in the spring before the proposed promotion review.

E. LENGTH OF PROCESS AND SCHEDULE.

The process is long. No decisions should be expected before June, with the recommended actions to take effect the following September 1. chairs should inform candidates of this fact in order to allay unnecessary anxiety. Here is an approximate timetable:

Winter and spring of preceding year. The chair works with the candidate to establish deadlines for materials.

Summer and early fall. The department solicits letters from external reviewers for use by department voters. The candidate completes the dossier and may update materials supplied earlier in the year.

October. By Monday, **October 12**, the department should vote on all candidates for tenure. Files are due by Monday, **October 26**. Also by Monday, **October 26**, the department should vote on all candidates for promotion to full professor.

November. The department submits the dossiers of all candidates for promotion to full professor by Monday, **November 9**. It also submits a letter and supporting materials in those tenure cases where the vote of the department was negative.

November through February/March. The Ad Hoc committee and senior consultants (both through the agency of the Dean's Office) request letters of evaluation from external authorities and students. The tenure Ad Hoc committee then delivers a report to the Dean. Senior consultants in promotion-to-full cases are not expected to write a report to the Dean

March. Committee on Tenure meets.

April. Committee on Promotion meets.

April-May. The Dean sends his or her positive recommendations to the Provost and President for their decision and informs them about his negative decisions. When the Provost responds, the Dean then informs the candidates of recommended action. Approval by the Board of Trustees follows in the summer.

September 1. Recommended changes in status are normally effective with the beginning of the academic year.

F. ADVANCE PLANNING.

In the winter and spring of the year before promotion review, the chair should work with the candidate to establish due dates for materials. In order to give the department's external referees time to familiarize themselves with the candidate's dossier, it may be necessary to send out publications and the cv over the summer and therefore the candidate may need to supply these items in May or June. In fields where external referees may be away from their institutions over the summer, it may be prudent to contact them before the end of their academic year. The candidate should have adequate advance notice of any such deadline. The materials that the candidate provides in, say, June can be resubmitted in revised form in the fall for the use of the Ad Hoc committee, the Dean's senior consultants, and the referees they select.

If a candidate's field expects a book for tenure, ideally it should be published prior to the start of the tenure review. If it is not, the final form of the manuscript should be accepted for publication by the time of the department vote; that is to say, the manuscript should at least be "in press" and readers' reports should be available. Late submission of a manuscript almost always leads reviewers and committee members to wonder about the candidate's productivity and his or her ability to bring future projects to completion. Such concerns are acute if press readers' reports are absent from the dossier that is sent to the review committees. Also, a last-minute publication surge is often viewed with skepticism – particularly for a candidate for tenure – since this may create the impression that he or she needed the "fire" of an impending tenure decision to bring work to completion.

[When a tenure candidate's case is weak, and it is likely the department will not vote a positive recommendation to promote, the chair should consult the Associate Dean for Faculty about ways to approach the situation.](#)

G. LETTERS FROM EXTERNAL REFEREES.

The department must collect at least three and no more than five letters from external referees to assist in its internal deliberations. The professional evaluations collected in the more confidential review at the College level will carry greater authority than those requested for discussion at a departmental meeting. Thus, departments collect only a small number of responses and take care to allow the Ad Hoc committee and Dean's senior consultants to initiate contact with many of the leading scholars in the field. A department that requests too many letters or exhausts the field of experts may impede a careful review by others beyond the department.

The department collects letters only for its own use. It should not direct other referees to send letters to the Dean.

No more than half the referees consulted may be those named by the candidate. The others should be selected independently by the department.

The department should draft a letter asking specific questions that reflect high standards. (A sample of the letter used at the Dean's level may be obtained from the [Assistant Dean for Faculty Advancement](#).) Normally, benchmark comparisons should be requested. Along with the letter, the department should send each referee the candidate's full vita (specifically supplied by the candidate for the promotion review). The department should also supply copies of publications, as needed. Often the most efficient tack is to send out a standard packet of the most important publications resulting from work at Northwestern and to make other items available upon request.

Referees should be scholars (or artists) at comparable institutions. Referees' responses must be in writing, via mail, fax, or email. Care should be taken to preserve the confidentiality of all letters, especially those arriving via a fax machine located where many people can see incoming messages. External opinions may not be gathered by means of oral conversations either in person or by phone.

The department must include copies of all responses (including declines) as part of the documentation sent to the Dean's Office and indicate which referees were named by the candidate.

H. DEPARTMENT MEETING AND VOTE.

1. DELIBERATIONS.

Over the summer or early in the Fall Quarter, the chair compiles a complete dossier for each candidate and submits the materials for consideration by a departmental committee comprising all tenured members above the rank of the candidate. Discussions of promotions, as of other personnel matters, should be treated as confidential. Please take special care in sending any confidential materials to faculty who are away from campus.

Even if the department has a subcommittee on promotions, all voters should familiarize themselves with the candidate's dossier and read at least a sample of the candidate's work before the meeting at which the promotion is discussed. Departments should make the dossier available to voters in a timely fashion. The dossier includes the materials provided by the candidate along with any evaluative materials from internal and external reviewers, students, the departmental subcommittee, partner programs, or individual colleagues.

The expectation is that all eligible voting members in the department will participate in the discussion of the candidate's case for promotion. In the event that an eligible voting member cannot attend the meeting in which the candidate's case is discussed, the department should make a good faith effort to facilitate a Skype session, video conference, or teleconference with the absent faculty member so he or she can participate.

A department member enjoying a close relationship with the candidate (familial, former advisor, etc.) should recuse him- or herself from all stages of the review process.

2. THE VOTE.

After deliberation, the department votes by secret ballot. (Untenured associate professors may participate in the discussion of an assistant professor, but may not vote. Tenured associate professors may vote on tenure cases of untenured associates. When the candidate is an associate professor, either tenured or untenured, only the full professors may participate in the discussion and vote.) By the required date, the chair sends the Dean a letter indicating the vote, and informs the candidate of the departmental recommendation.

3. MAJORITY.

Departments should establish rules for what constitutes a majority before any individual case is at issue. The size of the margin (simple majority, three-fifths, two-thirds) and the base of the count (all eligible voters, all present and voting, or only yes versus no votes) should be specified in writing in the departmental statutes and should be noted in the department letter to the Dean when the vote is less than unanimous. In making its rules, the department should consider what level of support is appropriate for making a permanent appointment to the faculty. The Dean's Office strongly prefers that the bar for approval be set at two-thirds or some other fraction well above a simple majority. Fifty-one percent approval is not a very strong endorsement of the candidate.

A vote that fails to reach the specified margin is considered negative. The Department should consult section T. below about the next steps. The College rarely proceeds to a full review if the Department does not endorse promotion.

4. SURROGATE DEPARTMENTS.

A department must have at least three voters in residence in order to make a recommendation about promotion. In cases where a department lacks this number, the Dean will form a surrogate department to evaluate the candidate and vote a recommendation. Surrogate department voters are excused from further involvement in the case on an Ad Hoc committee, the Promotion Committee or Tenure Committee. The Dean will

also establish a surrogate pool of voters when a program is called upon to participate in a promotion review.

I. CONFIDENTIALITY.

Promotion reviews are considered confidential. Departments are asked not to discuss the departmental deliberations beyond the pool of eligible voters. Departments and the Dean's Office strive to maintain the confidentiality of referee letters. Candidates are likewise asked to observe the need for confidentiality and not, for example, attempt to contact referees to find out whether they have submitted letters have been asked to submit letters, or to discuss any aspect of the department deliberations. In particular, neither the candidate nor colleagues should launch a "campaign" by inviting outside authorities to comment on the case outside the standard procedures. If a candidate wishes to discuss matters related to the promotion with a colleague outside the department for advice – for example a former adviser – the candidate should first inform the department chair so that such a conversation does not interfere with the conduct of a full and confidential review beyond the department.

J. DOSSIERS: LEGALITIES, CONTENTS, DEADLINE.

For legal and other reasons, the dossiers of all candidates should include the same categories of supporting materials. The department should retain one copy of the complete file for ready reference during the review year. Beyond that, evaluative materials, not including publications, syllabi, etc., should be retained in the candidate's departmental file---for three full years in the case of a candidate who is not recommended for tenure, indefinitely in other cases. Materials should not be returned to candidates. Books may be returned after they have been checked carefully to make sure there are no confidential notes. No illegal copies of copyrighted materials are permitted in promotion dossiers.

All members of a department voting on a given promotion should have access to and be directed to review all materials listed below before the vote is taken, and materials should be held in the departmental office throughout the year.

The deadline for delivering candidates' complete dossiers to the Dean's Office cannot be extended. If a department has multiple cases, the chair is encouraged to forward them one by one, as soon as each is fully completed. This greatly accelerates the process of checking and distributing materials to the review committees.

The dossier submitted to the Dean's Office contains:

- department's letter of evaluation and both internal and external letters collected by the department
- candidate's CV and candidate's statement
- publications or related artistic work
- materials about standing in the field and research
- materials about teaching and advising
- materials about citizenship and service

For **CANDIDATES FOR TENURE**, the Dean's Office requires the following (a PDF version of these guidelines is available at <http://www.weinberg.northwestern.edu/faculty/promotion/index.html>):

ONE notebook binder with hard copies of the following items, in following order:

1. Department letter (with multiple signatures), including these attachments:
2. List of suggested external referees.
3. List of suggested benchmarks.
4. List of suggested student referees.
5. Internal reports on scholarship/teaching (if available).
6. One set of grade sheets.
7. Letters from external reviewers (originals).
8. CV.
9. Candidate's statement.
10. Readers' reports or reviews of the candidate's work.
11. Book contracts.
12. Grant proposals and reviews.
13. Citation index listings.
14. Course syllabi.
15. CTEC statistical summaries and summaries of comments.

ONE notebook binder with hard copies of published and forthcoming articles and works in progress other than books, numbered according to the CV.

ONE notebook binder with printouts of book manuscripts or page proofs .

THREE copies each of published books.

ONE CD with electronic versions of EVERYTHING above (except published books) in PDF format.

For **CANDIDATES FOR FULL PROFESSOR**, the Dean's Office requires the following (a PDF version of these guidelines is available at <http://www.weinberg.northwestern.edu/faculty/promotion/index.html>):

Exactly as for tenure candidates, except only **ONE** copy each of published books is needed.

NAMING CONVENTION FOR ELECTRONIC FILES:

[Surname]_dept_ltr (this file should include the letter itself, plus lists of referees and benchmarks, plus internal reports on scholarship or teaching,

if they exist)
[Surname]_grade_sheets
[Surname]_ltrs_to_dept
[Surname]_cv
[Surname]_statement
[Surname]_readers_reports // [Surname]_book_reviews
[Surname]_book_contract
[Surname]_grant_information
[Surname]_citations
[Surname]_syllabi
[Surname]_CTECs
[Surname]_pub_1
[Surname]_pub_2 (etc., corresponding to list of numbered publications in the CV).

The dossier should be assembled with care.

K. MATERIALS SUPPLIED BY THE CANDIDATE.

These items are prepared specifically by the candidate for the department and then passed on to the Dean's Office.

1. CURRICULUM VITA.

The candidate's CV should contain the information described in subsection V.W. The vita is routinely sent to external referees. For that reason, it should be prepared with care and checked for accuracy. It is to the candidate's advantage to include a technical narrative describing current or forthcoming research plans since many referees are interested in the anticipated direction of the candidate's work. Increasingly, referees are asking to see detailed descriptions of a candidate's research presented in a separate, stand-alone document. An alternative would be to send out the more general statement described below.

2. STATEMENT BY THE CANDIDATE.

Whereas any narrative in the vita should be written for experts in the field, a separate nontechnical statement of self-assessment is needed for the faculty promotion committees within Weinberg College. The chair solicits from the candidate a description of his or her past and present work and plans for the future. It is an opportunity for the candidate to make a case for his or her accomplishments in teaching, research, and service. The statement should be typed, be no more than five-to-ten pages double-spaced, and be addressed to educated, non-specialist readers (i.e., not colleagues in the candidate's home department). Members of the Promotion Committee or Tenure Committee and of individual Ad Hoc committees find clear, concise statements to be extraordinarily helpful in evaluating a case for promotion.

3. OTHER MATERIALS.

Other items to be provided by the candidate should include copies of the readers' reports and book contracts (if a candidate's field expects a book for promotion), published reviews of the candidate's work, grant proposals (current, approved, and pending), citations of the candidate's publications, course syllabi, and names of student referees.

L. DEPARTMENT LETTER.

The letter should report the departmental vote and describe the kinds of assessments that cannot be reflected in bare vote totals. The letter should define the role of the candidate's teaching and his or her subfield of research in the present and future functioning of the department. The letter must demonstrate that appropriately high standards have been applied and that the candidate meets these standards. This requirement does not mean that the candidate should be presented as being without flaws. Strengths and weaknesses should be discussed as well as directions in which the candidate should be expected to grow as a scholar and teacher. This letter should be written and signed by a chair of the committee and a small subset of the department members who voted. Please note that the letter should be made available in the department office to all voters before it is sent to the Dean's Office. It is imperative that a full and candid account of departmental discussion, both positive and negative, be included in the department letter. (On the submission of minority reports, see section V.U.)

1. DEPARTMENTAL VOTE.

Exact vote totals (including abstentions and absences), the number of eligible voters, and the names of eligible faculty who voted and who did not should be specified. If the vote is not unanimous, the department should specify how large a majority constitutes recommendation to promote (see subsection V.H.3). If a straw vote is taken before the final vote, that vote and any discussion of it should be reported as well.

2. EVALUATION OF THE CANDIDATE'S SCHOLARSHIP OR EQUIVALENT CREATIVE ACTIVITY.

The department letter should assess dispassionately the content, quality, and importance of the candidate's work. It should describe the productivity of the candidate and give some indication of the scholarly norms in his or her field. It should evaluate the candidate's success in attracting necessary financial support for scholarly projects and the likelihood that he or she will continue to compete successfully for funding. The department letter must compare the candidate with a cohort of leading scholars, by name and affiliation, who have similar rank and service in that field. That cohort will, in most cases, include the benchmark scholars (see subsection V.L.8).

The department indicates which of the candidate's works and achievements are of particular significance and ways in which they are significant. If accompanying evaluative materials are highly technical or if the methodology is controversial, the department letter should include a clear explanation of the candidate's work in terms accessible to non-specialists.

In a tenure review, the department evaluates first and foremost the work completed during the probationary period at Northwestern or at a peer institution. Earlier accomplishments that have enduring influence on the field should also be highlighted, but the candidate's potential for intellectual leadership rests on his or her independent scholarship.

If the work that is most important to the promotion is newly-published or not yet published, the department should discuss the timing of the promotion. If a candidate's field expects a book for promotion, ideally the work should be published prior to the start of the review. If it is not, the final form of the manuscript should be accepted for publication by the time of the department vote; that is to say the manuscript should at least be "in press" and readers' reports should be available.

The department may indicate which publications should be mailed out as a "standard package." The Dean's Office will also contact the candidate about this issue.

The letter should recount in ample detail the lines of discussion in the department meeting, including reservations and rebuttals. Minority arguments, whether for or against the candidate, should be given an adequate hearing, either in the text of the letter or through submission of a signed minority report(s).

3. CANDIDATE'S FIELD.

The letter to external reviewers asks about the candidate's "contributions to [specified] field." The department may recommend wording, as may the candidate, but the Ad Hoc committee and senior consultants have final authority to word the question.

4. ISSUES OF SPECIAL CONCERN TO THE PROMOTION AND TENURE COMMITTEES.

In the letter, the department should address any features of the case that might raise questions in later stages of the process. Below are a few issues that the Tenure or Promotion Committees often worry about.

- Early promotion to tenure. If the candidate is not in his or her final probationary year, the department should explain why promotion at this point is appropriate.
- Extensive co-authorship. If the candidate's publication record since joining Northwestern contains many jointly authored publications, the department should specify the candidate's distinctive contribution to the joint work, in terms of both research and analysis.
- Continued collaboration with former mentors. If the candidate's publication record since joining Northwestern includes many publications with former graduate or postdoctoral mentors, the department should indicate the reasons for this and specify the candidate's distinctive contribution to the joint work.
- Unpublished book. In "book fields," if a department recommends promotion before a book has been published or at least reached the final stages of copy editing, it should explain why the review is appropriate at this point. Late submission of a manuscript by a tenure candidate leads reviewers and committee members to wonder about the candidate's productivity and his or her ability to bring future projects to completion.
- Under Contract. If a book is 'under contract,' what are the contingencies to be satisfied before publication?
- The "dissertation book." If the book is based on the dissertation, in what ways does it go beyond the earlier work? Is there additional research? How many chapters were substantially rewritten? How many are brand new? How much work has the candidate completed on a second major project?
- Duplication in published work. If published articles overlap with the book (or with each other), how substantial is the overlap?
- Low publication in refereed journals. If the candidate has not published in major refereed journals, the department should explain why.
- Last-minute publication surge. If there is a substantial gap in a candidate's publication record followed by a burst of publishing activity just prior to the onset of promotion review, the department should explain why. Otherwise reviewers and committee members may view the impending promotion/tenure decision as the candidate's primary motivation for bringing work to completion.
- Lack of funding in the sciences and those social sciences where external support is needed for research. If the candidate lacks current or future funding, how will he or she be able to conduct leading-edge research and advance an important scholarly program? How will graduate students be supported? Is there evidence of appropriately aggressive application for funding?
- **Lack of evidence about undergraduate teaching. In particular, the committees are concerned when a colleague has not taught undergraduates and mentored their work.**

5. SOLICITED REFEREES' OPINIONS AT THE DEPARTMENT LEVEL.

The department must include the original letters - three to five - that it has collected from external authorities. They should not be from former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. The department should also include one example of the letter it sent to referees stating the relevant questions along with copies of the replies of the authorities who declined to participate in the review. See V.G.

6. EVALUATION OF THE CANDIDATE'S TEACHING AND ADVISING.

There is no simple formula for good teaching, but effective instructors are often described in terms of imagination, high standards, conscientiousness, clarity, a feel for what is important and original, respect for students, and an ability to motivate students to do their best work. This may be seen in classroom style, course development, guidance provided to TAs, and mentoring of graduate students and postdoctoral fellows (if relevant). Improvement in quality of instruction during a faculty member's years here should be taken into account, as should the ability to engage students actively rather than just to impart information.

The letter should include an account of the department's enrollment patterns and enrollments in the candidate's courses, with explanations of any of the latter that are atypically high or low. Mainly, the department letter should present an evaluation of the candidate's teaching, referring whenever possible to evidence such as teaching materials (syllabi and examinations), reports of classroom visits by senior faculty, CTEC evaluation forms and statistical summaries, information about teaching innovations and course development, evidence of teaching awards, etc. Any letters solicited from students should be attached, together with a statement as to how the writers were chosen and a copy of the requesting letter, if any. The department should evaluate the candidate's performance as an adviser of students, undergraduate and graduate, and as a supervisor of teaching assistants.

If the candidate's teaching is less than excellent, the letter should specify actions already taken to improve performance and note the degree of success so far achieved.

Many departments find it useful to summarize CTEC results in a grid:

	302 Spr 14	A101 Fall 14	211 Wint 15	370 Wint 15	302 Spr 15
Overall rating, instruction							
Overall rating, course							
How much learned							
Challenging							
Stimulating interest							
Preparedness							
Clarity							
Enthusiasm							

7. CITIZENSHIP AND SERVICE.

The department should evaluate the candidate's citizenship and his or her service on departmental and other committees, as well as his or her performance of other non-teaching responsibilities.

8. BENCHMARKS.

The department letter includes the names of scholars, normally three or four, with whom external referees could be asked to compare the candidate. (The Ad Hoc committee and senior consultants make the final determination of benchmarks). This group is the cohort, or a subset of the cohort, with whom the candidate was compared earlier in the department letter (see subsection V.L.2).

a) DESCRIPTION.

These persons should be the leading scholars in the candidate's subfield and should be slightly more advanced. They must be tenurable at Northwestern and normally already hold the rank for which the candidate has been recommended. Referees will be asked to compare candidate and benchmark at equivalent points in their careers. The letter should indicate the exact current title and departmental and institutional affiliation of each, along with a short description of each benchmark's achievements and standing in the field.

b) SCHOLARLY FIELD OF BENCHMARKS.

The field of the candidate should not be construed so literally and narrowly that only scholars working exactly in it can be recommended. By way of hypothetical example, a candidate working in mid-seventeenth-century French agrarian history need not be compared only with scholars in precisely that area but is quite appropriately compared with any historian whose field is post-medieval, pre-Revolutionary French history. In short, outside referees should be asked to compare a candidate with leading scholars who are in roughly the same area or a closely cognate area and who are not carbon copies.

c) STATURE OF BENCHMARKS.

The list of benchmarks allows comparison of the candidate with the leaders in his or her field who are slightly more advanced. The purpose of the comparison is to establish whether the candidate is a likely leader in his or her field. Benchmarks are expected to be at the best universities in the country. If, for some special reason, a leading member of the field is at a lesser institution, that person's name may be added to those of individuals at top-rated institutions.

d) USEFULNESS OF BENCHMARKS.

In 1985-86, responding to questions raised at various stages of the promotion process, the Dean's Advisory Council on Tenure and Promotion Issues (DACTPI), a subcommittee of the Committee on Promotion and Tenure, strongly affirmed the value of benchmarks as a means of obtaining information about candidates' qualifications.

DACTPI agreed that variances from this procedure would be acceptable only in the most unusual circumstances, but acknowledged that in rare instances the specifying of benchmarks in letters to outside referees might be seriously misleading or difficult. If a chair is convinced that such would be the case, he or she should so recommend and explain fully. The department's discussion will be considered by the Ad Hoc committee, senior consultants, and Dean; if they find it persuasive, the letters to outside referees will not name benchmarks but will request that the

referees themselves suggest comparable figures and make the comparisons. If the Ad Hoc committee, senior consultants, and Dean do not find the case persuasive, benchmarks will have to be supplied.

9. EXTERNAL REFEREES.

The department letter should name at least eight external referees who have not already been contacted by the department. Because Weinberg College aims to tenure faculty members of the highest quality and who would qualify for appointment at any school in the country, departments should name referees from top departments and universities (an exception may be necessary in the case of a recognized authority in a more specialized field who happens to be located at a less prestigious school). These referees must be known to have tenure. For a promotion to the rank of professor, the referees should be full professors. Care should be taken that their research interests are close to the candidate's.

Departments should not leave it to the Ad Hoc committee or the Dean's senior consultants to unearth on its own the most appropriate referees. On its list, it may star those referees whom it regards as the most essential. The Dean will ensure that these scholars are solicited for an evaluation.

For each referee, please indicate the standing of the individual and his or her appropriateness to evaluate the candidate. External evaluators must be able to provide an objective evaluation of the work. They should not be former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. It is essential that those generating the list of prospective external referees ascertain the relationship of those individuals with the candidate so that letters will not be sought from persons who cannot provide an arm's-length evaluation. Full, exact mailing and email addresses and departmental telephone numbers are needed (frequently the Dean's Office needs to be in touch with a referee or with his or her office by phone). See subsection V.G about letters from external referees at the departmental level.

In assembling the list of referees, the department may consult with the candidate. But the department must make an independent effort to discover who the leading figures are in that field and should derive no more than half its names from the candidate's own choices. The submitted list should include an indication of which names were provided by the candidate.

10. STUDENT REFEREES.

With the advice of the candidate, the department should provide the names and current, full addresses of at least five former undergraduate or graduate students (the distribution to be determined by the academic focus of the department and candidate). Each student should be identified by the date when he or she was the candidate's student, the level of the course, its size, and its subject. If the department wishes to solicit letters from students before making its recommendation, those letters should be attached to the department letter, and other students named for the Dean's Office list. The Dean's Office writes to a randomly selected set of former students and advisees as well as to those proposed by the department.

M. SUPPORTING MATERIALS: PUBLICATIONS OR EQUIVALENT MATERIALS.

Articles and books that have been completed - those that have appeared in print, are in press, or have been submitted for publication - are preferred. (If a book manuscript is unpublished, a copy of the contract from the publisher must be presented.) All publications are needed, not just those completed since the last promotion or review. Work in progress should be included if it has reached a sufficient state of readiness to make evident its likely final form and importance to the candidate's advancing research program. Any publications submitted to the Dean's Office will be made available to referees. If the candidate has received patents for his or her work, those should be included with publications.

Candidates should check their manuscripts carefully to make sure all pages are legible and that no section is missing. The version of the manuscript presented to the Dean's Office in the dossier is the one that will be sent to reviewers, although this version may include any revisions the candidate may have made subsequent to submitting his or her manuscript for the departmental review a few months earlier. Revisions to the manuscript beyond this point cannot be considered in the review.

If the candidate is presenting web-based scholarship as part of the dossier, it is his or her responsibility to make sure that reviewers can access it. This may mean supplying passwords or checking that the site can be read from a variety of platforms and browsers.

N. SUPPORTING MATERIALS ABOUT TEACHING.

Copies of CTEC course evaluations, both the statistical summaries and summaries of comments, and course syllabi and examinations are required. Evidence of awards, reports of classroom visits by senior faculty, letters from students to the instructor, descriptions of role played in advising students, post-Northwestern affiliations of former advisees, etc., are submitted as appropriate. One copy of all grade sheets for the last three years in residence must be submitted; they provide the Dean's Office with names of possible student referees in addition to those suggested by the department.

O. MATERIALS ABOUT RELATIVE STANDING IN THE FIELD AND CURRENT RESEARCH.

All College review committees interest themselves in all evaluative materials and in materials relating to the candidate's current research; these should be copied and included in the notebook of materials:

- Published reviews of the candidate's work
- Readers' reports of a candidate's manuscript from a university press
- Grant proposals, current, approved, and pending. (Cover sheet, abstract, budget pages, reviewers' comments only.) Candidates may

- include "pink sheets" at their discretion.
- Citations of the candidate's publications as referenced by the *ISI Web of Knowledge*, *ISI Web of Science*, *Scopus*, *PubMed*, *Science Citation Index*, *Social Sciences Citation Index*, *Arts and Humanities Index*, *Google Scholar*, or alternative computer-generated source. Any third-party comments about the candidate's research in such essays as "The Year's Work in ..." or "Recent Work in ..." are also useful. The College review committees use citations to judge how wide the candidate's influence is, therefore the citation index supplied should indicate how often the work is cited and by whom.

P. CANDIDATE'S REPRESENTATIVE.

In the fall, the Dean's Office will ask each candidate to designate a representative from among the departmental faculty eligible to vote on his or her case. During the year, the candidate may communicate with the Dean's Office through the department chair and/or the representative. In turn, the Dean's Office will be in touch with the chair and representative if questions or requests arise in the process. A candidate should not designate a representative who will be on leave during the period of the promotion review.

Q. ADDITIONAL MATERIALS; APPROPRIATE PROCEDURE.

Additional materials (for example, vita updates, new publications, readers' reports from a press) can be added to a dossier at any time for the use of the Dean and appropriate committees. All such should be routed to the Dean's Office through chairs and/or representatives. Any inquiries about the process from candidates should similarly be routed. Please note that referees will not be sent updates to materials once they have received the letter and packet from the Dean's Office.

R. AD HOC COMMITTEE; COMMITTEE ON TENURE; COMMITTEE ON PROMOTION.

For procedures, see the Weinberg College Faculty Handbook. For the Dean's instructions to tenure Ad Hoc committees, sample letters to external and student referees, and statement about our procedures, see the document "The Ad Hoc review: a summary" (<http://www.weinberg.northwestern.edu/faculty/promotion/index.html>). The department is informed of the vote of the tenure Ad Hoc committee, is invited to read the report, and may respond when appropriate. The department does not see the letters collected by the Ad Hoc committee or Dean's senior consultants. The department is not informed of the vote of the Promotion Committee or Tenure Committee.

Should a delegation be called to appear on behalf of the candidate before the Promotion Committee or Tenure Committee, the candidate's representative must be included in the delegation. The Promotion and Tenure Committees call delegations for about forty percent of candidates. The request for a delegation should be regarded as routine. It is an occasion for productive discussion with colleagues from other departments.

S. CANDIDATE WHO DECLINES TO BE REVIEWED FOR TENURE.

If a faculty member in the final year of his or her probationary term declines to be reviewed for tenure, he or she will be offered a terminal year on the faculty at his or her current rank.

T. DEPARTMENTAL RECOMMENDATION AGAINST THE GRANT OF TENURE.

When a department recommends against conferring tenure, the letter from the chair focuses on a full statement of the department's discussion of the candidate's record in research, teaching and service along with an indication of the procedures followed in the departmental review. Strengths and weaknesses should be presented: Minority opinions should be adequately represented either in the text of the letter or in a minority report. An account of the departmental vote must be included (as in subsection V.H and subsection V.L.1), and the letter must be signed by several senior faculty members. Along with the letter, the department should submit the candidate's complete CV and statement. The external referees' letters collected by the department must be included (evaluation by phone is not permitted). Copies of publications, materials about teaching, grant proposals, etc. that were used in the departmental review should be held in the department and available for review by the Dean should that be appropriate.

The Dean invites the candidate to submit a response. The Dean then evaluates the departmental recommendation and the nature of its review process before deciding whether to uphold the departmental recommendation or - in exceptional circumstances - to proceed with a College-level review. Normally, the candidate is informed of the decision in December or January.

U. LETTERS FROM FACULTY MEMBERS; MINORITY REPORTS.

Any faculty member may write to the Dean about any candidate. Whether the department recommends for or against the grant of tenure or promotion, any dissenting member or members of the candidate's department or program may submit a minority report. Minority reports become part of the dossier considered by the Dean and, if appropriate, the Provost. A writer of such a letter in a tenure case should expect it to be submitted to the Ad Hoc committee (except in truly unusual circumstances), but may specify whether it should be edited for confidentiality before being seen by the larger Tenure Committee. In promotions to professor, the writer may issue the same instruction before his or her letter is seen by the Promotion Committee.

If the chair of the department wishes to submit a personal opinion about the case, he or she should make it clear that the letter does not represent the sentiment of the department or any fraction of it.

V. APPEALS OF A NEGATIVE RECOMMENDATION OR DECISION.

The authority to make negative decisions about tenure or promotion rests with the Dean. The dossiers of these candidates are not forwarded to the Provost and President. The central administration may also turn down a candidate recommended by the Dean.

1. DEPARTMENTAL RECOMMENDATION.

The candidate wishing to appeal a negative recommendation by his or her department should promptly address a letter to the Dean outlining the case for promotion and discussing the departmental action. Should the Dean then uphold the department's recommendation and decide to deny the application for tenure, the candidate has recourse to the University Faculty Appeals Committee (see the *Northwestern University Faculty Handbook* <http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf>).

2. DEAN'S OR PROVOST'S DECISION.

When a promotion is turned down by the Dean or Provost at the end of the year-long review, the candidate is typically informed by June. He or she may request a meeting with the Dean (or Provost, when appropriate) and, following that meeting, a written statement of reasons for the decision. The candidate then has recourse to the University Faculty Appeals Committee (see the *Northwestern University Faculty Handbook* <http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf>) which hears appeals based on violations of academic freedom, procedural flaws ("inadequate consideration") or alleged discrimination, but not on issues of substance. Appeals must be filed within sixty days of the official notification to the candidate of a negative decision.

W. PREPARING A CV.

The mores of a discipline will in some measure determine the form and content of a faculty member's professional CV--on which a number of items mentioned below would likely not appear. But when a faculty member is being considered for reappointment, promotion, or the grant of tenure, all the information noted here should be included, whether or not this particular arrangement is followed. The CV should be a reasonably self-sufficient document for a non-specialist reader. Abbreviations of professional organizations, journal titles, etc., should be spelled out in their first appearance at least. Please supply a copy of the vita as an electronic attachment if at all possible. A PDF version of these guidelines is available at <http://www.weinberg.northwestern.edu/faculty/promotion/index.html>.

1. DATE. The CV should be up-to-date and should carry the date (month and year) when it was prepared.
2. NAME. Optional: local address, etc.
3. MAJOR PROFESSIONAL INTEREST(S). e.g., low-temperature physics; econometrics; eighteenth-century French literature.
4. EDUCATION. Colleges and universities attended, degrees, dates. It is helpful to reviewers if the candidate identifies his or her dissertation mentor and, if applicable, postdoctoral adviser(s) as well.
5. PRE-DOCTORAL AWARDS, HONORS, AND FELLOWSHIPS--WITH DATES. e.g., Phi Beta Kappa; Fulbright Fellowship for graduate research in Italy, National Science Foundation Graduate Fellowship, etc.
6. POSTDOCTORAL RECOGNITIONS--WITH DATES. Awards, honors, and fellowships, e.g., National Institutes of Health Research Career Development Award, National Endowment for the Humanities Senior Fellowship, National Book Award, American Academy of Arts and Sciences membership.
7. EMPLOYMENT. This should be an itemized list, with affiliations and dates. It is advisable to account for all of the time since the undergraduate degree: military service, work in industry, postdoctoral and other research appointments, faculty appointments (including ranks). Joint faculty appointments in other departments, schools, or centers, etc., should be included.
8. RESEARCH SUPPORT: PAST, PRESENT, PENDING. An itemized, complete list of projects supported by grants from Northwestern and elsewhere, each item to include co-investigators if any (principal investigator first), full title, source of funds, dollar amount, dates active, etc.--with the same details for pending grant applications.
9. PUBLICATIONS (OR ANALOGOUS ACTIVITIES IN THE ARTS). Each item describing a scholarly book or monograph, textbook, article, review, edition, translation, etc. should be full and clear. All authors should be named, together with the complete title of each publication (when first mentioned at least); the name, volume number, issue number, and date of the journal or publisher, and the inclusive pagination of the item. Please check these items for accuracy. If a publication has multiple authors, please indicate whether co-authors are students or postdocs by underlining their names and providing a key at the beginning of the "Publications" section (e.g.: "underlined names indicate student or postdoc co-authors") or by starring these names and inserting a footnote (e.g., " *starred names indicate student or postdoc co-authors"). Finally, publications supplied in the dossier should be numbered consecutively (do not repeat numbers) and corresponding numbers written on the publications.
10. WORK NOW IN PROGRESS. Paragraph or more describing work underway or in advanced stages of planning. This section should be written for an audience composed of scholars in the field.
11. PROFESSIONAL TALKS. Lectures, colloquia, panel appearances, talks, seminars, etc., with particulars: what, where, when, auspices, etc.
12. LEAVES OF ABSENCE. Dates, substantive research topics, sources of support, dollar amounts, locales where research was undertaken (name of library, laboratory, etc.).
13. PEER-REVIEW AND RELATED ACTIVITIES. Memberships on panels evaluating research proposals; editorships; committees considering colleagues for honors; readerships for scholarly journals or presses; etc.
14. MAJOR CONSULTANCIES IN THE PUBLIC AND PRIVATE SECTORS.
15. PROFESSIONAL AFFILIATIONS AND SERVICE. Memberships, offices, and related activities, e.g., the planning and convening of a scholarly conference.
16. OTHER MATTERS RELATED TO RESEARCH AND PUBLICATION.
17. TEACHING AND ADVISING. The detail in this category would be unusual in a routine CV, but some attention to these matters is requested of candidates for appointment, and full particulars are required of candidates for reappointment, the grant of tenure, or promotion. Areas of undergraduate and graduate teaching during the last five years; specific courses taught in at least the last three years: titles, levels, formats, etc. (individual 399s should be listed separately; see below); curriculum development, the establishment of new or improved courses, etc., during at least the last five years; names of students in tutorial or advisory registrations in at least the last

three years (398s, 399s, 490s, 590s); names of M.A. and M.S. candidates whose preparing and examining committees you have served on during the last five years; names and dates of PhDs for whose doctoral work you have been chief adviser; names of PhD candidates for whom you have been an adviser, committee member, dissertation reader, etc., in at least the last five years, with specific roles indicated; other activities related to the teaching and advising of undergraduate and graduate students, in department, College or University level; teaching awards and honors.

18. DEPARTMENT, COLLEGE, AND UNIVERSITY SERVICE. This should cover at least the last five years. Memberships and offices on department and program committees; memberships and offices on standing and Ad Hoc committees of the Weinberg College faculty; memberships and offices on committees of the University Senate Student relations, e.g., Master or Faculty Associate of a residential college.

19. COMMUNITY WORK: PUBLIC OFFICES, ETC.

VI. TEACHING-TRACK FACULTY, SHORT TERM AND RESEARCH APPOINTMENTS

- A. THE TEACHING-TRACK FACULTY - PREVIOUSLY KNOWN AS THE CONTINUING LECTURER FACULTY (CLF).
 - 1. CRITERIA FOR APPOINTMENT AND PROMOTION.
 - a) ASSISTANT PROFESSOR OF INSTRUCTION
 - b) ASSOCIATE PROFESSOR OF INSTRUCTION
 - c) PROFESSOR OF INSTRUCTION
 - 2. RECRUITMENT AND APPOINTMENT TO THE TEACHING-TRACK FACULTY.
 - a) JUSTIFICATION OF THE POSITION.
 - b) APPROVAL OF A NATIONAL SEARCH.
 - c) EVALUATION OF AN IDENTIFIED CANDIDATE.
 - d) TARGET OF OPPORTUNITY HIRES.
 - e) MAKING AN OFFER.
 - 3. SALARY ADJUSTMENT.
 - 4. REAPPOINTMENT AND NON-REAPPOINTMENT.
 - 5. PROMOTION.
 - a) REVIEW OF POSITION.
 - b) TIMETABLE FOR PROMOTION.
 - c) DEPARTMENT RECOMMENDATION.
 - d) PROMOTION AND REAPPOINTMENT COMMITTEE.
 - e) CONSIDERATION BY THE DEAN.
 - f) NEGATIVE DECISIONS.
 - 6. PERFORMANCE REVIEW IN RANK.
 - 7. FACULTY DEVELOPMENT.
 - 8. BENEFIT PLANS.
 - 9. NON-RENEWAL AND NOTICE.
 - 10. BUYBACKS.
 - 11. ACADEMIC ADMINISTRATORS HOLDING MEMBERSHIP ON THE FACULTY.
- B. SHORT-TERM POSITIONS ON THE TEACHING FACULTY.
 - 1. POLICY AND PROCEDURES.
 - a) ESSENTIAL COURSES; REASSIGNING INSTRUCTORS.
 - b) BREAKAGE.
 - c) REPLACING COURSES OF FACULTY WHO ARE ON LEAVES OF ABSENCE FULLY PAID BY NORTHWESTERN.
 - d) APPOINTMENTS TO CAMPUS RESEARCH CENTERS.
 - e) REPLACING A GRADUATE COURSE; PAYING A PER-COURSE FRACTION OF A HOME SALARY; PERSON-FOR-PERSON REPLACEMENT.
 - f) TITLES, TEACHING ASSIGNMENTS.
 - g) ENROLLMENT MINIMUMS
 - h) UNDER-ENROLLED SECOND-YEAR LANGUAGE COURSES.
 - i) COURSE, CANDIDATE, AND SALARY.
 - j) SEARCH AND OFFER FOR APPOINTMENT FOR THREE QUARTERS OR FEWER.
 - 2. UNSALARIED, VISITING APPOINTMENTS.
 - a) VISITING SCHOLARS.
 - b) ADJUNCT POSITIONS AND UNSALARIED SECONDARY APPOINTMENTS.
 - 3. FOREIGN NATIONALS: VISA, MAJOR MEDICAL COVERAGE.
 - 4. PAY SCHEDULES.
 - a) APPOINTMENT FOR AN ACADEMIC YEAR.
 - b) APPOINTMENT FOR ONE OR TWO QUARTERS.
 - 5. PROGRAMMATIC APPOINTMENTS.
 - a) KREEGER WOLF DISTINGUISHED VISITING PROFESSOR.
 - c) PROFESSIONAL LINKAGE SEMINAR INSTRUCTOR.
 - d) VISITING ARTISTS IN RESIDENCE.
 - e) MATHEMATICS DEPARTMENT.
 - f) PROFESSIONAL STAFF AT AFFILIATE INSTITUTIONS.
 - g) MELLON POST DOCTORAL FELLOWS AND OTHER TEACHING POST-DOCTORAL FELLOWS.
- C. ACADEMIC RESEARCH STAFF AND VISITORS
 - 1. APPOINTMENT CATEGORIES.

- 2. APPOINTMENT PROCESS.
 - a) MATERIALS TO SUBMIT.
 - b) RANK.
 - c) SALARY.
 - d) SOURCE OF FUNDING.
 - e) HEALTH INSURANCE.
 - f) FOREIGN NATIONALS.
 - g) HUMAN RESOURCES-PAYROLL.
 - h) FUNDING FOR RESEARCH STAFF APPOINTMENTS.
- 3. REVIEW OF PERFORMANCE.
- 4. SALARY REVIEW.
- 5. DISCIPLINARY ACTION.
- 6. EVALUATIVE AUTHORITY OVER RELATIVES.
- D. POSTDOCTORAL FELLOWS.
- E. RESEARCH FACULTY.
 - 1. RESEARCH FACULTY APPOINTMENTS; DEFINITION.
 - 2. RANK.
 - 3. EMERITUS FACULTY AND SENIOR RESEARCH INVESTIGATOR.
 - 4. POLICIES AND FUNDING.
 - 5. APPOINTMENT OF RESEARCH FACULTY IN THE COLLEGE.
 - a) DEPARTMENT RECOMMENDATION FOR APPOINTMENT.
 - b) APPROVAL BY THE DEAN.
 - c) APPROVAL BY THE VICE PRESIDENT FOR RESEARCH.
 - d) LETTER OF APPOINTMENT.
 - e) FOREIGN NATIONALS.
 - f) REAPPOINTMENT.
 - g) PERFORMANCE REVIEW.
 - h) CONFLICT OF INTEREST.
 - i) BENEFITS.
 - j) EVALUATIVE AUTHORITY OVER RELATIVES.
- F. APPOINTMENT OF A NON-IMMIGRANT FOREIGN NATIONAL.
 - 1. TIMING.
 - 2. VISA PROCEDURE.

In carrying out their essential functions of teaching and research, Northwestern University and Weinberg College employ persons in a variety of academic but not tenure-line positions. Some of these persons meet a continuing instructional demand--the teaching of a language, for example. Subject to need by the institution and the quality of the individual's job performance, they hold ongoing full-time positions as lecturer, senior lecturer, distinguished senior lecturer, assistant professor of instruction, associate professor of instruction, and professor of instruction and constitute Weinberg College's **teaching-track** faculty. Other persons hold short-term positions, offering courses that are vacated when, for instance, a tenure-line faculty member is granted a leave of absence with partial salary from an outside grant. A short-term instructor may offer a single course in a given quarter of an academic year or, rarely, a full complement of courses for a period of consecutive years. Still other limited-term instructors teach specialized courses such as Professional Linkage Seminars.

Correspondingly, in research laboratories, members of the research faculty and research staff work with tenure-line faculty members toward attaining the goals of the University's research mission. None of these positions - on the lecturer faculty, replacement faculty, research faculty, or research staff - is tenure-eligible. This chapter sets forth policies and procedures for these four groups. Note that in these paragraphs, 'department' and 'department chair' stand also for 'program' and 'program director.'

A. THE TEACHING-TRACK FACULTY - PREVIOUSLY KNOWN AS THE CONTINUING LECTURER FACULTY (CLF).

Members of the teaching-track faculty contribute largely to fulfilling the teaching mission of Weinberg College and Northwestern University. They shoulder a range of teaching and teaching-related responsibilities, often requiring specialized skills, and they bring valuable expertise and experience to their students' learning. The expectations for the teaching-track faculty are excellence in the classroom, service to the department/college/university, and evidence of staying current in their area of teaching/instruction.

Teaching-track faculty members offer courses to undergraduate students at all levels and in settings as varied as seminar room, lecture hall, language laboratory, and science laboratory. They frequently take leadership roles in enhancement of classroom teaching, course improvement, and curriculum development. They mentor junior colleagues. In the Office of Undergraduate Studies and Advising and in some of its departments and programs, they hold formal appointments as academic advisers. They serve as assistant chairs or associate chairs of departments, as directors or assistant directors of programs, as advisers to student organizations, as members of standing committees of the College and University, as fellows and masters of University residential colleges, as advisers of independent undergraduate research projects, and in many other campus roles.

In meetings of the Weinberg College faculty, the teaching-track faculty have the vote on all matters except those concerning the promotion and tenure of tenure-line faculty. The voting rights of teaching-track faculty in meetings of their departments and programs are set forth in the statutes of those groups, although department and program statutes must themselves follow College guidelines on voting on appointments, **reappointments**, and promotions.

The teaching-track faculty comprised four ranks before 2014: lecturer, senior lecturer, distinguished senior lecturer, and professor of instruction (in a given field, for example Professor of Instruction in Anthropology). Beginning in 2014, the teaching-track faculty transitioned to the newly introduced ranks of assistant professor of instruction and associate professor of instruction in addition to professor of instruction. These are not

tenure-line positions, and time spent in these ranks does not accumulate toward the probationary term during which a decision about tenure is made. Subject to institutional need, including available resources, and subject to individual job performance, members of the teaching-track faculty hold ongoing positions, normally in consecutive appointments of two, three, four, and five years.

1. CRITERIA FOR APPOINTMENT AND PROMOTION.

With the exception of a few especially selected candidates, members of the teaching-track faculty (previously described as the CLF) are hired by national search in which the same diversity requirements pertain as in searches for tenure-line faculty. Teaching-track members in the ranks of lecturer, senior lecturer, distinguished senior lecturer, assistant professor of instruction, and associate professor of instruction typically hold PhD, MFA, or MA degrees (the MA in those departments in which the degree is appropriate), while professors of instruction almost always hold the PhD or MFA. Current members of the teaching-track faculty holding the titles lecturer, senior lecturer, and distinguished senior lecturer may retain this title, however promotion will only be to the assistant professor-, associate professor-, and professor of instruction as noted in the transition document found here <http://www.weinberg.northwestern.edu/faculty/promotion/>.

a) ASSISTANT PROFESSOR OF INSTRUCTION

A PhD, MFA, or other appropriate terminal degree is typically required (for language instruction a Master's degree in an appropriate discipline may be regarded as an appropriate terminal degree if the candidate has significant teaching experience)

For appointment the candidate must possess the following qualifications:

- A record of excellence in teaching which can be demonstrated through some combination of classroom teaching (to include experience as a teaching assistant), research advising, pedagogically-related advising, curriculum development, or innovative pedagogy
- A demonstrable commitment to service and collegiality
- Evidence of a pedagogical, research, or creative agenda
- A record of scholarly achievement appropriate to the field

b) ASSOCIATE PROFESSOR OF INSTRUCTION

A PhD or MFA is typically required (for language instruction a Master's degree in an appropriate discipline may be regarded as an appropriate terminal degree if the candidate has twelve or more years of relevant experience).

The candidate must possess the following qualifications:

- Six years of sustained excellent teaching at the rank of Assistant Professor of Instruction which can be demonstrated through some combination of classroom teaching, research advising, pedagogically related advising, curriculum development, or innovative pedagogical practices
- A record of excellent service to the College or University
- A record of discipline-specific research, pedagogical research, professional development, or creative work appropriate to the field that introduces current knowledge of the candidate's field into the classroom.

c) PROFESSOR OF INSTRUCTION

A PhD or MFA is almost always required

In addition, the candidate must meet ALL of the following qualifications:

- Six or more years of sustained superlative teaching at the rank of Associate Professor of Instruction which can be demonstrated through some combination of classroom teaching, research advising, pedagogically related advising, curriculum development, or innovative pedagogical practices
- Evidence of superlative service to the College or University
- A record of discipline-specific research, pedagogical research, professional development, or creative work appropriate to the field that introduces current knowledge of the candidate's field into the classroom
- Evidence of excellent pedagogical standing in the field. This can be demonstrated in myriad ways, although it is up to the candidate and the department to make the case. Examples of such recognition may include, but are not limited to, the following: making significant presentations at national conferences and conventions, placing articles in disciplinary or pedagogical journals, contributing to the production of textbooks or other innovative instructional materials, receiving invitations to serve as an expert in one's field or to make presentations at other institutions of higher learning, serving as a primary research advisor to students who themselves can be shown to be competitive at a national level, or making significant, innovative contributions to the curriculum.

The department's evaluation process may include the solicitation of letters external to the Northwestern community, but this is not a requirement.

The titles of Assistant Professor of Instruction, Associate Professor of Instruction, and Professor of Instruction are available to Weinberg's non-tenure line faculty members who have full-time multi-year teaching appointments regarded as 'continuing appointments.' They are not intended for individuals whose duties are not primarily instructional.

We expect that any initial appointment at the rank of Assistant-, Associate-, or full Professor of Instruction will typically have a contract length of two years (6 quarters in service at NU) in order to establish a record of strong teaching and service in Weinberg College. Subsequent appointments typically would be four or five years, depending on rank.

Early promotion is possible; however, a minimum of six completed quarters of service in Weinberg College will be required prior to application for promotion.

2. RECRUITMENT AND APPOINTMENT TO THE TEACHING-TRACK FACULTY.

a) JUSTIFICATION OF THE POSITION.

A case for the programmatic need for an additional faculty line or the replacement of a teaching-track faculty line must be made to the Dean, typically in the annual request for the department hiring plan. Supporting evidence for such a case should include:

- The number of students served or potentially served by such an appointment.
- Historical enrollment data for related courses.
- Discussion of curricular rationale.
- Justification of how effectively current resources are employed. Additionally, any request for an additional line for the teaching-track faculty may affect the number of tenure-line positions available to the department.

b) APPROVAL OF A NATIONAL SEARCH.

When the Dean's Office and a department have agreed on the need for a teaching-track position and the needed resources have been identified, the Dean's Office will approve a search through a **hiring authorization** or charge letter.

The report of the Task Force on the Lecturer Faculty in Weinberg College (2006) recommended that a national search is a best practice. A search committee is constituted, then approved by the Associate Dean for Teaching Track and Visiting Faculty, and a good faith search is conducted. The hiring department or program submits the Weinberg College Pre-Search Review Form (found at <http://www.weinberg.northwestern.edu/faculty/departamental-management/pre-search%20web%20form%2015-16.pdf>) and sends advertising copy to the Dean's Office. **A good faith search requires fair consideration of all applicants without predetermination in favor of an inside or otherwise advantaged candidate.**

c) EVALUATION OF AN IDENTIFIED CANDIDATE.

Within the pool of applicants, the search committee seeks evidence of demonstrated excellence in teaching and, if appropriate, administrative skill. **A list of finalists will be sent to the Associate Dean for Teaching-Track and Visiting Faculty prior to any interview invitations.** Finalists are usually interviewed on campus. The candidate is interviewed by the chair, other members of the department, **and the Associate Dean for Teaching Track and Visiting Faculty.** In addition, the candidate gives a lecture or conducts a seminar, to which the Associate Dean for Teaching Track and Visiting Faculty **should** be invited. The department should invite members of other departments who may share interests with the candidate. It is to our advantage to demonstrate our culture of building interdisciplinary ties. Such talks should also be open to interested students and should be brought to their attention via posters and email to majors, minors, and graduate students. The department should also work with its Student Advisory Board representative to encourage interest. **Many departments bring together a range of students to evaluate each prospective candidate's teaching demonstration, a practice which we encourage. The Associate Dean for Teaching-Track faculty can provide examples of such an innovative practice.**

d) TARGET OF OPPORTUNITY HIRES.

On occasion, a candidate may emerge outside the context of a search. If that person's appointment would bring particular benefit to the College, a target of opportunity hire may be considered. In these instances, a letter from the chair requesting an exception to a national search must be made and should include enrollment data to justify a position. The successful request will present a strong case why such an appointment, without a national search, benefits the College and supports its mission for excellence and diversity.

e) MAKING AN OFFER.

- Whether through a national search or through a proposed target of opportunity hire, the department informs the Associate Dean for Teaching Track and Visiting Faculty when it has a candidate to recommend. The department must meet to vote on the merits of the candidate. A head-to-head or preference vote between two or three candidates may follow a merit vote on each recommended candidate, but preference votes cannot substitute for the merit vote. Voting must be by secret ballot. Participating in the discussion and vote are all tenure-line faculty members and members of the teaching-track faculty. (If fewer than three faculty members are thus eligible to participate, the Dean appoints additional faculty from proximate academic fields to act as a surrogate department of at least three members.) Potential voters who have a close personal relationship with the candidate or who feel they cannot maintain proper professional distance should **recuse** themselves from the discussion and vote.

The department forwards the following materials to the Dean's Office for review:

- The department letter and vote. The letter summarizes the work of the search committee and the department's discussion of the candidates' strengths and weaknesses. A ranking of the candidates if more than one candidate was found exceptionally qualified.
- The curriculum vitae of the recommended candidate.
- An Affirmative Action form (<http://www.weinberg.northwestern.edu/faculty/documents/affirm-5.pdf>)
- Any and all correspondence received by the department about the recommended candidate, including letters of recommendation. (Messages must be written. Printed email messages are acceptable.)
- Other evidence of the candidate's accomplishments in teaching and, if appropriate, administration. Include students' evaluations, reports of faculty visits to classes, and the like.

If the department proposes to make an offer to a non-minority male candidate and if the list of finalists includes one or more female or minority candidates, the department must submit the CVs and letters of recommendation of such finalists. If no women or members of minority groups appear on the list of finalists, the department should be prepared to describe the special efforts it has made to locate such candidates.

Only the Dean may make a binding offer with particular terms of rank and salary; in its communications with the candidate, the department may not make institutional commitments. If the Dean's review of the **recommended candidate** is positive, the Dean forwards his or her

recommendation to the Provost, and with the Provost's approval sends the candidate a written offer.

3. SALARY ADJUSTMENT.

For most members of the teaching-track faculty, the timetable and mechanics of this process are the same as they are for the tenure-line faculty. For members of the teaching-track faculty, the chief criteria for annual salary determination are pedagogical, focusing on the quality of the individual's teaching or on other activities closely related to the teaching-track faculty member's role as a teacher. **Service and research/creative work are also important but subordinate components of the teaching-track position.** The faculty member spells out his or her responsibilities and accomplishments for the year in the annual vita supplement, discussing any pedagogical research or related scholarly activity or creative publication or exhibition, and showing how it bears on the quality of his or her teaching and the success of the department's teaching mission. In determining salary recommendations, the department chair reviews the faculty member's vita supplement, students' evaluations of his or her teaching as appropriate, the contributions the faculty member has made to the intellectual and professional life of the department, and other evidence.

4. REAPPOINTMENT AND NON-REAPPOINTMENT.

Review of the position: The Dean's Office may ask a department to make a detailed case in support of a recommended teaching-track faculty reappointment, that is, to demonstrate that the position meets essential needs, that those needs will continue for the foreseeable future, and that employing a member of the teaching-track faculty is the best way to meet those needs. The department will also provide evidence of adequate enrollments.

Review of the candidate: The Associate Dean for Teaching Track and Visiting Faculty will contact chairs early in the academic year to alert them to their list of faculty members whose appointments have an end-date that academic year. A request for a review of the position will be made, if necessary, at that time. In turn, the Dean's office asks the chairs to review the incumbents.

Fall: The chair, drawing upon the departmental by-laws or established practices, convenes the appropriate committees or executive committee to provide a consistent and thorough review of the faculty members up for reappointment. We urge departments and programs that have not done so to codify their best practices to ensure fairness and consistency. During the year the department requests or gathers any additional information that they regard as necessary to make the evaluation. We strongly recommend peer evaluations.

February: The chair receives from a faculty member under consideration an updated CV and an updated Vita Supplement form. Requests for updated Vita Supplements and updated CVs will be sent out from the Dean's Office to all eligible faculty members in January

April/May: The department arrives at a decision and recommendation regarding the candidate's performance. The chair and faculty member meet in person to discuss the evaluation.

May, The chair responds to the Associate Dean for Teaching-Track Faculty with a recommendation for each of the incumbent faculty members, whether a further appointment should be offered. The chair may consider the following:

- a. recommend renewal without reservation
- b. recommend renewal with reservation
- c. do not recommend reappointment

A department letter includes: 1) The rationale for the recommendation. Whatever the voting protocols, the recommendation will include a discussion of the strengths and weaknesses that underpin such a recommendation to reappoint or not. 2) The list of faculty who voted on this recommendation, if applicable. Our reappointment philosophy is that all faculty above the rank of the candidate's reappointment rank are eligible to vote on reappointment.

May/June: An elected Promotion and Reappointment Committee composed of tenured and teaching-track faculty will review the department's recommendation and available documents regarding the candidate's performance. The College committee considers as evidence CV, Vita Supplements, CTEC and grade distribution reports, the department letter, and other evidence supplied by the department. The committee may ask for further clarification from the department and incumbent. After careful consideration the committee reports to the Dean their recommendation for renewal, non-renewal, or a probationary term.

If a department and/or the Promotion and Reappointment Committee recommends against reappointment (and the Dean agrees), or if a recommended reappointment is not authorized, the faculty member may be offered a shorter appointment, offered a different position, or given notice **in writing**. (See Non-renewal and notice, below).

A decision not to offer reappointment is likely to be based on a restructuring of the department's teaching mission, a change in its enrollment patterns, a change in the colleague's capacity to meet teaching needs as defined by the College, or a change in the support base for the position in question. **The authority to make decisions about reappointment rests with the Dean.**

5. PROMOTION.

Recommendations of faculty advancement are taken with the utmost seriousness, and are investigated with great care. General guidelines dictate that a candidate shall have been a full-time member of the teaching-track faculty in a given rank for six or more years, although exceptions may be made in special cases. Should a **teaching-track faculty member** be recommended for promotion and fail to be promoted, no rule or expectation holds that he or she shall leave the faculty. A member of the teaching-track faculty who is not promoted in a given year may be recommended

again after a suitable period. The department of a candidate who is not promoted should promptly work with that candidate on a program to improve relevant aspects of his or her record.

a) REVIEW OF POSITION.

If the members of a department deem a faculty member's excellent long-term teaching and related service to warrant consideration of that person for promotion, the department chair should promptly discuss the need for his or her position with the Associate Dean for the Teaching Track and Visiting Faculty, this discussion to take place early in the fall quarter. With colleagues in the Dean's Office, the associate dean reviews hiring plans for the department and the likelihood of the position continuing. If the associate dean authorizes continuation of the position, and there is agreement on the plausibility of promotion consideration at that time, the process gets underway in the fall quarter. Any exception for time in rank or variance on the expected terminal degree should be submitted **in writing** by the chair and included in the promotion consideration.

b) TIMETABLE FOR PROMOTION.

See [Time-line for promotion to Assistant Professor of Instruction, Associate Professor of Instruction, and Professor of Instruction](#)

c) DEPARTMENT RECOMMENDATION.

The chair requests that the candidate supply a dossier to the department.

The requirements of the dossier are found here: <http://www.weinberg.northwestern.edu/faculty/promotion/required-materials-continuing-lecturer.html>

A department committee comprising all entire tenure-line faculty and those teaching-track faculty members of at a rank higher than the candidate's reviews the dossier, discusses the candidate's strengths and weaknesses, and votes by secret ballot. In the case of candidates for promotion to the rank of Professor of Instruction, the discussion of the candidate's strengths and weaknesses must take into account the testimony of external reviewers, if any are solicited. Committee members who have close personal relationships with the candidate or otherwise feel they cannot maintain proper professional distance should recuse themselves from the discussion and vote on that candidate. If fewer than three faculty members are thus eligible to serve on this committee, the Dean appoints additional members to form a surrogate committee. **College Fellows and junior tenure-line faculty prior to their 3rd year review may not hold sufficient experience in the department and should not vote on promotion candidates to the ranks of Assistant and Associate Professor of Instruction. Only Professors of Instruction and tenured faculty are eligible to vote on promotion to Professor of Instruction.**

The department chair sends the Dean a letter that summarizes the discussion, describes the candidate's strengths and weaknesses, refers in detail to teaching and other activities (including, for any candidate for promotion to rank of professor of instruction, the views of external referees), names the department members eligible to participate and actually participating, and vote totals (for, against, abstaining, absent). **In a positive recommendation**, the department should be able to demonstrate that the candidate has achieved high distinction in teaching, and to affirm on the basis of observation and experience that this person is as good a teacher in his or her field as the department could reasonably expect to hire, now or in the foreseeable future. In the case of the candidate for promotion to the rank of professor of instruction, the department should be able to demonstrate that the candidate has significant national standing in his or her field. The letter, signed by the chair and three or four members of the department committee, and the accompanying materials are sent to the Dean.

d) PROMOTION AND REAPPOINTMENT COMMITTEE.

A Weinberg College committee, made up of four teaching-track faculty and three tenured faculty, is charged with evaluating promotions and reappointments of the non-tenure eligible faculty and advising the Dean on these matters. The committee will be elected and rotating, with members serving staggered terms.

Members of the Promotion and Reappointment Committee will recuse themselves on all promotion and reappointment discussions for members from their home department. As a matter of course the promotion and reappointment material is held on a secure server and the dossiers of the cases from which they are recused are not made available to them. A term of service will be three years. As a general rule, to keep a department or program from dominating the committee, an entire department/program is disqualified for three years after a member of that department/program has served a full term. To prevent a lecturer and tenure-line faculty from the same department being elected, elections of the lecturer faculty will occur first, and tenure-line elections will follow.

Teaching-track Faculty membership:

- The Promotion and Reappointment Committee will have four members elected by members of the Continuing Lecturer faculty (a record of whom is maintained by the Associate Dean for Teaching Track and Visiting Faculty). They will be faculty members in good standing drawn from Div. I, Div. II, Div. III-the language faculty, and those in Div. III-complement (faculty who are not part of language instruction).
- Eligible for the four teaching-track faculty positions on the committee membership will be lecturers at the rank of Associate Professor of Instruction (or Distinguished Senior Lecturer) or Professor of Instruction.
- If an elected teaching-track faculty member of the Promotion and Reappoint Committee plans to go up for promotion during their time in service on the committee, the elected member will recuse him or herself for the year and a replacement may be appointed for the year.
- Elected teaching-track faculty members who are up for renewal may serve on the committee during that year, but will necessarily be recused from their home department's review (including their own review) and any review of other committee members.
- Elections will be by the four groups: Div. I, Div. II, the foreign language faculty, and the complement of Division III not represented in the foreign language faculty.

Tenure-line faculty membership:

- The Promotion and Reappointment Committee will have three members elected by members of the tenure-line faculty. They will be faculty members drawn from Div. I, Div. II, and Div. III.

- Eligible for the three tenured positions on the committee membership will be faculty at the rank of Associate Professor or Professor.
- Members will be elected by the tenure-line faculty following their usual procedures.
- In cases for review of Professors of Instruction, committee members at the rank of Professor, Associate Professor, and Professor of Instruction will vote. Faculty at the rank of Associate Professor of Instruction (or Distinguished Senior Lecturer) will be recused. In many instances, for the near future, this will be a three-member committee of the appointed tenure-line faculty. If a tenure-line faculty member must recuse himself or herself or is unavailable another tenured faculty will be appointed by the Dean to fill the role.

The seven-member Promotion and Reappointment Committee will review promotion dossiers for non-tenure-line faculty members. They will vote confidentially on each case **that comes before them** and make a recommendation to the Dean. Similarly, the Promotion and Reappointment Committee will review recommendations for **teaching track** reappointments. They will vote confidentially on each case and make a recommendation to the Dean. A report of the committee vote will only be described as 'positive' or 'negative.' A 2/3 majority is required for a positive vote. No characterization of the vote will be included. For example, there will be no description of a unanimous vote nor will a detailed numerical breakdown accompany the vote. Dossiers and other materials such as vita supplements and recommendations from chairs will be made prior to a meeting with the Dean and members of his/her staff. A case for promotion must be strong and fulfill the requirements for promotion to the next rank in order to warrant a positive vote. Time in rank is not sufficient. Likewise, a case for reappointment must be made actively on the strengths of the faculty member's positive contributions to the teaching mission. The absence of a negative case is insufficient for a positive recommendation for renewal. At the meetings, a discussion of the strengths and weaknesses of a case for promotion, reappointment, or non-renewal will be made along with a confidential vote. These discussions are advisory to the Dean.

e) CONSIDERATION BY THE DEAN.

The authority to make decisions about promotion rests with the Dean. If the Dean has reservations about a recommended promotion, the chair of the department is notified and the chair notifies the candidate. **The Dean may ask the teaching-track promotion and reappointment committee to elaborate on the case and the reasoning behind a recommendation**, or may request additional information about any aspect of the candidate's record from his or her department. When the Dean decides against a recommended advancement, the promotion process ends in the College. The dossiers of the candidates whom the Dean recommends for promotion are forwarded to the Provost, who has the authority to decide negatively about a promotion. The Dean writes to each candidate about the decision in his or her case, and sends a copy of that letter to the candidate's chair.

f) NEGATIVE DECISIONS.

A promotion candidate whose department has voted against promotion ~~or reappointment~~ will be notified by the chair.

When a department votes negatively regarding a promotion for teaching-track faculty, under most circumstances the promotion review stops at that point. **The chair will notify the Dean office that the promotion case will not proceed to the College for further evaluation. The chair will provide for the Dean a brief letter describing the reasons and any department vote.** A candidate for promotion who has received a negative vote at the department level may ask to see the department letter and may choose to appeal to the Dean on the grounds outlined in the University Faculty Handbook.

A promotion candidate's dossier may receive a positive department vote and then a negative vote by the Promotion and Reappointment Committee. Those cases will nonetheless be sent to the Dean for consideration. If the Dean decides against recommending promotion he will notify the candidate and the chair.

6. PERFORMANCE REVIEW IN RANK.

A review of the position held by a member of the teaching-track faculty (job description, institutional need, resource base) or of the incumbent's performance in that position may be conducted at any time, with the initiative coming from either the department or the College. In particular, a review of the performance of a member of the teaching-track faculty may be undertaken when that person has held the same rank for a period of years without a review. A committee will be appointed by the Associate Dean for Teaching Track and Visiting Faculty from faculty at or above the rank of the incumbent. The candidate supplies a curriculum vitae; a written account of responsibilities, accomplishments, and plans; a list of at least six former students with their current (verified) email addresses and other relevant materials. The department may solicit confidential opinions of the faculty member's teaching from students, and, if the faculty member holds the rank of professor of instruction, may seek the confidential opinions of colleagues at comparable institutions or other experts about the faculty member's standing in his or her field. The department forwards the Dean's Office a short list of student referees recommended by the candidate and the grade sheets for the faculty member's classes in the last three years, and, in the case of a professor of instruction, a short list of relevant colleagues elsewhere. The chair convenes a department committee comprising all members of the tenure-line faculty and of any member of the teaching-track at a rank higher than that of the faculty member in question. That group discusses the faculty member's work to date and his or her strengths and weaknesses. A report summarizing the department's discussion and assessment of the faculty member's performance is prepared and signed by the department chair and two or three other members of the review committee, and forwarded to the Associate Dean for the Teaching Track and Visiting Faculty. The Dean's Office seeks students' confidential evaluations of the faculty member's teaching and, if the faculty member is at the rank of professor of instruction, confidential opinions on the faculty member's national reputation from colleagues at comparable institutions or other experts. The associate dean reviews the dossier, including institutional teaching evaluations and any student and collegial evaluations gathered in confidence by the Dean's Office, and prepares a report for the Dean and informs the department chair of the resulting assessment. The chair informs the faculty member in question.

7. FACULTY DEVELOPMENT.

Members of the tenure-line faculty and of the **teaching-track faculty** are encouraged to act as mentors for new members of the teaching-teaching track faculty. Those new members of the teaching-track faculty are encouraged to seek such mentoring from colleagues in their own department and, if they desire, in related departments. They should avail themselves of the resources of the Searle Center for Advancing Learning and Teaching.

With the endorsement of the department chair, a member of the teaching-track faculty may apply for curriculum-development funds from the College's Hewlett Fund for Curricular Innovation. A member of the teaching-track faculty may apply to the University Research Grants Committee for support, and may apply to his or her department and to the Dean's Office for professional development and professional travel, preference is given to faculty presenting papers or otherwise contributing to a conference. Funds are limited, and support is not always possible; partial funding is more usual than full funding. Such requests should be submitted first to the department chair for possible funding and if appropriate, submitted with the chair's endorsement to the Associate Dean for Teaching Track and Visiting Faculty. (See <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/lecturer-travel-funds-policy.html>.)

A teaching-track faculty member may apply for a one-quarter leave of absence from normal duties with University salary on an eight-year cycle in order to undertake scholarly investigation or educational research related to his or her teaching. The application must be endorsed by the chair and forwarded to the associate dean for faculty. Such a leave cannot be considered an entitlement: an application may be turned down on the merits, funds may be inadequate, or there may be other constraints. If a member of the teaching-track faculty secures significant external funding of salary and benefits, he or she may ask to extend the scheduled leave to two or three quarters. (See <http://www.weinberg.northwestern.edu/faculty/documents/LOA-Policy.pdf>.)

8. BENEFIT PLANS.

For medical leave, family leave, leave in connection with long-term and related benefit plans, see Northwestern University's Faculty Handbook and its amendments --these can be found on line at <http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf> and on the website of the University's Benefits Division at <http://www.northwestern.edu/hr/benefits/>. Members of the full-time teaching-track faculty are eligible for the University's standard retirement plans.

9. NON-RENEWAL AND NOTICE.

An appointment of one academic year or less expires of its own limitations, without notice from the institution. An initial probationary offer of one- or two-year term may expire of its own limitations. Upon successful reappointment after their initial probationary term, members of the teaching-track faculty will be provided with 12 months' notice of non-renewal.

10. BUYBACKS.

In rare circumstances always related to professional activities, a full-time member of the teaching-track faculty may find it necessary to apply for release time, the buying back of one or, exceptionally, two courses, in order to free time for a temporary need. The need for release time may arise in conjunction with a special assignment in another part of the University or it may arise from an externally-funded curricular or other research project. Weinberg College does not encourage the buying back of courses. An application for a buyback must demonstrate compelling circumstances. Funds to pay the College's charges for release time may come from a research grant or from another (i.e., non-Weinberg College) unit in the University. Discretionary funds may not be used for this purpose. Section X.B summarizes the necessary arrangements for buybacks of any sort. See also <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/>

11. ACADEMIC ADMINISTRATORS HOLDING MEMBERSHIP ON THE FACULTY.

Those assistant and associate deans, and assistant chairs and associate chairs for academic administration, who are not members of the tenure-line faculty may either hold appointments on the administrative staff for a specified length or serve at the pleasure of the Dean. They may also hold appointments on the faculty, their faculty positions typically being coterminous with their primary appointments on the administrative staff. Appointments may be for the nine-month academic year or for ten or eleven months.

A first appointment is typically at the rank of lecturer; credentials and experience suggesting that the candidate will be an excellent administrator and whose academic experience brings added value to their academic administrative appointment. An administrator is not generally appointed to the rank of senior lecturer unless he or she will be devoting some portion of effort to classroom, laboratory, or studio teaching, although senior lecturer may be a better fit for those who bring or have gained exceptional experience to their position. An administrator on the faculty who does not devote at least 50% of his or her effort to classroom, laboratory, or studio teaching or advising is normally not eligible for promotion to the rank of distinguished senior lecturer or professor of instruction. Such an administrator who is not eligible for promotion through the ranks of distinguished senior lecturer or professor of instruction may be promoted to senior lecturer.

B. SHORT-TERM POSITIONS ON THE TEACHING FACULTY.

The College hires most short-term non-tenure-line faculty members to teach courses that would ordinarily be taught by regular faculty members. When a regular faculty member is on research, medical, or personal leave, or has begun a phased retirement plan, arrangements must be made to replace vacated courses that are essential to the curriculum.

Some short-term appointments are not matters of filling vacancies but are programmatic (section VI.B.5 lists them). The practitioners affiliated with the Department of Psychology, for instance, hold short-term appointments but do not teach replacement courses vacated by regular faculty. Rather, they make their own unique contribution to the department's course offerings. The faculty who teach in the long-successful program of Professional Linkage Seminars are citizens from the neighboring professional community holding short-term appointments on the teaching faculty. Some of these programmatic appointments are unsalaried (see VI.B.2), but many are supported by University-allocated funds, gift funds, dedicated endowment monies, or other monies.

1. POLICY AND PROCEDURES.

Whether a department proposes a replacement appointment or a programmatic appointment, it consults the Associate Dean for Teaching Track

and Visiting Faculty. A department is authorized to search and recommends to the Associate Dean that an offer be made through the short-term teaching appointment web-interface found here: <http://www.weinberg.northwestern.edu/faculty/>.

The Dean's Office requests proposed teaching schedules for the coming academic year from each department in **winter quarter**.

Proposed teaching appointments must be approved by the Associate Dean for Teaching Track and Visiting Faculty prior to the Registrar's Office deadline for the fall. Among topics that frequently arise:

a) ESSENTIAL COURSES; REASSIGNING INSTRUCTORS.

An essential replacement course is, first, a course that cannot be omitted from the department's offerings, even for one or two quarters or a year, because it is required for graduation and demonstrates ample enrollment needs. Second, it is a course that cannot be taught by a department member who will be in residence during the year to come. If a resident faculty member could be reassigned to the essential replacement course but would therefore be unable to teach a previously assigned course, perhaps that latter course could be omitted because nonessential -- or perhaps that course would be less costly to replace.

As a rule, chairs should ask resident faculty to teach courses for which it will be difficult to find first-rate replacement instructors. Short-term replacement instructors should, whenever possible, teach courses for which the pool of qualified replacement candidates is relatively large. (First Year Seminars belong in the first of these two groups, incidentally, and are best taught by experienced regular faculty.)

b) BREAKAGE.

Because breakage from all departments is pooled and then used across the College, a department may not claim breakage as an entitlement.

c) REPLACING COURSES OF FACULTY WHO ARE ON LEAVES OF ABSENCE FULLY PAID BY NORTHWESTERN.

It is usually possible to purchase an essential course that has been vacated by a faculty member who is on leave with full or partial outside support. It is seldom possible to buy a replacement course, essential or not, that has been vacated by a faculty member on leave for a quarter or longer with full University salary. The chair should schedule the department's University-paid leaves and assign courses accordingly.

d) APPOINTMENTS TO CAMPUS RESEARCH CENTERS.

A regular faculty member who accepts a limited-term part-time appointment in a University research center might be thought to be on a part-time leave of absence from his or her department – and on a leave, moreover, that yields breakage. Not so. Rather, departments whose members routinely hold such appointments are already staffed on the premise that each year a given number of faculty will spend a specified fraction of their time in a center, and that as one member leaves the department for a research center, another returns. A faculty member who receives a half-time appointment to the Institute for Policy Research, for example, is to be compared with a faculty member going on leave with full University salary, and therefore as a faculty member whose courses are not replaced. chairs should distribute course assignments accordingly. If a chair believes the department must absolutely replace a course lost when a faculty member moves part-time to a center that should be explained in the department's account of needed replacement instruction.

e) REPLACING A GRADUATE COURSE; PAYING A PER-COURSE FRACTION OF A HOME SALARY; PERSON-FOR-PERSON REPLACEMENT.

Occasionally it is necessary to replace a graduate course but the College is rarely able to hire a distinguished visitor to teach one or two courses at a rate of compensation equal to a one- or two-course fraction of the visitor's home-university salary. The competing claims on the teaching budget also usually preclude replacing a faculty member who is on leave for a year with a full-time one-for-one replacement person. If several members of a department will be on leave, a department might propose a full-time visitor to step in for all absent colleagues. Contingent faculty who are hired in a less than full-time capacity are employed at a per course rate determined by the Dean's office. Benefits eligibility for contingent faculty teaching less than 100% time is determined by the university rules on benefits eligibility (see <http://www.northwestern.edu/hr/hris/fasis/>).

f) TITLES, TEACHING ASSIGNMENTS.

The range of persons eligible for short-term faculty appointments is very wide, from an advanced graduate student to an established scholar of great distinction, and the array of possible titles is broad. These titles and ranks are governed by the Provost's office. (See <http://www.northwestern.edu/hr/hris/fasis/>.)

g) ENROLLMENT MINIMUMS

Courses that are under-enrolled will be cancelled. The Dean's office will alert a department and the university Registrar's office when an under-enrolled course will be cancelled. The department has the responsibility for working with those few students who had enrolled and informing the contracted faculty of the course cancellation. When a faculty member is hired from outside the University to teach a replacement course, acceptable enrollment levels are somewhat higher than for continuing faculty. A course taught by a replacement instructor and enrolling fewer than

- 12 students at the 100 or 200 level,
- 9 students at the 300 level, or
- 6 students at the 400 or 500 level

may be cancelled. (Replacement faculty appointment letters state that the agreement for teaching depends on adequate enrollment. It is the responsibility of the chair to ensure that a course is needed and is sufficiently enrolled.) (See also VII.B.10 for a full explanation of this rule.)

h) UNDER-ENROLLED SECOND-YEAR LANGUAGE COURSES.

There are some language courses with very low enrollments. When short term faculty are hired in the College, their contract stipulates that the appointment is contingent on sufficient enrollment. In these instances, the Dean's Office may cancel an under enrolled course.

Second-year language courses are unique as students may need that course to complete their Foreign Language Requirement or a major or minor. In those instances a second-year language course with a verified registration of two, three, or four students will be offered as a tutorial. In this case, the instructor may be paid half of his or her scheduled salary. A second-year language course with an enrollment of a single student may be canceled. The chair will work with the Office of Undergraduate Studies to find an adequate solution for the affected student.

A second-year language course with five or more registered students will run as a regular class.

i) COURSE, CANDIDATE, AND SALARY.

The Associate Dean for Teaching Track and Visiting Faculty and the chair discuss the variables below, and reach agreement on the credentials of likely candidates and their prospective salaries, which are also influenced by the nature of the course, and the pool of candidates. In particular:

- The level and the size of the course or courses. Will there be a grader or graders? One or more TAs?
- Estimated quality and size of the candidate pool
- The quality of the candidate's teaching as that is seen in written evaluations examined by the chair. It makes little sense to hire a less-than-first-rate teacher to replace a regular faculty member in an essential course.
- Standards in the profession and discipline, based on available peer data

j) SEARCH AND OFFER FOR APPOINTMENT FOR THREE QUARTERS OR FEWER.

The Associate Dean for Teaching Track and Visiting Faculty authorizes a search. When a full-time appointment will be for two years or more (a three-year Boas Assistant Professorship, for instance), the department conducts a good faith national search. (For affirmative-action requirements and search protocols, see Chapter III of this handbook.) **A full-time one year position must be advertised at least locally and follow the usual affirmative action protocols.** For a **less than full-time** appointment of one, two, or three quarters of an academic year, a full-scale search is unnecessary, and a regional or local search may be substituted. These are regarded as temporary positions.

To avoid giving a candidate a false or misleading impression, the chair of the department or search committee should first discuss a provisional salary range with Associate Dean for Teaching Track and Visiting Faculty, and should make it clear to the candidate that salary rates are determined by the Dean. The chair may mention only the most general salary terms to a candidate and may prefer not to discuss salary at all, as any salary figure discussed by the department and candidate must be understood by all parties to be provisional.

When an interested and qualified candidate is identified, the department submits a "Recommendation for Short-Term Faculty Appointment" form (see <https://facultyaffairs.wcas.northwestern.edu/>). The department sends it, accompanied by a brief summary of evaluations of the candidate's teaching and a copy of his or her curriculum vitae, to the Associate Dean for Teaching Track and Visiting Faculty, who makes the offer.

2. UNSALARIED, VISITING APPOINTMENTS.

a) VISITING SCHOLARS.

Visiting scholars are sponsored or employed elsewhere; usually other universities, industry or government. Visiting scholars typically hold a terminal degree or have received equivalent professional recognition. They are here for one year or less to study with University faculty, learn research techniques, used specialized facilities or collaborate with faculty investigators. Visiting scholars are not employees of the University and are paid by their sponsoring organization. On occasion visiting scholars may be provided with supplemental funds from the University; such funding is considered financial aid for living and/or travel expenses.

Further information about appointing visiting scholars can be found at the website that covers a variety of research staff appointments: <http://www.research.northwestern.edu/policies/research-appointments/research-staff.html>.

Please be aware of potential costs to the department before committing to host a visitor. The department is responsible for providing from existing resources any institutional support it wishes the visitor to have, e.g., office or laboratory space, equipment, secretarial assistance, and staff support in dealing with visa issues or necessary major medical coverage (see VI.B.3). The department may also be required to bear the institutional costs of the visitor's visa. Appropriate housing of a visitor is the responsibility of the department, and thus of the department chair. As visitors not only add to the intellectual life of the campus, but after their visitor-ship also act as spokespeople about Northwestern, it is important to keep in mind that our institution's visibility and reputation can be enhanced by enjoyable and productive visits, or harmed if visitors are not treated well.

b) ADJUNCT POSITIONS AND UNSALARIED SECONDARY APPOINTMENTS.

If a department proposes to offer an unsalaried affiliation to a distinguished member of the non-academic community – one who, say, has made a career in pharmaceutical research and company leadership – it should recommend that person for an adjunct appointment with professorial rank. Customary service by an adjunct professor might include: discussing research projects with graduate students and junior faculty, and advising majors and graduate students about future employment. The department should circulate the CV and other relevant information to the voting faculty and vote on the proposed adjunct or unpaid secondary appointment. Following the vote, the chair makes a recommendation to the Dean's office for a termed, secondary, unpaid appointment.

3. FOREIGN NATIONALS: VISA, MAJOR MEDICAL COVERAGE.

The University is forbidden by law from employing or paying anyone holding an inappropriate visa, notably the B-1 visa for business visitors or the B-2 tourist visa. It is the foreign national's responsibility to obtain a visa permitting employment at Northwestern, but he or she will require help from the department. Mathematics and the science departments will assist with the visas application for their visitors. Those in the Humanities and Social Science departments should contact the Dean's Office at wcas-visa@wcas.northwestern.edu to alert them to the need for a visa as soon as the candidate accepts the offer. The Dean's Office will work with the candidate and International Office to complete the necessary application. The Dean's Office will cover the visa costs (not including Risk Management Health Insurance) for all short-term visitors in the Humanities and Social Science departments.

Mathematics and the science departments should make initial contact with the University's International Office as soon as it appears likely that a candidate will accept an offer. When it appears that the offer will be accepted, the department should ask the International Office to provide more specific information about paperwork to be completed by the department and the individual or consult the International Office website: <http://www.northwestern.edu/international/>. The process is usually not onerous, but it is the department's obligation, and it must be completed well before the faculty member is to arrive in Evanston. U.S. Consulates in foreign countries will not issue an appropriate visa until approval has been received from the U.S. Citizenship and Immigration Service in this country. See <http://www.northwestern.edu/international/>.

The University's International Office will charge the unit sponsoring an individual a fee for visa processing. In addition, the department issues checks payable to The Department of Homeland Security (no abbreviations) for federal fees. The EIN number for The Department of Homeland Security is V410750420 B. Please verify current amounts with the International Office. These must be separate checks.

If a department wishes to offer an unsalaried appointment or an appointment at a less-than-half-time rate to a foreign national, either that person will have to present evidence of home insurance coverage for major medical expenses, or the department will have to purchase major medical insurance for that person. See section VI.C.2.j., p. 88.

The International Office must be notified when an employee holding a J-1 or an H-1B visa leaves the University.

The University does not sponsor short-term employees for permanent residency.

4. PAY SCHEDULES.

a) APPOINTMENT FOR AN ACADEMIC YEAR.

The salary of one who holds a full-time appointment for the academic year is usually paid in twelve equal monthly installments, the first at the end of September, the last at the end of August. Payroll checks are distributed on the last working day of the month. Those with academic year appointments may have their salary check deposited directly to a bank account.

b) APPOINTMENT FOR ONE OR TWO QUARTERS.

Salary for a fall-quarter appointment is paid in four monthly installments (September through December), the first on September 30. Salary for a winter-quarter appointment is paid in three installments, the first on January 31. Salary for a spring-quarter appointment is paid in three installments, the first on April 30. A fall-winter appointment is paid in seven monthly installments, September through March. A two-quarter winter-spring appointment is paid in six monthly installments, January through June. Checks are delivered to the departments on the last working day of the month.

5. PROGRAMMATIC APPOINTMENTS.

The initiative for filling these positions may reside in the Dean's Office or department.

a) KREEGER WOLF DISTINGUISHED VISITING PROFESSOR.

This endowment brings one or more outstanding visitors to campus each year. The Dean's Office works with departments and programs about appropriate visitors.

c) PROFESSIONAL LINKAGE SEMINAR INSTRUCTOR.

About thirty of these courses are given each year. They link liberal education to issues in the professions, illustrate how theory and practice affect and enrich each other, and focus on successfully negotiating the threshold between academy and full-time employment. The instructor of a Professional Linkage Seminar is typically an accomplished non-academic professional with an affinity for the liberal arts and a gift for intellectual inquiry. This person is usually appointed adjunct lecturer; the stipend is necessarily token and their appointment is benefits ineligible. Full time Northwestern employees who are not members of the teaching faculty may be appropriate to teach a Professional Linkage Seminar. These individuals should obtain permission from their supervisors for such teaching to be part of their regular responsibilities that year. As full-time University employees, they would typically not be eligible for a teaching stipend.

d) VISITING ARTISTS IN RESIDENCE.

Among the faculty are full-time visiting artists-in-residence. A good faith national search leads to such appointments, which vary in length.

e) MATHEMATICS DEPARTMENT.

The department has nine rotating Ralph Boas Assistant Professorships. These are three-year non-renewable posts filled by means of a good faith national search. The department also hosts National Science Foundation Postdoctoral Fellows and American Mathematical Society Research Fellows, who teach and do research. Boas faculty hold full-time appointments usually of two or three years, at a rank equivalent to that of visiting assistant professor.

f) PROFESSIONAL STAFF AT AFFILIATE INSTITUTIONS.

Scientific staff members at the Chicago Botanic Garden and the Field Museum may hold part-time teaching assignments in the Biological Sciences Program and Anthropology, respectively.

g) MELLON POST DOCTORAL FELLOWS AND OTHER TEACHING POST-DOCTORAL FELLOWS.

These are two-year non-renewable full-time positions at a rank equivalent to that of visiting assistant professor. The Dean invites selected departments and programs to nominate candidates.

There are a small number of similar teaching postdoctoral positions in the College, generally tied to endowed or gift accounts.

The procedure for mounting a search for a teaching post-doctoral fellow and appointing the successful candidate is outlined below.

A national search will be conducted to find teaching post-doctoral candidates. The department submits the Weinberg College Pre-Search Review Form (found at <http://www.weinberg.northwestern.edu/faculty/documents/pre-searchwebform12-13.pdf>) and sends advertising copy to the Dean's Office. A budget for advertising the search is determined at this point. A search committee is constituted, then approved by the Associate Dean for Teaching Track and Visiting Faculty, and a good faith search is conducted. Within the pool of applicants the search committee seeks evidence of demonstrated excellence in teaching and a promising research agenda. Finalists are usually interviewed, sometimes by conference call, preferably in person at a professional conference and occasionally on campus. The candidate is interviewed by the chair and other members of the department. If the candidate is brought to campus the department should invite members of other departments who may share interests with the candidate. It is to our advantage to demonstrate our culture of building interdisciplinary ties. Such talks should also be open to interested students and should be brought to their attention via posters and email to majors, minors, and graduate students. Typically the Dean's office cannot provide funds for a campus visit although a department may wish to use their funds to do so.

The department informs the Associate Dean for Teaching Track and Visiting Faculty when it has a candidate to recommend. If a candidate is brought to campus, a visit with the Associate Dean for Teaching Tracking and Visiting Faculty would be appropriate. The department forwards the following materials via [the short-term teaching appointment form found at https://facultyaffairs.wcas.northwestern.edu](https://facultyaffairs.wcas.northwestern.edu) to the Dean's Office for review:

- The department letter and vote. The letter summarizes the work of the search committee and the department's discussion of the candidates' strengths and weaknesses. It should also provide a ranking and discussion of the top three candidates with a summary of their research and teaching contributions.
- If a program sponsors a post-doctoral teaching fellowship, the search will likely be multidisciplinary. For example, a search in Brazilian Studies might attract candidates from History, Political Science, Anthropology, English, or Religion. If this is the case, the Dean's Office will contact the relevant department(s) for evaluation and approval.
- The curriculum vitae of the top candidates
- An Affirmative Action form (<http://www.weinberg.northwestern.edu/faculty/documents/affirm-5.pdf>)
- Any and all correspondence received by the department about the recommended candidate. (Messages must be written. Printed email messages are acceptable.)
- Other evidence of the candidate's accomplishments in teaching and research. Include students' evaluations, reports of faculty visits to classes, and the like.
- If the department proposes to make an offer to a non-minority male candidate and if the list of finalists includes one or more female or minority candidates, the department must submit the CVs and letters of recommendation of such finalists. If no women or members of minority groups appear on the list of finalists, the department should be prepared to describe the special efforts it has made to locate such candidates.
- Identified space for an office, which may be shared

Only the Dean may make a binding offer with particular terms of rank and salary; in its communications with the candidate, the department may not make institutional commitments.

C. ACADEMIC RESEARCH STAFF AND VISITORS

The primary responsibility of the University's academic research staff is to conduct research. Appointments are for a fixed term up to three years. The two contingencies are availability of external funding for salary support and satisfactory performance. Any termination, layoff, or reduction in salary must be done in accordance with University policy. Research staff are subject to all University policies. Research staff are not members of the faculty and are ineligible for tenure. Appointments of research staff must be approved by the department, Dean, and Vice President for Research.

1. APPOINTMENT CATEGORIES.

Full details of policies and guidelines for the following categories of staff can be found on the Vice President for Research's website at http://www.research.northwestern.edu/policies/research-appointments/research-staff.html#research_staff_appt. Discussion of appointment procedures in the College follows below.

- Research associates have the PhD, MD or equivalent degree, have received equivalent professional recognition, or have demonstrated

- exceptional artistic abilities.
- Senior research associates have at least ten years of postdoctoral experience as research associates or in an equivalent position. They should have demonstrated significant research achievements.
- Research affiliates are research professionals employed by other institutions formally affiliated with Northwestern. **They are not paid or employed by Northwestern although they may be involved in collaborative research with Northwestern investigators.**
- Visiting scholars are sponsored or employed elsewhere, usually at another academic institution. They are at Northwestern to pursue professional research goals for a period not to exceed one year. They are not employees of and receive no salary from Northwestern University.
- Visiting pre-doctoral fellows are current degree-seeking graduate students from other institutions and who come to Northwestern to advance their professional research.

2. APPOINTMENT PROCESS.

All proposed appointments must be reviewed and approved by the Dean's Office and the Office for Research. After the Dean's Office secures the agreement of the Vice-President for Research, the Assistant Dean for Research and Graduate Studies will issue the offer letter on behalf of the University. **No member of the research staff may begin work before the appointment is finalized.**

a) MATERIALS TO SUBMIT.

The department should submit the Recommendation form and a current CV. If applicable, approved health insurance, proof of funding, departmental vote and the personal data form should also be submitted. <http://www.weinberg.northwestern.edu/research/documents/REV%20W CAS%20RESEARCH%20APPOINTMENT%20PROCESS.pdf>

b) RANK.

The proposed rank (see categories above) must be appropriate to the candidate's education and experience. The College will not approve appointments where there is a mismatch between rank requested and the appointee's background.

c) SALARY.

Salary levels should meet reasonable standards for professional employment, and the Department of Human resources may review proposed salaries. The sponsoring faculty member recommends a salary and the department chair endorses it. *The department is accountable for the salary during the entire term of the appointment.*

d) SOURCE OF FUNDING.

The department must indicate the sources of all funding paid to the staff member. Full chart strings are required when the salary is paid through Northwestern and the department should supply details for funding not channeled through Northwestern.

e) HEALTH INSURANCE.

Research associates and senior research associates paid through Northwestern are eligible for regular staff benefits, including health insurance. All officially-appointed visitors and affiliates must have adequate health insurance for themselves and their accompanying family members during their appointment at Northwestern. If they do not have coverage, they may apply for the Visiting Scholar Health Insurance Plan through the Office of Risk Management. See <http://www.northwestern.edu/risk/insurance/index.html>. Visitors already covered by health insurance who wish a waiver from enrolling in the Northwestern policy must demonstrate proof of such insurance to the Office of Risk Management in order to obtain a waiver. In all cases, the department bringing a visitor to the University is responsible for ensuring adequate health insurance for the visitor. Otherwise, the department may be held financially responsible for any health-related costs incurred by non-insured visitors. As these costs can be prodigious, the time and cost involved in providing insurance is necessary and worthwhile. *The College will process only those appointments accompanied by the necessary documentation regarding insurance.*

f) FOREIGN NATIONALS.

The department must notify the International Office (630 Dartmouth Street, extension 1-5613) three months or more before a foreign national intends to start work at Northwestern. That Office will provide information about the initial steps in the process and what actions the Department needs to take.

After the appointment has been approved by the Vice President for Research, a copy of the approval is sent to the International Office. When the International Office has received the documents it needs, it sends a Certificate of Eligibility (IAP-66) to the person in question. That document, in turn, enables the appointee to obtain a visa. See also the International Office website at <http://www.northwestern.edu/international/index.html>.

The University's International Office will charge the unit sponsoring an individual a fee for visa processing. In addition, the department issues checks payable to The Department of Homeland Security (no abbreviations) to cover federal fees. The EIN number for The Department of Homeland Security is V410750420 B. Please verify current amounts with the International Office. These must be separate checks.

The International Office must be notified when an employee holding a J-1 or an H-1B leaves the University.

g) HUMAN RESOURCES-PAYROLL.

It is the department's responsibility to complete all necessary paperwork for Human Resources. This includes completion of the Appointment and

Position Data forms as well as any other forms required by that office to ensure the appointee a paycheck and access to any benefits that he or she may be eligible for.

h) FUNDING FOR RESEARCH STAFF APPOINTMENTS.

All paid appointments to the research staff are contingent on grant funding by external agencies at an approved rate. All letters of appointment and reappointment must state this.

Appointment cannot extend beyond the period of availability of supporting funds. If the position cannot be supported because of insufficient funds, the appointment may be terminated or the individual's effort may be reduced to a level consistent with the salary that can be paid. Any commitment salary support in the case of premature termination of project funds will be the responsibility of the department. The prevailing fringe benefit rate is charged to the chart string that is the source of salary funds.

3. REVIEW OF PERFORMANCE.

The policies regarding supervising responsibilities in Chapter 7 in the Human Resources Policies and Procedures Manual apply to research staff, as do the policies and procedures pertaining to performance evaluation for exempt employees.

4. SALARY REVIEW.

The initial salary of a member of the research staff is recommended by the sponsoring faculty member, endorsed by the department chair who is accountable for the terms of the appointment, reviewed by the Dean's Office and approved by the Vice President for Research. The sponsor should be the principal investigator on the grant(s) or contract(s) that will pay the research staff member's salary. Salary levels should meet reasonable standards for professional employment, and any proposed salaries in excess of 10% will be reviewed by the Office for Sponsored Research. Postdoctoral fellows and visitors may be funded by external salary support and/or funds paid through the University.

Increases are normally made annually, on the anniversary of the appointment, and generally follow the percentage increase guidelines for other exempt staff salaries. The department should base salary recommendations on written performance evaluations.

Research staff members must be supervised and evaluated by the same practices applied to all exempt staff members (see also chapter 7 of the Human Resources Policies and Procedures Manual). Supervisors should evaluate research staff at least once a year. The faculty sponsor should discuss the evaluation, and any possible actions regarding the employee's performance, with the employee. The faculty member should write out the evaluation and the employee should read through and sign it, including any comments the employee may wish to add. The completed document, filed with the employee's personnel record, provides the basis for a request for reappointment, salary increment, and other personnel actions. (The Dean's Office and the University's Department of Human Resources have useful sample evaluation forms.)

5. DISCIPLINARY ACTION.

In the case of deteriorating performance or a serious violation of rules or policy, an employee's supervisor should follow the Performance Management and Policy Violation section of the Human Resources Policy and Procedure Manual. The supervisor should give the employee a written statement of performance requirements and the consequences of not meeting those standards. That communication should be documented to ensure that the employee cannot claim ignorance or misunderstanding of expectations. If an offense is serious enough to lead to consideration of immediate disciplinary discharge or consideration of progressive disciplinary steps, the supervisor should contact the department chair, the Associate Dean for Research and Graduate Studies, and the University's Department of Human Resources before undertaking any action. Hiring and dismissal proceedings are handled through the Dean's Office, not by the department or the supervisor. Information can be found at: <http://www.northwestern.edu/hr/policies/>.

Sixty days' notice to the employee is required in the event of termination for cause or termination due to lack of funding. The Dean's Office will formally notify employees after reviewing the recommendation of the supervisor and the department chair.

6. EVALUATIVE AUTHORITY OVER RELATIVES.

In situations where a supervisor (e.g., principal investigator) has a close personal relationship with a subordinate or a candidate for a subordinate position, the supervisor must inform his or her next level supervisor, usually the department chair, in writing, of the nature of the relationship. A copy of that letter should be sent to the Associate Dean for Faculty Processes and Governance. If the supervisor involved is the department head, the Associate Dean for Faculty Processes and Governance becomes the next level supervisor. A close personal relationship may be by birth (brother, daughter, etc.), by marriage (spouse, sister-in-law), by living arrangement (living in the same household), or by a strong emotional tie. See the University policy regarding Evaluative Authority over Faculty or Staff, found at <http://policies.northwestern.edu/docs/employment-or-valuation-of-relatives-policy.pdf>.

The PI may provide scientific supervision to the work of the subordinate and may provide written evaluations of the work, however, employment recommendations affecting hiring, salary, and promotion must have the informed approval of the next level supervisor. A letter of concurrence from the next level supervisor must accompany any recommendation to the Associate Dean for Faculty Processes and Governance.

D. POSTDOCTORAL FELLOWS.

Postdoctoral Fellows, Visiting Postdoctoral Fellows, and NSRA Postdoctoral Fellows who are hired to engage in research are managed by the Dean's Office with input from the Office of Postdoctoral Affairs in The Graduate School. Full details of policies are outlined on that website. (In the humanities and social sciences, there are a small number of postdoctoral fellows hired to teach and to tend to their own scholarship. Procedures regarding the appointment of these teaching postdocs can be found at VI.B.6.c)

Appointments of research postdocs are initiated by the sponsoring faculty member using the form at <http://www.tgs.northwestern.edu/post-docs/index.html>. Instructions regarding the process of bringing a postdoc to campus are spelled out at <http://www.tgs.northwestern.edu/resources-for/postdocs/appointments/policies.html>.

After filling in all of the required fields, the department forwards the form and candidate's CV to the Assistant Dean for Research and Graduate Studies for approval. The Dean's Office informs the Office of Postdoctoral Affairs of recent appointments, but final approval is at the level of the Dean. The Dean's Office issues the formal offer letter to the candidate.

When the candidate is neither a U.S. citizen nor a permanent resident, the department is responsible for working with the International Office to ensure that the candidate receives the appropriate visa by the proposed start date. The candidate can neither perform work nor be paid before an appropriate visa has been issued.

E. RESEARCH FACULTY.

There are two kinds of faculty-level research appointments; research faculty and senior research investigators. The term "research faculty" henceforth refers to individuals following a career path of scientific investigation yet are not regular members of the faculty on the University's budget. Faculty-level research appointments are approved by the Vice President for Research. Appointments are for a fixed term, typically 1 to 3 years, contingent on the availability of funds and satisfactory performance. Appointments are typically full time and must be paid at least \$23,660 per annum for a full time appointment. Appointments are for eleven months, allowing for one month of unpaid leave. Salary is paid over 12 months. Any termination, layoff, or reduction in salary must be done in accordance with University policy. Research staff are subject to all University policies. Check online at <http://www.northwestern.edu/research/index.html>.

1. RESEARCH FACULTY APPOINTMENTS; DEFINITION.

Research faculty appointments are intended to support the research mission of the University by assisting the department to achieve its research goals. Candidates for appointment are professional investigators who are capable of independent research and publication. They must have experience and scholarly qualifications comparable to regular tenure-line faculty members at the same rank in the same professional area. Appointments require approval by the voting faculty of the home department, even though the research faculty member may be supported in full or in part on the grants held by a sponsoring regular faculty member. The Vice President for Research authorizes appointments and sets policy on promotion and salary adjustment; formal appointment is in the College.

Research faculty may not participate in governance of the University or of any academic unit; and are usually not assigned teaching responsibilities, although they may occasionally take part in classroom or seminar activities. In rare cases where a department wishes a research faculty member to teach a course, a separate part-time teaching appointment is required at the normal payment rate and the effort attributed to the research appointment is reduced. The University views faculty-level research positions as appointments which recognize or enhance a scientific career. They are not intended as courtesy or rotating appointments.

If a department prefers to make a research faculty appointment through a non-College University Research Center, the sponsoring faculty member makes the recommendation to the center director, who forwards the recommendation to appropriate administrators. In cases where the appointment is not made through the Weinberg College Dean's Office, the candidate is not eligible to hold a rank in the department. Persons paid from College-administered accounts must have Weinberg College approval of the appointment. In general, individuals will be appointed in the unit that (1) is responsible for the majority of the funding for the individual and (2) is responsible for the individual's work and effort.

A faculty member who sponsors a candidate with whom he or she enjoys a close personal relationship may present the candidate's name to the department, but may not participate in the discussion or vote on the appointment. See VI.E.5.j.

2. RANK.

Research faculty appointees are identified by the titles of Research Assistant Professor, Research Associate Professor, or Research Professor. These full-time appointments are benefits-eligible. Research faculty are not eligible for tenure. Research faculty and senior research investigators may serve as principal investigators or project directors on research awards and are expected to seek independent external funding. All proposals for external funding must be filed through the Office for Sponsored Research.

3. EMERITUS FACULTY AND SENIOR RESEARCH INVESTIGATOR.

Retired faculty members who hold emeritus standing are eligible to serve as Senior Research Investigators on externally supported research projects through Northwestern. There are no institutional/departmental duties or teaching responsibilities associated with this appointment.

4. POLICIES AND FUNDING.

Full details of policies regarding research faculty and issues regarding funding can be found at the Vice President for Research website: <http://www.research.northwestern.edu/policies/research-appointments/research-faculty.html>.

If a new research faculty appointment is to be 100% paid from sponsored funds, the research faculty member may not write any proposals, submit any proposals as principal investigator or co-investigator, or participate in any administrative work. If the research faculty member participates in any of these activities, then the department in which the faculty member has an appointment is responsible for covering 5% of the faculty member's annual salary for the entire fiscal year in which the proposal is submitted. The department should ask the sponsoring PI help defray any costs through expenditure of discretionary funds and/or academic-year salary released funds.

5. APPOINTMENT OF RESEARCH FACULTY IN THE COLLEGE.

Appointments to the research faculty require a vote of the department. (Appointments as senior research investigators require the endorsement of the chair only.)

a) DEPARTMENT RECOMMENDATION FOR APPOINTMENT.

A regular faculty member recommends a research faculty appointment to the department chair, indicating the sources of funding for the appointment and the availability of space within the sponsor's laboratory. The proposed appointment must be considered by and voted on by the department. In conducting the review, which is subsequently submitted to the Dean's Office, the department should obtain materials similar to those it requires of candidates for a tenure-line position: curriculum vitae, letters of recommendation, statement of research accomplishments and plans, information about recent and pending grants (if appropriate), and copies of significant publications. The department then votes by secret ballot and forwards its recommendation to the Dean in the form of a letter from the chair. The letter should include:

- The numerical results of the vote: for, against, abstain, absent;
- Justification for the proposed rank;
- A description of how this appointment will enhance the department research effort and complement current research;
- What space commitments are made by individual faculty and the department.

The department fills out the appointment form, available at <http://www.research.northwestern.edu/policies/research-appointments/research-faculty.html>.

The department should also supply supporting a current CV and other documents that would be appropriate for a regular faculty appointment.

The department should indicate a term, typically one to three years, full-time and renewable.

Should the proposed appointee be a current or former member of Northwestern's regular faculty, the recommendation must also include a formal letter of resignation from the regular faculty position and a separate disclaimer of tenure, both signed by the candidate. The Vice President for Research may ask a University-wide committee to review recommendations for such appointments.

b) APPROVAL BY THE DEAN.

The Dean's Office must receive the completed *Recommendation for Faculty-Level Research Appointment* form (http://www.research.northwestern.edu/policies/research-appointments/documents/Research_Faculty_Form.pdf), the candidate's dossier, and the departmental report before processing can begin. The appointment must have an appropriate rank, salary level, term, etc., to be recommended by the Dean to the Vice President for Research.

c) APPROVAL BY THE VICE PRESIDENT FOR RESEARCH.

The Dean's Office forwards the dossier to the Vice President for Research specifying the salary, term of appointment, and basis for evaluation. Once approved by the vice president, the Dean's Office sends a copy of the approved appointment back to the Department for distribution to the prospective employee.

d) LETTER OF APPOINTMENT.

The Dean's Office sends the official letter of appointment to the department for distribution to the prospective employee. The letter indicates that the appointment is contingent upon performance and the availability of continuing resources and states that this is a "non-teaching, non-tenure-eligible position." The letter also specifies that the general University policies normally pertain to faculty-level research appointees, including but not limited to the University Patent Policy, Policy on Faculty Conflict of Commitment and Conflict of Interest, Policy on Integrity in Research and Procedures for Reviewing Alleged Misconduct, and Policy on Evaluative Authority over Faculty or Staff. No oral or written offer of employment may be extended until approval of the Vice President for Research has been received. In certain situations, as determined by the Dean's Office, a co-signature from the prospective employee is required. No payroll action can be taken until all conditions in the appointment process have been satisfied.

e) FOREIGN NATIONALS.

If the appointee is not a U.S. citizen or permanent resident, the department works with the International Office to secure the appropriate visa. The International Office may not initiate visa action before receipt of a copy of the approved appointment form. The University's International Office will charge the unit sponsoring an individual a fee for visa processing. In addition, the department issues checks payable to The Department of Homeland Security (no abbreviations) to cover federal fees. The EIN number for The Department of Homeland Security is V410750420 B. Please verify current amounts with the International Office. These must be separate checks.

See also section VI.F.

f) REAPPOINTMENT.

A departmental committee must review and approve the reappointment of the research faculty member, just as in the initial appointment. The request for reappointment should include a current CV; a review of recent research activity, including publications and grant activity; and letters of support from the faculty sponsor and the department chair evaluating the research activity, its contribution to the department research effort, and the appointee's record in securing independent external funding.

g) PERFORMANCE REVIEW.

The department should evaluate research faculty with similar criteria as used to evaluate tenure-track faculty, and periodically recommend appropriate raises, in line with University policy. Research activity-including publications, grant applications, and external funding-should be reviewed at the time of any reappointment or promotion by a duly constituted departmental committee and a vote must be taken. The Dean then forwards this committee's recommendation to the Vice President for Research. Appointees are normally judged by their success in securing external funding and their potential for continued independence, autonomy, and excellence. The department should review an appointee for promotion after an appropriate period of service in the assistant or associate professor rank.

h) CONFLICT OF INTEREST.

Research faculty are subject to the faculty Conflict of Interest and Conflict of Commitment policies. They are required to report potential conflicts at the time of submitting applications for certain types of external research funding and in the annual conflict of interest reporting process.

i) BENEFITS.

Research faculty are eligible for regular non-tenured faculty benefits, assuming at least a half-time appointment. Appointments are for eleven months, allowing for one month of unpaid leave. Research faculty do not accrue vacation time or personal days. Reduction of effort will affect the availability and contribution rates for benefits. Information regarding such changes may be obtained from the Benefits Division of the Department of Human Resources. Research faculty are ineligible for the University's paid Family Leave Policy, although they may request unpaid family leave in accordance with the Family and Medical Leave Act of 1993.

j) EVALUATIVE AUTHORITY OVER RELATIVES.

In situations where the research faculty member has a close personal relationship with his or her sponsor or supervisor, the senior person must inform his or her next level supervision, usually the department chair, in writing, of the nature of the relationship. A copy of that letter should be sent to the Associate Dean for Faculty Processes and Governance. If the supervisor involved is the department head, the Associate Dean for Faculty Processes and Governance becomes the next level superior. A close personal relationship may be by birth (brother, daughter, etc.), by marriage (spouse, sister-in-law), by living arrangement (living in the same household), or by a strong emotional tie. See the University's policy regarding Evaluative Authority over Faculty and Staff at <http://policies.northwestern.edu/docs/employment-or-evaluation-of-relatives-policy.pdf>.

The sponsor may present the name of the candidate to the department for a vote, but may not be involved in the discussion or vote on the candidacy. Although the sponsor may provide scientific supervision to the individual in question, recommendations regarding salary and promotion must be undertaken by the next level supervisor and reported to Marie Jones. The subordinate's position should be funded in the most typical way for such positions. In most cases this will mean funding the position with external grant monies at the earliest practical moment.

F. APPOINTMENT OF A NON-IMMIGRANT FOREIGN NATIONAL.

The department must notify the International Office (630 Dartmouth Street, extension 1-5613) well in advance so that the appointee's papers may be filed promptly with the U.S. Department of Homeland Security. It is now almost impossible for a foreign national to begin employment at Northwestern without being properly certified; if such employment begins, nevertheless, and is discovered, the individual is asked to leave the U.S. voluntarily within thirty days. That scenario does occur at Northwestern, often because those responsible for hiring the foreign national have failed to notify the University's International Office until too late. The turnaround time averages between eight and twelve weeks.

1. TIMING.

When Northwestern wishes to hire a foreign national on a visa that permits only a temporary stay in the U.S.-temporary visas H1B and J-1 are non-immigrant visas – the University's International Office must be notified five months before that person starts work at Northwestern. If the person is outside the U.S. at the time of appointment, additional time may be required.

2. VISA PROCEDURE.

Northwestern's International Office handles all visa applications for incoming international faculty and research staff. The federal government has established the Exchange-Visitor Visa (the J-1 visa) as the appropriate document for most foreign nationals wishing to enter the U.S. to pursue short-term educational goals, including teaching, study, and research in institutions of higher education. If an H-1B visa, reserved for a foreign national of "distinguished merit and ability," seems a possibility, the department should be in touch with the International Office.

Procedures for filing for a J-1 or H-1B visa can be found at the International Office website: <http://www.northwestern.edu/international/information-for/international-employees.html>.

chairs wishing to bring a visitor to Northwestern on a J-1 visa need to fill out a Faculty Visa Information Sheet and send it to the University's International Office (which can provide copies of the form). For a prospective member of the faculty, the department should also send the International Office a copy of the offer letter from the Dean. For a prospective member of the research staff, a copy of the "Recommendation for Research Appointment," signed by the Associate Dean and the Vice President for Research, is sent to the International Office by OSR.

When all documents have been received, the International Office will send a Certificate of Eligibility (IAP-66) to the person in question. That document, in turn, allows him or her to obtain a visa or, if already in the U.S., to transfer to the Northwestern University Exchange-Visitor Program.

VII. TEACHING, ADVISING, AND UNDERGRADUATE LIFE

- A. EXCELLENCE IN TEACHING.
 - 1. DEPARTMENT CULTURE.
 - 2. RESOURCES FOR THE IMPROVEMENT OF TEACHING.
 - 3. EVALUATION OF TEACHING.
 - 4. TEACHING AWARDS AND OTHER RECOGNITION.
- B. DEPARTMENTAL TEACHING RESPONSIBILITIES.
 - 1. INDIVIDUAL TEACHING ASSIGNMENTS.
 - 2. TEACHING IN OTHER SCHOOLS OF THE UNIVERSITY.
 - 3. TEACHING ASSIGNMENTS FOR ASSISTANT PROFESSORS AND INSTRUCTORS.
 - 4. QUARTER FREE OF TEACHING.
 - 5. TEACHING ASSIGNMENTS FOR FINAL-YEAR AND DEPARTING FACULTY.
 - 6. POLICY ON COURSE BANKING
 - 7. AUGMENTED TEACHING DUTIES.
 - 8. ADMINISTRATIVE REDUCTIONS OF NORMAL TEACHING ASSIGNMENTS.
 - 9. BUYBACKS, RELEASE TIME.
 - 10. LEAVES OF ABSENCE.
 - 11. OTHER DEVIATIONS FROM NORMAL TEACHING ASSIGNMENTS.
 - 12. TEAM TEACHING.
 - 13. ENROLLMENT MINIMUMS.
 - 14. ENROLLMENT CEILINGS.
 - 15. ABSENCE FROM CLASS.
 - 16. STUDENTS AS SUBJECTS OF RESEARCH.
 - 17. HUMAN SUBJECTS IN UNDERGRADUATE RESEARCH.
- C. GRADES AND GRADING.
 - 1. GRADING.
 - 2. GRADE CHANGES.
 - 3. FEEDBACK EARLY IN QUARTER.
 - 4. INCOMPLETE WORK AND MISSED EXAMINATIONS.
 - 5. SUBMITTING GRADES
 - 6. GRADE DISPUTES.
 - 7. POSTING GRADES; RETURNING STUDENT WORK.
 - 8. RETAINING PAPERS, TESTS, AND RECORDS
 - 9. SENIOR WEEK
 - 10. RELEASE OF STUDENT INFORMATION.
- D. P/N GRADING.
 - 1. RULES FOR P/N GRADING IN WEINBERG COLLEGE.
 - 2. TARGET GRADE-P/N SYSTEM.
- E. ACADEMIC INTEGRITY.
 - 1. PROCEDURES IN A CASE OF SUSPECTED DISHONESTY.
 - 2. MEASURES TO PREVENT ACADEMIC DISHONESTY.
 - 3. CHECKING THE INTERNET FOR POSSIBLE PLAGIARISM.
- F. ADVISING.
 - 1. ADVISING FOR FIRST-YEAR STUDENTS.
 - 2. THE WEINBERG COLLEGE OFFICE OF UNDERGRADUATE STUDIES AND ADVISING.
 - 3. DEPARTMENTAL AND PROGRAM ADVISING.
 - 4. ADVISING DURING SUMMER AND NEW STUDENT WEEK.
 - 5. STUDY ABROAD.
 - 6. ACADEMIC SERVICES FOR STUDENT-ATHLETES.
 - a) ADVISING AND TUTORING.
 - b) FOLLOW-UP.
 - c) CLASSES OR EXAMS MISSED DUE TO ATHLETIC SCHEDULE.
 - 7. UNIVERSITY ACADEMIC ADVISING CENTER (UAAC)
 - 8. COUNSELING AND PSYCHOLOGICAL SERVICES [CAPS]
 - 9. ACCESSIBLE NU
 - 10. THE DEAN OF STUDENTS OFFICE
- G. TEACHING ASSISTANTS.
 - 1. ALLOCATION OF TEACHING ASSISTANTSHIPS.
 - 2. TRAINING OF TEACHING ASSISTANTS.
 - 3. GRADERS.
 - 4. PEER ASSISTANTS.
- H. UNDERGRADUATE INVOLVEMENT IN DEPARTMENTAL LIFE.

Teaching is central to the mission of the College, and the organization of a well-planned teaching program one of our most important tasks. Our goal should be to provide an adequate number of courses of affluent coherence and diversity to ensure our students an outstanding education. Faculty members should have equitable teaching assignments and, in turn, should undertake to teach well, to update their course offerings periodically, and to design new courses as appropriate. The active cooperation of the faculty, departments, programs, and Dean's Office is essential to achieving these goals.

The faculty also plays an essential role in academic advising. The one-on-one relationship that lies at the heart of active and successful academic advising contributes to the sense of community we want to foster. Academic advising also directly serves the interests of faculty members, keeping them focused on the student experience and aware of student concerns, thereby enhancing their judgment in the classroom.

A. EXCELLENCE IN TEACHING.

All members of the faculty should share the goal of excellence in teaching, a term that includes classroom instruction, tutoring, direction of research projects and independent study, and other instructional activities. chairs should be vigilant about the quality of instruction in the department, intervening where necessary to help colleagues attain a high level of performance and encouraging them to share ideas about teaching with their colleagues.

1. DEPARTMENT CULTURE.

Prevailing beliefs in a department regarding the relative importance of teaching and research set the tone for newcomers. Established faculty should take the lead in advising younger faculty on the importance of teaching and in helping to find solutions to classroom problems. All faculty, both tenure-line and **teaching-track**, should be made aware of how teaching is evaluated and how such evaluations are used in determining retention, promotion, and salary recommendations. New faculty members are expected to attend new faculty orientation in the fall, during which the basics of teaching in Weinberg are reviewed.

2. RESOURCES FOR THE IMPROVEMENT OF TEACHING.

Efforts to improve the quality of teaching most often take place within departments. Formal mentoring arrangements may be instituted between senior and junior faculty to facilitate the adjustment of new instructors to Northwestern. Such mentoring should include advice regarding the means of stimulating discussion, effective types of examinations, supervision of teaching assistants and graders, available classroom technologies, academic integrity policies, and so forth.

Resources are also available at the University level to help faculty to improve their teaching. The staff at the Searle Center for Advancing Learning and Teaching offer individual consultations to faculty members, and teaching consultants can attend a class and obtain feedback from students (see subsection VIII.G.5).

The Academic and Research Technologies Group provides advice on ways to take advantage of electronic technology in teaching. Their Web page can be found at <http://www.it.northwestern.edu/about/departments/at/> (see also subsection VIII.G.6).

Weinberg's Multi-Media Learning Center also provides advice to and support of faculty who are using technology in teaching. Their web page can be found at: <http://web.mmlc.northwestern.edu/>.

The Provost's office has a number of initiatives related to online and/or blended learning. More information can be found at: <http://www.northwestern.edu/provost/initiatives/online-and-blended-learning/index.html>

Weinberg's Teaching and Curriculum page (<http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/>) contains a great deal of helpful information and useful links, especially to "Teaching In Weinberg College" (https://websso.it.northwestern.edu/amserver/UI/Login?goto=http%3A%2F%2Fwww.weinberg.northwestern.edu%2Ffaculty%2Fdocuments%2Fid%2Fteaching_in_WCAS.pdf), a compendium of policies, practices and resources.

3. EVALUATION OF TEACHING.

The Registrar's Office administers student evaluation of teaching performance via the Course and Teacher Evaluation Council, or CTECs. By Weinberg College faculty legislation (October 13, 1977), all 100-, 200-, and 300-level classes enrolling five or more students must be evaluated by CTEC or another evaluation method approved in advance by the Associate Dean for Undergraduate Academic Affairs. In May 2006 mandatory publication of the quantitative part of the CTECs was approved by the Faculty Senate; this began in the 2006-07 academic year. The Dean's Office monitors CTEC reports for compliance with this requirement. Faculty are also encouraged to have evaluated 400-level courses enrolling five or more students.

Departments are encouraged to establish their own procedures for collegial evaluation, especially including yearly classroom visits and teaching portfolios. A department may also organize seminars in which instructors share advice and problems or discuss larger educational questions. Many departments include discussions of teaching performance as part of an annual evaluative meeting between the chair and the individual faculty member. The Dean's office strongly recommends adopting such practices and encourages outgoing chairs to include them when they brief incoming chairs.

4. TEACHING AWARDS AND OTHER RECOGNITION.

Excellence in teaching is recognized in a number of ways. In Weinberg College, a student-faculty Committee on Teaching Awards each year nominates faculty members and teaching assistants for Weinberg College Teaching Awards. The Dean usually selects five faculty members, including two members of the **teaching-track** faculty, and three graduate students to receive an award and stipend. Additional awards recognize excellence in mentoring undergraduate research, and efforts to build a sense of community between faculty and undergraduates. Departments should work with their undergraduate clubs and SAB representatives in preparing nominations. Awards are presented at a ceremony in May. Information about awards and lists of past winners can be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/teaching-awards/index.html> and <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/teaching-awards/past-teaching-award-recipients.html>.

The College also has several teaching chairs that rotate among outstanding teachers. Each chair carries a discretionary account. In addition, the University has established a number of Charles Deering McCormick Professorships of Teaching Excellence, an Alumnae of Northwestern Teaching Professorship, and two Charles Deering McCormick Distinguished Lectureships to reward teachers with outstanding records, for details see <http://www.northwestern.edu/provost/faculty-honors/university-teaching-awards/about-the-awards/index.html>.

In yearly salary reviews, chairs are asked to take teaching performance into account when recommending salary increases for both tenure-track and teaching-track faculty members.

B. DEPARTMENTAL TEACHING RESPONSIBILITIES.

The number of courses taught annually by members of the faculty is determined by the Dean in consultation with the chairs; only the Dean can change this number. The number of courses taught is the same for every member of a department, with a few special exceptions noted below. It is the chair's responsibility to monitor the equity of assignments.

1. INDIVIDUAL TEACHING ASSIGNMENTS.

Within the framework of the department's established teaching load, the individual faculty member's teaching assignment and schedule are the responsibility of the chair, who typically consults with the faculty member in question.

2. TEACHING IN OTHER SCHOOLS OF THE UNIVERSITY.

The College encourages faculty to cross-list courses with other departments or schools as appropriate. This practice brings the course to the attention of several groups of students and may satisfy a faculty member's interest in reaching a more diverse group of students. Special permission is required when a College faculty member is invited to teach in another Northwestern school with the course satisfying the curricular needs of that school rather than the College. A faculty member may not teach a course outside Weinberg College to fulfill part of his or her annual teaching load unless that assignment has been approved by the chair and the Dean's Office. There are protocols in place between the various schools that govern such arrangements, and any proposed assignment must fall under the agreed upon protocols. Moreover, the College faculty must give first priority to satisfying the curricular needs of the departments and programs of the College.

3. TEACHING ASSIGNMENTS FOR ASSISTANT PROFESSORS AND INSTRUCTORS.

All new, entry-level tenure-track faculty have one quarter free of teaching and teach no more than two courses in any quarter during each of their first three years. This means that starting assistant professors teach no more than four courses per year for their first three years on the faculty. (For faculty who enjoy a Fellowship Year with course reductions, this policy then applies to the subsequent three years of the probationary term.)

4. QUARTER FREE OF TEACHING.

It is sometimes possible to arrange the teaching schedule so that in one quarter an individual has no formal classroom responsibilities. A quarter free of teaching is not a leave and there is no course reduction involved. It cannot be assumed that a faculty member will enjoy such a quarter every year; instructional needs take priority. A faculty member must still teach his or her full annual load of classes during the other two quarters. In addition, during quarters when no formal teaching has been assigned, faculty members must be in residence, continue to advise students, fulfill service obligations, and otherwise participate in the life of the University. If a faculty member has a one-quarter leave, it may not be possible to arrange a second quarter free of teaching in the same year, as that would likely require teaching a large number of courses in one quarter.

Because Fall Quarter has the greatest demand for courses, fall-quarter relief from teaching should be used sparingly. In contrast, Spring Quarter has the lowest demand for courses, and combining this quarter with the summer gives six continuous months without classroom responsibilities.

5. TEACHING ASSIGNMENTS FOR FINAL-YEAR AND DEPARTING FACULTY.

When the department knows that a faculty member will be leaving Northwestern, teaching should be concentrated early in the year to the extent possible. In that way a class that is cancelled for under enrollment early in the year may be replaced by another assignment in the winter or spring quarter.

6. POLICY ON COURSE BANKING

In certain circumstances the College allows a faculty member to teach an overload in one academic year and redeem it as a course reduction in a subsequent year. The primary criterion for acceptability of such an arrangement is that it is advantageous to the department's curriculum. This "course banking" is normally administered by the department. The College permits such banking with the following restrictions:

1. The proposed banking must not infringe on the department's ability to staff the courses it needs to offer. Indeed, normally the primary motive should be to meet departmental curricular need. The department chair must approve the banking which should normally include the intended academic year in which the faculty member will have a light load.
2. At most one course reduction from a faculty member's bank can be used in any academic year without permission of the Associate Dean for Faculty. Likewise, at most one course can be banked in any academic year. Note also that a quarter in which a faculty member has no teaching obligation is not a leave quarter and both service and presence on campus are required. This proposal is independent of our policy on leave banking.
3. As with course buyouts we do not allow the use of a banked course to reduce a faculty member's annual teaching obligation to zero.
4. Banked courses are non-transferable and have no cash value. There will be no compensation for any accumulation at the time a faculty member resigns or retires.
5. Normally, banked courses should be redeemed in the same department or program in which they are taught. For example, if a faculty member teaches an overload in a program of which he/she is an affiliate, then it should not normally be redeemed by a course reduction in his/her home department.

We require the department chair or his/her designate to inform WCAS annually of the balance of banked courses. This balance should include

course reductions offered in hiring or retention letters and deficits incurred, e.g., by the cancellation of underenrolled courses. This information should be included in the department's teaching allocation report sent to the Dean's office each year.

7. AUGMENTED TEACHING DUTIES.

A faculty member regularly teaches, does research, and, as a responsible member of the academic community, participates in the conduct of its affairs. It is not surprising that during the careers of some faculty members the relative emphasis given to each of these three components should vary. For several reasons, one of them being equity, it is appropriate that a faculty member whose research activity has significantly declined should take on increased teaching.

A decision to increase teaching duties may be initiated by the faculty member, department chair, or Dean. The decision is made by the Dean after scrutiny of the record and immediate circumstances, and after consultation with the chair of the department and the Weinberg College Faculty Budget Committee. Vita Supplements are examined, the individual's teaching performance weighed, and the department's teaching needs evaluated. If the faculty member in question believes that the decision was made on the basis of insufficient evidence, a request for reconsideration may be submitted to the Dean. Assuming that research activity is not resumed, annual salary adjustments are determined largely by the faculty member's classroom performance.

8. ADMINISTRATIVE REDUCTIONS OF NORMAL TEACHING ASSIGNMENTS.

Department chairs and some program directors normally teach a reduced number of courses, the specific reduction to be decided by consultation between the chair or director and the **Associate Dean for Faculty**. A faculty member whose administrative duties are particularly onerous and time-consuming may occasionally have his or her teaching assignment reduced by the chair with the approval of the Dean's Office. Such reductions should be infrequent, since the most appropriate relief for a heavy administrative task is the reduction or elimination of other administrative duties, such as committee assignments in the department or College. Before the beginning of the Fall Quarter, the department chair should notify the **Associate Dean for Faculty**, of all proposed reductions in teaching duties for administrative reasons for the year.

The Dean's Office authorizes the chair to allocate a specified number of teaching reductions within the department to compensate faculty members for particularly heavy administrative assignments, such as director of undergraduate studies. The chair may not create additional course reductions without the prior approval of the Dean.

9. BUYBACKS, RELEASE TIME.

In certain, limited circumstances always related to professional activities, a faculty member may find it necessary to apply for release time: the buying back of one or, exceptionally, two courses in order to free an uninterrupted period for a temporary need. The need for release time may arise in conjunction with a special administrative assignment in another part of the University, or it may arise from an externally funded research project. Weinberg College does not encourage the buying back of courses to concentrate on research, since its students, undergraduate and graduate, come to Northwestern expecting to study with members of the full-time faculty. In particular, the teaching assignments of tenure-line faculty members have been established with their research needs in mind. An application for such a buyback must demonstrate compelling circumstances. A buyback is not a leave. Faculty who have bought out classroom teaching are expected to be in residence and carry normal levels of service, advising, and independent study.

Funds to pay the College's charges for release time may come from a research grant, or from another (i.e., non-Weinberg College) unit in the University. Please consult <http://www.weinberg.northwestern.edu/faculty/handbook/index.html> for full procedures and a link to the form. **Section X**

10. LEAVES OF ABSENCE.

Faculty on an approved leave of absence enjoy a reduction from teaching based on the length of the leave and the faculty member's ordinary teaching assignment. A set formula is used to determine the appropriate reduction. The chair should be in touch with **the Associate Dean for Faculty**. Additional information can be found in **Section X**.

11. OTHER DEVIATIONS FROM NORMAL TEACHING ASSIGNMENTS.

These deviations are at the discretion of the chair, who must notify **the Associate Dean for Faculty** of all non-administrative departures from the department's normal teaching load. The Dean's Office must approve if such an arrangement reduces the number of courses the department offers or if it creates a need for a part-time instructor. Below are several kinds of non administrative course reductions.

A chair may accommodate the needs for research or other activity of a faculty member who sees an advantage, for good professional reasons, in rearranging his or her teaching. The chair, for example, might allow a colleague in a department with a five-course assignment to teach six courses one year in order to teach four courses the next and have more time for particularly taxing research. In sum, while all faculty must teach the full, regular departmental load, the calculation of courses need not proceed year by year (though **the Associate Dean for Faculty** must be informed about year-by-year plans). Naturally, the chair can permit the juggling of a schedule only when it does not disrupt or distort the department's course offerings or otherwise damage the College's capacity to meet its obligations to its students.

12. TEAM TEACHING.

In recognition of the value of interdisciplinarity in our pedagogy, the Dean's Office will entertain requests from faculty who would like to team-teach a course, and who believe it is appropriate to receive "full teaching credit" for doing so. Our long-standing policy has been that the first time a course is team-taught by two faculty members, each will receive one full teaching credit for the course. Insofar as a team-taught class reduces by one the number of courses taught for the year, any proposed course must have strong (intellectual, pedagogical, or logistical) justification for the team approach, Proposals are directed first to the department chair(s) and thence to the Associate Dean for Faculty . Proposals to extend full

teaching credit beyond the first offering of the course, must meet further criteria of enrollment and need. The full policy on team teaching for Weinberg College courses may be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/team-teaching-policy.html>.

13. ENROLLMENT MINIMUMS.

Offering many very small courses is an inefficient use of faculty time. At the undergraduate level, moreover, such courses can be ineffective because they lack a critical mass of participants and because students sometimes lack the skills to participate fruitfully in lengthy discussion. At the same time, in a college characterized by a diversity of offerings, some courses will occasionally, or even regularly, attract relatively few students. The goal is to minimize the number of under-enrolled and otherwise very small courses without damaging the pedagogic program.

Departments should adhere to the guidelines recommended by the Curricular Policies Committee of the College's Faculty in 1981 and accepted as College policy since that time. *A course taught by a continuing member of the faculty and enrolling fewer than*

*8 students at the 100 and 200 level,
5 students at the 300 level, or
4 students at the 400 and 500 level*

should be offered only under exceptional circumstances. If a course smaller than these norms, is nevertheless offered, that course should not be counted as the equivalent of one course in the calculation of a faculty member's annual teaching responsibilities. When multiple sections of a course are offered, small sections should be combined.

When a faculty member is hired from outside the University to teach a replacement course, acceptable enrollment levels are somewhat higher. *A course taught by a replacement instructor may be cancelled if enrolling fewer than*

*12 students at the 100 and 200 level,
9 students at the 300 level, or
6 students at the 400 and 500 level*

Courses that are under enrolled will be cancelled. The Dean's office will alert a department and the university Registrar's office that an underenrolled course will be cancelled. The department has the responsibility for working with those students who will be unenrolled and contacting the contracted faculty of the course cancellation.

Letters appointing replacement faculty state that the teaching assignment depends on adequate enrollment. It is the responsibility of the chair to ensure that a course is needed and is sufficiently enrolled. An exception: if a course is genuinely needed for a departmental major and is taught at appropriate intervals, it may be offered and counted as a course equivalent in the faculty member's teaching assignment. Such arrangements should be discussed with [the Associate Dean for Faculty](#).

The chair should regularly review the department's planned offerings to eliminate small courses. When a small course is not canceled (and the instructor not reassigned either that same quarter or shortly thereafter), the chair should be prepared to justify that decision. Obviously it is preferable for the department itself to take the initiative and restrict the number of small courses by devising an overall curricular strategy than for the Dean's Office or other administrative body simply to cancel courses whose enrollments do not attain a certain minimal floor. For instance, two consistently small courses in related fields might be combined, or a small course that is important to departmental majors might be offered in alternate years (and advertised as such). However the department chooses to proceed, the chair must realize that small courses can be permitted only under special circumstances vital to the larger educational mission of the College.

14. ENROLLMENT CEILINGS.

It is the department's responsibility to establish a coherent policy about course ceilings--the point at which a course may be closed. The Dean's Office monitors enrollment data for anomalous cases. Enrollment ceilings should be adjusted or eliminated whenever possible in order to accommodate students' desires to enroll in required courses in a major or minor or in key elective courses.

15. ABSENCE FROM CLASS.

Should an instructor need to be absent, he or she should arrange to cover the missed class session either by making it up or asking a colleague to cover. Should a department wish to use its own funds to compensate a non-continuing faculty member for this task, it may do so, but it should be in touch with the Dean's office about amounts.

16. STUDENTS AS SUBJECTS OF RESEARCH.

If a faculty member intends to use students as subjects in research, he or she must receive approval from the Institutional Review Board. For more information, see the Institutional Review Board website at: <http://irb.northwestern.edu>.

17. HUMAN SUBJECTS IN UNDERGRADUATE RESEARCH.

This is an extremely sensitive area and one that is subject to increasingly restrictive rules. It is best to err on the side of caution and any questions should be cleared before the beginning of the quarter with the Office for the Protection of Research Subjects. In general, if the student is not conducting research with at-risk populations (e.g., students, medical patients, prisoners) and the questions they ask informants are not sensitive (e.g., about private life or behavior), and the research is unlikely to ever be used in publication, then it is up to the adviser to discuss with students the importance and modalities of protecting human subjects. For example, the adviser may think it important to have informed consent forms as part of the data gathering or some standard de-briefing protocol, even if not required by the IRB (but still appropriate for subjects). If the research is something that the student (alone or with the faculty mentor) might someday publish, he or she must go through the normal human

subjects process. Consult the IRB website for policy and procedure at <http://irb.northwestern.edu>. Because of the time required for approval, classroom projects should avoid activities that are invasive or intrusive.

Graduate research, by contrast, is subject to all regulations that apply to faculty work. Failure to comply with regulations and to keep abreast of rule changes while the research is underway may result in serious repercussions for the student. In the extreme case, a student may be prohibited from using data collected in violation of procedures.

C. GRADES AND GRADING.

1. GRADING.

The College has no policy concerning the distribution of letter grades. Many departments provide new faculty members with a list of their own rules and policies, along with current information about the relative distribution of grades in various courses within the department.

2. GRADE CHANGES.

The College faculty's policy on late changes of grades is unambiguous: a final grade may be changed only if a clerical or computational error is later discovered. All requests for changes of grade must be approved by the Office of Undergraduate Studies and Advising, which requires a written explanation of any proposed change. *Grade changes involving the submission of extra work by a student, reexamination of a student, or reevaluation of a single student's work after the grades for all other students in the course have been determined and submitted for record are not permitted.* It is recommended that new faculty members be informed of this strict policy concerning grade changes.

As of Fall 2011, submission of grade changes are done electronically.

3. FEEDBACK EARLY IN QUARTER.

Faculty are strongly encouraged to ensure that at least some graded work is in the hands of students prior to the deadline for dropping classes (the sixth week of the term).

Faculty may now report mid-term grades for students who are earning a C- or below in the course so far. This is done using the grade roster in CAESAR. This information goes directly to the student's academic adviser in his or her school. Chairs should bring this tool to their faculty's attention, and emphasize its importance in supporting struggling students.

4. INCOMPLETE WORK AND MISSED EXAMINATIONS.

Students are expected to complete all work in each of their courses by the appropriate deadline. They are not granted permission to make up a final examination or complete other assigned course work after the end of a quarter except in unforeseen circumstances clearly beyond their control. Instructors may assign an incomplete (Y) or administer a makeup final examination only with prior permission from the Office of Undergraduate Studies and Advising. Students who believe they have sufficient reason to obtain an incomplete must submit a Petition for an Incomplete to this Office (the forms may be obtained there). The decision to grant a student an incomplete originates with the instructor. Once a faculty member approves an incomplete, the Dean's Office reviews the petition to ensure that it is consistent with College policy. The petition will also be reviewed in the context of the student's academic record. If a faculty member does not wish to communicate a denial to a student, please instruct them to contact the Assistant Dean for Academic Standing and direct the student to the dean. The faculty member should not sign the Petition for an Incomplete if he/she will not approve the request.

Students who have been making good progress in a course, but who miss the final exam or final assignment, may be assigned a grade of X by the instructor. The Assistant Dean for Academic Standing will research the X to see whether there is legitimate reasons to allow the student to make up the work (for instance, illness).

An incomplete should not be given when a student's work is unfinished because of negligence or because a student desires additional time to improve performance on pending assignments or submit missing assignments. In cases of negligence, it is the professor's responsibility to determine what effect the uncompleted work should have on the student's grade.

Faculty should communicate with AccessibleNU (<http://www.northwestern.edu/accessiblenu/>) if students with a documented disability request an incomplete as a reasonable accommodation for their condition. AccessibleNU can provide information about formal accommodations for registered students, as well as guidance regarding requests from unregistered students requesting a modification (informal accommodation) to your syllabus.

Grade Assignment (Y, X, or NR)

Grades of X are given when students have been making good progress in a course, but miss the final exam without advance notice. It is the student's responsibility to communicate any unforeseen circumstances to the faculty member in a timely manner after missing an exam. If a faculty member assigns a student an X, he/she should either a) submit a Petition to Receive an Incomplete if he/she wishes for the student to make-up the exam, or b) submit a change of grade form to assign the student the grade he/she earned in the course if the make-up is not allowed.

Grades of Y are given to students who have not completed assigned work, such as course papers, because of illness or other circumstances beyond their personal control. To be eligible, a student must have engaged in the course throughout the entire quarter and be able to pass the course when the missing assessments are completed. An incomplete grade should not be assigned to accommodate students' negligence or because they desire more time to improve their performance on any assignments. Instructors should not assign an incomplete grade to students who have disengaged from the course early in the term. An incomplete is also not appropriate if the faculty member does not intend to permit a

student to make up any outstanding assessments. In these cases, students should be assigned the grade that they earned and be directed to a Weinberg adviser to discuss their academic progress. If a faculty member has specific questions about a student's status, he or she should contact the Weinberg College Advising or Dean's offices for assistance.

NR status is only appropriate for pending academic integrity cases. Faculty should assign a grade for all of their students by the deadline assigned by the Registrar. An incomplete grade is the appropriate way to authorize a student to submit assessments after the deadline.

Completing missed assignments

Students should request permission for makeup final examinations at the Office of Undergraduate Studies and Advising no later than the first week of the following quarter. <————— Is this accurate? Makeup examinations are normally scheduled by the department at a date early in the following quarter.

In-class exams must be taken during the scheduled exam time. Students may not take exams early. Both in class and in advising meetings, students should be encouraged to look at the exam schedule of courses they want to take so that they can plan travel, internship start dates, etc. accordingly. It is not within the authority of individual faculty members to make exceptions to this policy.

5. SUBMITTING GRADES

Faculty members are responsible for submitting grades to the Registrar on time. All faculty members must now submit grades electronically. The deadline for submitting grades in a given quarter is 3:00 on the Monday after exams end. New faculty members should be apprised that this is an absolute deadline, and electronic submission through the grade roster is no longer available at 3:01. In the event of missing the deadline, faculty must submit each student's grade individually as an electronic grade change. This is a very onerous process, especially for large classes.

6. GRADE DISPUTES.

While students have the right to complain to the chair about what they consider excessively rigorous grading, the responsibility for individual grades remains solely with the instructor. In a case in which *prejudiced or capricious* grading is alleged, however, a student may petition the chair to convene a grade dispute committee within the department. The department chair may decide whether or not to convene a grade-dispute committee after evaluating a student's petition. If a grade dispute committee recommends a change of grade, the department chair should submit a change-of-grade form directly to the Associate Dean for Undergraduate Academic Affairs, accompanied by a full, written explanation.

If the department chair declines to convene a grade dispute committee, or if satisfaction is otherwise not reached at the departmental level, the student may ask the associate dean for undergraduate academic affairs for permission to petition the College's Appeals Committee. Such appeals are allowed only when there is prima facie evidence of capricious or prejudicial grading. In considering such appeals, the standard for prejudiced and capricious grading used by the Associate Dean for Undergraduate Academic Affairs is strict: a student must demonstrate that he or she was treated differently from others in the class because of prejudice against him or her, or that the professor manifestly disregarded the work students did in arriving at the grades.

Chairs should advise faculty, new and old, that they should have their grading policies posted clearly on their syllabi. Students should expect to have the right to see graded work and receive an explanation of a grade based on the published grading policy in a class.

Nothing in this paragraph shall limit a student's right under the Family Educational Rights and Privacy Act of 1974 to request that a grade be changed on the grounds that it is inaccurate, misleading, or in violation of the privacy rights of a student.

7. POSTING GRADES; RETURNING STUDENT WORK.

The University may not publicly display students' scores or grades in association with names, other personal identifiers, or information that might allow the student to be personally identified. Student Social Security Numbers are no longer used in CAESAR and may not be used as identification in any way. The following guidelines have been issued by the Registrar:

Do not display student scores or grades publicly in association with names, Student ID Numbers, or other personal identifiers. This includes posting grades on learning management systems.

Do not post class lists or Final Grade Collection Lists, even with the names removed. If scores or grades are posted, use the last four digits of the Student ID Number instead, sorted in **numerical** order. Displaying the list in alphabetical order allows students to infer other students' identities. Again, this includes posting grades on learning management system.

Do not put papers or lab reports containing student names and grades in publicly accessible places. In particular, do not put papers into a common box where students must go through everyone's papers to find their own. Students must not have access to the scores or grades of others in the class.

Log in to CAESAR (<http://www.northwestern.edu/caesar/>) to view class rosters and student photos, current and past, to email any or all students registered in a class, and to submit midterm and final grades.

8. RETAINING PAPERS, TESTS, AND RECORDS

Tests, papers, and other assignments should be made available to students for at least two weeks into the subsequent academic quarter (where the term subsequent to spring is considered to be the following fall quarter). Instructors are encouraged to declare their policy on retention and accessibility of students' work on their course syllabi.

University policy requires faculty to retain records of grades awarded in their courses for at least one year, for verifying the Registrar's records and other purposes. Weinberg College strongly urges faculty to keep these records for at least three years, so this information can be used in

selecting former students from whom to solicit letters of recommendation for promotion and tenure cases, teaching award nominations, etc.

Records of departmental inquiries into grade disputes should be kept for a minimum of four years, to ensure their availability prior to students' graduation.

9. SENIOR WEEK

The week in June after spring final examinations but before Commencement is a crucial time for the processing of grades. Sometimes faculty leave town without turning in their grades or without leaving contact information with their chairs, and the result can be delayed graduation for affected seniors. Thus, during Senior Week department chairs should ensure:

- that all departmental faculty submit final grades to the Registrar by the deadline (usually Monday noon);
- that copies of all final grades are retained in the departmental office;
- that emergency contact information is maintained in the departmental office for all faculty (especially visitors);
- that an acting chair is clearly designated if the chair will be away from campus. Any problems with grade reporting that are brought by the Registrar to the attention of the Associate Dean for Undergraduate Academic Affairs will be promptly (and urgently) referred to department chairs.

10. RELEASE OF STUDENT INFORMATION.

Access to and disclosure of students' educational information and records are governed by the Federal Educational Records Privacy Act (FERPA). Details can be found in the Northwestern University FERPA statement maintained by the Office of the Registrar: http://www.registrar.northwestern.edu/academic_records/FERPA_policy.html. It is important for faculty to realize that such information may not be disclosed to third parties (aside from university faculty and staff with a legitimate need to know), not even to students' parents, without students' written consent.

If, for example, a parent calls and wants to talk about a student's grade in a course or other academic or disciplinary matter that relates to the student, a faculty member should advise the parent that federal law prohibits discussion of these matters without the student's express written permission. To obtain the student's express written permission, the faculty member, the student, or the parent can download a release form from the University Registrar's website http://www.registrar.northwestern.edu/forms/gen_consnt-1.pdf. The student must complete and sign the form and return it to the faculty member before the latter is free to discuss the student's work. A faxed copy of the form is acceptable.

D. P/N GRADING.

1. RULES FOR P/N GRADING IN WEINBERG COLLEGE.

A pass/no pass (P/N) grading basis is available in many Weinberg College courses, to allow students to explore new areas outside their usual sphere of interest without endangering their academic standing. Each WCAS course is designated by the instructor as either P/N-allowed or P/N disallowed during registration, prior to the start of classes. **Thus, the P/N option is available either to all students in a given course or to none of them.** Students who wish to do so must select the P/N option by the end of the third week of the quarter. Faculty are not informed of which students have chosen the P/N option. Faculty submit regular letter grades to the Registrar at the end of the quarter, and the Registrar converts any grade of D or better to P (and lower grades to N) for students who have selected the P/N option. These fundamental P/N regulations are binding upon all students registered for Weinberg College courses, regardless of whether their home school is Weinberg College, a non-Weinberg College undergraduate school, or The Graduate School. Exceptions for individual students will not be granted.

Weinberg College students are subject to additional limitations on use of the P/N grading option. Only one course per quarter may be taken P/N, and the total number of courses taken P/N may be no more than six. Only free elective courses are open to P/N. Courses taken to fulfill major or minor requirements and distribution requirements, and all courses used to attain Weinberg College foreign language proficiency, must be taken for a regular letter grade.

2. TARGET GRADE-P/N SYSTEM.

In 1995 the Weinberg College faculty *rejected* a Target Grade-P/N system, while the schools of Education and Social Policy, Communication, and Music approved the Target Grade plan. Under this plan, a student can select, at the time of registration, a target grade for the course. Should that target be reached or exceeded, the earned grade is recorded on the transcript. If the student earns a grade below the selected target grade, a "P" or "N" is recorded. Questions about how the College treats Target P/N grades earned in Education and Social Policy, Communication or Music courses should be directed to the Office of Undergraduate Studies and Advising.

E. ACADEMIC INTEGRITY.

The University policy regarding academic integrity appears in the *Undergraduate Catalog*. In Weinberg over the past years a framework has been developed that consists of a list of possible violations along with appropriate sanctions. This is not an exhaustive list, but its purpose is to help the College achieve a certain consistency in relation to the sanctions that are imposed. The document also includes possible mitigating and aggravating considerations. The sanctions range from a letter of reprimand, through a one-quarter, two-quarter, and three-quarter suspension, to permanent exclusion. It is very important that students understand that a typical academic integrity violation can result in a one to three-quarter suspension. In other words, there is no necessary connection between a first-time offense and a letter of reprimand. This often surprises students. Furthermore, a student can be permanently excluded as a result of a first and single offense, depending on the nature of the offense. Chairs should strongly encourage faculty to communicate with students, on the syllabus and in class, how seriously the College regards academic integrity violations and that suspension is the basic sanction.

1. PROCEDURES IN A CASE OF SUSPECTED DISHONESTY.

In Weinberg College, the Associate Dean for Undergraduate Academic Affairs and the Assistant Dean for Academic Integrity are delegated to act for the faculty. *An instance of apparent dishonesty in academic work must be reported to the Assistant Dean for Academic Integrity as soon as it is noticed.* This obligation stems from a faculty member's responsibility to maintain fairness for all students with regard to the basis for grading. chairs should acquaint all faculty members and teaching assistants, especially those from abroad who are new to American university life, with the College's standard of academic honesty and its procedures for dealing with violations. It must be emphasized that *instructors may not take personal action, but should involve the Assistant Dean for Academic Integrity immediately.*

In most cases, only the instructor of the course, any TA involved, and the Assistant Dean should discuss the incident. If a faculty member feels it is necessary to discuss the suspected dishonesty with the chair or with colleagues, it is important that the student's identity not be revealed to them. When consulted about a case of suspected academic dishonesty, the chair can best respect the integrity of the process by immediately referring the faculty member to the Assistant Dean for Academic Integrity. Contact with Mark Sheldon can be made directly either by phone or email. The phone number is 847.491.8918 and email is sheldon@northwestern.edu.

When an offense is alleged, the instructor is asked to submit a brief, written description of the circumstances, together with all relevant documents to the Assistant Dean. Depending on the nature of the documents, there are two ways in which this can be accomplished. If the documents are electronic, it is acceptable, even preferable, to submit them as email attachments to Mark Sheldon (sheldon@northwestern.edu), copying his assistant Kelly Daniels (kldaniel@northwestern.edu). If the documents are in paper form, these materials should be hand-carried to 1908 Sheridan Road and delivered to Kelly Daniels, and NOT put into the campus mail. Specific guidelines for this letter and the supporting documents will be supplied to the instructor when he or she contacts the Assistant Dean for Academic Integrity. On coming to a judgment, the Assistant Dean observes the principles and practices set forth in "Procedures for Cases of Alleged Academic Dishonesty," a pamphlet that is available from the Office of Undergraduate Studies and Advising and online at <http://www.weinberg.northwestern.edu/handbook/integrity/index.html#academic>. A student may appeal the Assistant Dean's judgment to the Committee on Appeals of Weinberg College and, after action by the Appeals Committee, to the University Provost.

2. MEASURES TO PREVENT ACADEMIC DISHONESTY.

Faculty are expected to explain to their students their responsibility to acknowledge properly the sources they use in preparing written work. The guidebook "Academic Integrity at Northwestern: A Basic Guide" is distributed to each student entering the College and is available to students and faculty members through the Office of Undergraduate Studies and Advising. *A Faculty Guide to Academic Integrity at Northwestern University* offers detailed suggestions to faculty on preventing and detecting dishonesty; it is available through the Office of the Provost (<http://www.northwestern.edu/provost/policies/academic-integrity/index.html>). A brief summary of its recommendations is presented below.

EXAMINATION SECURITY. Each department should institutionalize procedures that will safeguard examination security. In no event should undergraduate students be given custody of or other responsibility over examinations prior to their administration.

EXAMINATION SEATING. Efforts should be made to place students in alternate seats during examinations. In circumstances where it is known in advance that this will not be possible, other measures, such as the use of alternating examination formats, should be used.

AVAILABILITY OF PAST EXAMINATIONS. Prior to every examination the instructor should determine whether or not the examination is to be placed on file (in either the library or with the departmental secretary) for availability to students in the future. Examinations that are to be placed on file need not be collected following administration. Examinations that are not to be placed on file should be appropriately labeled and should be collected and destroyed.

NOTICE OF ACADEMIC REQUIREMENTS. Instructors should inform students of the academic requirements of each course. Such information should include (a) notice of the scope of permitted collaboration, if any; (b) notice of the conventions of citation and attribution within the discipline of the course; and (c) notice of the materials that may be used during examinations and on other assignments.

Each department should establish and disclose a consistent policy with regard to the proctoring of examinations.

Faculty members must ensure that their teaching assistants understand and are able to implement and comply with these basic policies.

Instructors may determine whether electronic devices such as cell phones or calculators may be brought into the classroom, especially during examinations.

3. CHECKING THE INTERNET FOR POSSIBLE PLAGIARISM.

By fall 2015 faculty members will use Canvas as their learning management system, and Blackboard will have been phased out. The plagiarism software available in Canvas is Turnitin. Questions and concerns about student work should be directed to the Assistant Dean for Academic Integrity, Mark Sheldon (Sheldon@northwestern.edu). Instructors using Canvas should include, in their syllabus, the following statement: "It is Northwestern University policy that all student work may be analyzed electronically for violations of the University's academic integrity policy and may also be included in a database for the purpose of testing for plagiarized content."

F. ADVISING.

1. ADVISING FOR FIRST-YEAR STUDENTS.

Every first-year student selects a first-year seminar during the summer before entering Northwestern; the instructor of that seminar is the student's adviser for the fall quarter. Even before they arrive, first-year students are encouraged to initiate contact with both their adviser and the other members of their advising group using the faculty member's learning management system. Although not expected to take up the work of advising

full-time during the summer months, first-year advisers should anticipate that at least some of their students will introduce themselves or broach questions by email. Advisers are strongly encouraged to make use of their LMS to post greetings and/or announcements relating to their fall-quarter course. Weinberg faculty receive \$1000 in their research account for this fall-quarter advising.

First-year students in a few special programs (HPME, MMSS, ISP, BA/BMUS) are advised by faculty associated with those programs, each of whom typically advises 20 students. The College provides departments with \$1000 to each of these advisers to be used as described above.

The process of choosing faculty to serve as first-year advisers is initiated in the winter by the Assistant Dean for First-Year Students, who informs each chair of his or her department's quota of first-year advisers and enlists the chair's help in obtaining the services of faculty members particularly well-qualified to serve in these positions.

2. THE WEINBERG COLLEGE OFFICE OF UNDERGRADUATE STUDIES AND ADVISING.

The Office of Undergraduate Studies and Advising (OUSA) is the branch of the Dean's Office responsible for academic advising and standing, the undergraduate curriculum, undergraduate research, special programs, and administering the faculty's rules regarding academic conduct. Non-major advising is centered there. OUSA staff are spread among three buildings: 1908 Sheridan, and 619 Emerson, and 1922 Sheridan. See the OUSA staff directory for locations of particular people (<http://www.weinberg.northwestern.edu/admin/tools/directory-by-function.html>) and general phone numbers. Undergraduate students with academic problems should be referred to the staff in either 1908 Sheridan (847-491-8916) or 1922 Sheridan (847-491-7560); staff members can answer many questions about academic requirements and options and the College's policies and procedures, or direct them to the proper person if they cannot handle the inquiry themselves. The link that faculty should consult for advising information is <http://www.weinberg.northwestern.edu/faculty/advising/>.

The Weinberg Advising Office (1908 Sheridan and 619 Emerson) comprises 17 College Advisers, one of whom serves as Director of Advising in a three-year rotating appointment. Beginning in winter quarter, first-year students will be assigned a College Adviser who will continue to work with him or her until graduation on a wide variety of issues. While departmental advising linked to major or minor programs usually stresses the student's intellectual formation in a field of study, the general college advising program seeks to help students pull together the big picture of college life, including progress towards degree requirements, integration of major and minor fields of study, study abroad possibilities, field study programs, applications for post-graduate fellowships, career plans, graduate applications, and so on. Since College Advisers become familiar with all aspects of students' undergraduate experience and also cultivate a wide range of contacts within the university as a whole, this arrangement encourages continuity and advice informed by a comprehensive point of view; thus, College Advisers complement rather than replace the more focused academic advising students receive in their departments.

3. DEPARTMENTAL AND PROGRAM ADVISING.

Departmental faculty members are responsible for advising students who major or minor in their fields or who are considering that choice. Each department and program names a faculty director of undergraduate studies who coordinates all aspects of the unit's undergraduate program, including advising. He or she may be aided by other faculty members designated as undergraduate advisers. Departments are encouraged to produce newsletters for their majors and to conduct exit interviews with graduating students for self-study purposes.

4. ADVISING DURING SUMMER AND NEW STUDENT WEEK.

Incoming first-year students are required to provide information in an online dossier so that the first-year seminar advisers and Weinberg College advisers can familiarize themselves with their advisees before they arrive; information includes AP scores, possible major choices, and a preliminary fall-quarter schedule. Students complete their dossiers before they can pick their top ten first-year seminars. Incoming students also participate on a Facebook page, where they can post academic questions, and get answers from a number of faculty in key programs (math, chemistry, foreign languages, the advising office, etc). First-year students now come much better prepared for in-person advising and fall quarter registration during new-student week.

It is essential that enough faculty (including the director of undergraduate studies) in each department and major be readily available throughout the week to answer questions from first-year students, transfer students, from first-year advisers, and from advanced students who return to school at that time. It is recommended that in the case of transfer students, departments and programs coordinate and consult with the Weinberg Advising Office as the chair or DUS makes plans to meet transfer majors individually or as a group. See also subsection 2.

5. STUDY ABROAD.

The University's Study Abroad Office (630 Dartmouth Place, extension 467-6400, studyabroad@northwestern.edu, <http://www.northwestern.edu/studyabroad/>) advises students who wish to pursue foreign study for Northwestern credit. The office will provide counsel concerning University criteria for receiving such credit and information about foreign study programs which provide good educational experiences. Each department and program, usually through its director of undergraduate studies, determines whether courses taken abroad receive credit toward its major or minor. A number of Weinberg College Advisers have particular expertise in Study Abroad and work closely with that office.

The International Program Development Office also offers programs abroad that are designed for Northwestern students (see <http://www.ipd.northwestern.edu/>), as does the Buffett Institute (<http://buffett.northwestern.edu/>).

6. ACADEMIC SERVICES FOR STUDENT-ATHLETES.

a) ADVISING AND TUTORING.

All students participating in intercollegiate athletics are provided with additional academic support through the Academic Services and Student

Development Office in the Department of Athletics and Recreation. The services available include a first-year core tutoring program and a full evening tutoring program.

b) FOLLOW-UP.

Academic Services welcomes calls from faculty members regarding student-athletes. That office sends out midterm grade and attendance requests each quarter; responses help the Athletic Department deal promptly with potential problems. Both performance and attendance of first-year students are of special concern. To contact the Assistant Athletic Director for Academic Student Services and Student Development or any of the Academic Advisors, call 491-7890.

c) CLASSES OR EXAMS MISSED DUE TO ATHLETIC SCHEDULE.

Competition schedules are reviewed and approved by the faculty Committee on Athletics and Recreation (CAR). All student-athletes are expected to request letters from Academic Services verifying the dates on which classes will be missed due to competition schedules. Every student-athlete should inform instructors at the beginning of the quarter about potential conflicts. If problems arise from that conversation, the faculty member should call Academic Services at 1-7890. Both the Big Ten and the Athletics Department try to minimize the number of class days missed.

When it is necessary to administer a make-up midterm, Academic Services can arrange for proctoring. Missed final exams occur very infrequently and are handled separately through CAR and the appropriate office.

Unusual problems with student-athletes and their schedules should be reported to the Associate Dean for Undergraduate Academic Affairs.

7. UNIVERSITY ACADEMIC ADVISING CENTER (UAAC)

UAAC Provides pre-health professions advising for undergraduates, and advising on inter-school issues, including inter-school transferring. On its website is a list of tutoring and academic support resources. <http://www.northwestern.edu/advising-center>.

8. COUNSELING AND PSYCHOLOGICAL SERVICES [CAPS]

The University's counseling services (CAPS) provide confidential consultations to students in a variety of stressful situations. (The counselors are trained to help students work through developmental needs, emotional difficulties, adjustments, and crises.) Faculty should inform themselves about these services and recommend them to students in appropriate situations. It may be useful to emphasize the counseling side of CAPS; no "psychological" judgment is implicit in making the suggestion. (<http://www.northwestern.edu/counseling/>)

9. ACCESSIBLE NU

Northwestern University and [AccessibleNU](http://www.northwestern.edu/accessiblenu/) (<http://www.northwestern.edu/accessiblenu/>) are committed to providing a **supportive environment within which to meet the high standards of a Northwestern education**. Additionally, the University works to provide all students with disabilities a learning environment that affords them equal access and reasonable accommodation of their disabilities. Chairs should encourage faculty members to include a statement on their syllabi that informs students about how to get appropriate help in the event they have diagnosed disability. The following is an example of a statement provided by [AccessibleNU](http://www.northwestern.edu/accessiblenu/):

Any student with a verified disability requiring special accommodations should speak to the course instructor and to the Office of Services for Students with Disabilities (SSD) (847-467-5530) as early as possible in the quarter, preferably within the first two weeks of the course. All discussions will remain confidential.

10. THE DEAN OF STUDENTS OFFICE

Weinberg advisers and assistant deans work closely with the assistant deans in student affairs on behalf of students whose personal, social, medical, or psychological circumstances affect their academic work. The Dean of Students Office oversees medical leaves of absence; its assistant deans are resources for advisers, faculty members and staff in the case of any student in crisis.

G. TEACHING ASSISTANTS.

1. ALLOCATION OF TEACHING ASSISTANTSHIPS.

A teaching assistantship should benefit both the educational experience of undergraduates and the professional training of graduate students. Graduate assistantships that support teaching assistants are allocated to College graduate programs directly by The Graduate School as part the support packages granted to students upon admission. While the College attempts to respond to a department's pressing need for additional assistantships, the total number of awards in the College is fixed. Any increase in allocation for one department means a decrease for another. Further information on appointment of teaching assistants can be found in section XVI.E.

2. TRAINING OF TEACHING ASSISTANTS.

Teaching assistants play a vital role in the educational mission of the College. It is essential that the department closely monitor the performance of its teaching assistants and that it assist and encourage their development as teachers. Some assistance is available at the University level; the Searle Center for Advancing Learning and Teaching offers various services to improve the teaching skills of teaching assistants. chairs may obtain further information on available help from the Searle Center for Advancing Learning and Teaching (extension 7-2338). The center also

maintains a library of articles, books, and videotapes on various aspects of college teaching; maintains an extensive website with teaching-related resources; conducts workshops for departments; and hosts a series of public forums on teaching, featuring outstanding teacher/scholars from the Northwestern faculty: <http://www.northwestern.edu/searle/>.

Departments are urged to develop their own training program that recognizes the unique teaching needs of that specific field. These departmental efforts will supplement the supervision and mentoring undertaken by faculty members in charge of a course using teaching assistants. It is imperative that teaching assistants with duties that involve contact with students be fluent in English.

Departments should also make sure that teaching assistants - especially those coming from abroad - fully understand the norms of American academic life. Among the important issues are authority in the classroom, sexual harassment policies, standards of grading, and policies and procedures concerning violations of academic integrity.

3. GRADERS.

On occasion, graduate students may be hired to help with grading duties in larger classes. Graders should be deployed in a way to conserve and stretch more costly resources. In general, graders should be used to enable faculty members to teach larger classes than they would be able to handle independently, or to teach them more effectively without sacrificing quality. chairs should ensure that the allocation of graders produces a tangible gain in the department's capacity to enroll undergraduates.

Principles governing the allocation of graders:

- Even with a grader, the instructor should share the task of grading his or her students' work;
- The availability of a grader for any given course is contingent on enrollment;
- If a course has one or more teaching assistants, graders should not be necessary;
- The College will not pay for graders in 400-level courses;
- Graders may be paid on a per student or per hour basis instead of at a fixed rate. In any case, the amount paid should not exceed \$400 for classes of 60 and more with routine grading of midterm and final;
- Undergraduates may be used as graders only in the role of "Peer Assistant," as described below
- Temporary wages may not be used for purposes other than graders without the agreement of the Dean's Office.

4. PEER ASSISTANTS.

Departments may make limited use of Undergraduate Peer Assistants (PAs) to increase the amount of helpful feedback provided to students in a course.

Before employing PAs, a department must file a plan with the Associate Dean for Undergraduate Academic Affairs. Approval of the plan by the Associate Dean is required before recruiting can begin. The plan should specify:

- The approximate number of PAs to be recruited and in which courses they will be used,
- What tasks they will perform,
- What qualifications are necessary,
- The number of hours each will be expected to work, the rate of pay, and the source of funds,
- What training and oversight they will receive and from whom.

PAs must be trained in the tasks they are to perform. The training should deal explicitly with ethical issues of serving in a position of authority over their peers. Also, PAs must be closely overseen by either a faculty member or an experienced graduate teaching assistant. Supervision should be by the same person throughout the quarter and each activity of the PA should be specified by that supervisor.

Except in special cases and with the advance approval of the Associate Dean for Undergraduate Academic Affairs, only juniors and seniors may be employed as PAs and their use is restricted to 100- and 200-level courses.

Typically, PAs may correct problem sets *which are not used in determining the grade for the course*, and should play no role in marking exams, homework, laboratory exercises and the like that are weighted in determining the course grade. Any exception to restriction must be proposed to the [Associate Dean for Undergraduate Academic Affairs](#) for approval, and the proposal must provide ample evidence that there would be strict controls and maximum faculty oversight.

Undergraduates may also serve as laboratory assistants when no grading is involved. To avoid any possible appearance of impropriety, PAs should not have advance access to examinations.

H. UNDERGRADUATE INVOLVEMENT IN DEPARTMENTAL LIFE.

Evidence suggests that student involvement in the scholarly and social life of the department significantly stimulates education. Experience suggests that a number of activities and approaches help to improve our students' sense of involvement in an intellectual community. Some funds are available to support departments that demonstrate creativity and initiative in this regard.

The College maintains a small budget that supports the entertainment of undergraduate students, including departmental receptions for graduating seniors. Requests for such support should be made in writing to the Assistant Dean for Academic Standing, well in advance of the occasion.

The Assistant Dean for First-Year Students administers funds for special activities within first-year seminars, such as field trips.

For advice about establishing an undergraduate association or club, involving students in departmental committees, supporting the Student Advisory Board, promoting academic and pre professional advising, inviting students to colloquia and seminars, recognizing student achievement,

and encouraging undergraduate research, contact the Office of Undergraduate Studies and Advising.

Every department or program appoints two Student Advisory Board members, and these students should play a major role in bringing together faculty and student interests. Chairs are encouraged to take the selection of their representatives to the Dean's Student Advisory Board very seriously, because the Dean relies on this body for well-considered student opinion and as a source of student members of College committees.

VIII. THE CURRICULUM

- A. THE CURRICULUM.
 - 1. MAJORS AND MINORS.
 - a) "EX-CERTIFICATE" MINORS.
 - b) COURSES FOR A MAJOR OR MINOR.
 - c) PROPOSING A NEW MAJOR OR MINOR.
 - d) ALTERING A MAJOR OR MINOR.
 - 2. FIRST-YEAR SEMINARS.
 - a) MENTORING.
 - b) ASSISTANCE IN ACHIEVING GOALS FOR WRITING.
 - 3. WRITING PROFICIENCY.
 - 4. DISTRIBUTION REQUIREMENTS.
 - 5. PROFESSIONAL LINKAGE SEMINARS.
 - 6. INDEPENDENT STUDY AND UNDERGRADUATE RESEARCH SUPPORT.
 - 7. HONORS.
 - a) USE OF THE TERM "HONORS" IN THE COLLEGE.
 - b) DEPARTMENTAL AND PROGRAM HONORS.
 - c) GPA-BASED HONORS.
- B. SCHEDULING COURSES AND COURSE REGISTRATION.
 - 1. PLANNING QUARTERLY OFFERINGS.
 - 2. TIMES.
 - 3. CLASSROOM RESERVATION.
 - a) GENERAL PURPOSE CLASSROOM SCHEDULING GUIDELINES:
 - b) DEPARTMENTALLY MANAGED CONFERENCE/SEMINAR ROOMS:
- C. READING PERIOD AND FINAL EXAMINATIONS.
 - 1. READING PERIOD.
 - 2. RULES CONCERNING FINAL EXAMINATION TIMES.
 - 3. DUE DATES OF "TAKE-HOME EXAMS" AND TERM PROJECTS.
- D. THREE RELATED PUBLICATIONS AND THEIR DEADLINES; THE REMOVAL OF COURSES FROM CATALOG AND CURRICULUM.
 - 1. "UNDERGRADUATE CATALOG" (COURSE CATALOG).
 - 2. INFORMATION REGARDING DISTRIBUTION REQUIREMENTS.
- E. COURSE AND PROGRAM CHANGES: THE CURRICULUM COMMITTEES.
 - 1. CURRICULAR POLICIES COMMITTEE.
 - 2. CURRICULAR REVIEW COMMITTEE.
 - a) NEW-COURSE PROPOSALS
 - b) PROGRAMS OF STUDY FOR MAJORS AND MINORS.
 - c) INTERIM APPROVAL.
 - d) AD HOC MAJORS.
 - e) LESSER CHANGES.
- F. INSTRUCTIONAL SUPPORT.
 - 1. VISITORS.
 - 2. CURRICULUM DEVELOPMENT.
 - 3. COURSE ENHANCEMENT GRANTS.
 - 4. SEARLE FAMILY GRANTS FOR INNOVATIVE TEACHING.
 - 5. INSTRUCTIONAL SUPPORT: COMPUTERS.

Through a well-ordered yet wide-ranging curriculum, the faculty ensures an education that is appropriately broad and deep and that both provides grounding in a discipline and highlights intellectual connections across disciplinary lines. The faculty at large and through its curricular committees is responsible for ensuring that standards are maintained in all courses and that Weinberg programs and courses make sense as part of a larger whole, not merely as isolated offerings. This chapter takes up the various dimensions of the curriculum and provides advice on associated procedural mechanics such as scheduling and instructional support. Information on issues related to grading or academic integrity may be found in the chapter on teaching.

A. THE CURRICULUM.

1. MAJORS AND MINORS.

Each academic department and each permanent academic program with a formal faculty governing committee typically offer one major and one minor, the principal title of which shall be the title of the department or program. For a number of recent interdisciplinary majors and minors, the Dean has agreed to appoint a standing committee that first proposes a major or minor to the faculty and then, if it is approved, acts as its governing committee.

Requirements for a major typically consist of a coherent program of 11 to 22 courses, not including prerequisites. The majors offered by the programs in African Studies, Geography, International Studies, Legal Studies, Mathematical Methods in the Social Sciences and Science in Human Culture are adjunct majors; students selecting them must also fulfill the requirements for a second, freestanding major. A student may elect more than one major, but courses used to fulfill requirements of one major cannot be used to fulfill requirements of another major, except for related-course requirements or when special provisions have been approved for double-counting. All students must declare their primary major by the end of their sophomore year. A student must earn a grade of C- or better in each course required for the major.

Minors consist of six to nine courses, including substantive work at the 300-level, sufficient to ensure reasonable depth and coherence. Coursework should be clearly specified either by course title and number or by explicit guidelines. Interdisciplinary programs that previously offered certificates now offer minors instead (see below for special rules). Students are not required to complete a minor. A student must earn a grade of C- or better in each course required for the minor. Except in the case of "related courses" and in the case of the eight "ex-certificate" minors (see below), courses used to fulfill requirements for the student's major(s) cannot be used to fulfill the requirements for the minor.

A student's total number of majors plus minors may not typically exceed three. (This is called the **Rule of Three**, and was approved by the faculty in spring 2009.) Exceptions require permission from the Weinberg College Advising Office and cannot be granted during the first year. A sophomore, junior, or senior considering exceeding this limit should meet with his or her College Adviser to discuss options and procedures.

a) "EX-CERTIFICATE" MINORS.

Four interdisciplinary minors - Gender Studies, Jewish Studies, Latin American and Caribbean Studies, and Science in Human Culture - differ from those described in the preceding paragraph by having slightly more liberal double-counting rules: at least five of the courses taken to fulfill the minor requirements must be free-standing, i.e., may not also be counted to meet the requirements of the student's major(s). **These minors were existing certificates in the 1990s, when the Weinberg faculty approved the creation of minors. They were grandfathered out of the stricter double-counting rule.**

b) COURSES FOR A MAJOR OR MINOR.

Departments and programs should review their major and minor requirements periodically and must ensure that enough courses, normally at the 200 and 300 level, are taught each year so that students in their third and fourth years of study can complete their studies smoothly. Electives should normally be offered at least every other year; required courses should be given as often as necessary. Proposals for new courses must be submitted by the Chair or Director of Undergraduate Studies to the Assistant Dean for Curriculum and Assessment, who facilitates the agenda for the Curricular Review Committee (CRC), which is responsible for reviewing new-course proposals. (See VII.E.1 for more information.) Individual faculty members may not submit course proposals to the Dean's office. All new-course proposals must include learning outcomes and aligned assessments. If a new course results in any incremental teaching needs or other resources, the proposal may not go before the CRC without the Dean's approval. Beginning in fall 2013, a Dean's Office Committee called the Teaching Resources Committee convened to evaluate teaching needs in relation to resources. In the event that the Assistant Dean for Curriculum and Assessment thinks that a course proposal has incremental resource implications she consults with this committee, which advises the Dean accordingly about the departmental request. Guidelines for proposing new courses can be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-courses/index.html>.

c) PROPOSING A NEW MAJOR OR MINOR.

The Dean must approve any initiative to propose a new major or minor. **If he approves the initiative, he will** appoint a committee to write a proposal. Proposals for new minors or majors (either freestanding or adjunct) are considered by the Weinberg College Curricular Policies Committee (CPC) (see subsection F.1 below). Along with a list of all requirements for the minor or major, the proposal should include a -statement describing **the major and the learning goals of the proposed major**, and how the course work and any other requirements are designed to meet those goals. Any privileges (e.g., preregistration) or restrictions for students selecting the new minor or major should be noted. Any new courses forming part of the major or minor must have the approval of the Weinberg College Curricular Review Committee (CRC); this approval process can happen simultaneously to the CPC's review of the program proposal. All proposals for new majors and minors must include well defined learning goals and a well-designed plan for assessing student learning in the new program. Staff in the Office of Undergraduate Studies and Advising can provide help and resources in designing such a plan; contact the Associate Dean for Undergraduate Academic Affairs for further information. Also see the University's "Assessment Framework" document (http://www.weinberg.northwestern.edu/faculty/documents/id/Assessment_and_Objectives.pdf). Once the CPC has approved a proposal, it is placed on the agenda of the next Weinberg faculty meeting for its first reading. Subsequently, and with any issues raised in that first meeting addressed, the proposal is placed on the next Weinberg faculty meeting for a second reading and vote. Guidelines for proposing new majors or minors can be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-majors-minors.html>.

d) ALTERING A MAJOR OR MINOR.

Any proposed changes in the major or minor, or in individual courses required for the major or minor, must be submitted to the Curricular Review Committee (see subsection VIII.A.1). If changes result in any incremental teaching needs or other resources, the proposal may not go before the CRC without the Dean's approval. Beginning in fall 2013, a Dean's Office committee called the Teaching Resources Committee convened to evaluate teaching needs in relation to resources. In the event that the Assistant Dean for Curriculum and Assessment thinks that proposed major or minor revisions have incremental resource implications she consults with this committee, who advises the Dean accordingly about the departmental request. Guidelines for proposing changes to majors or minors can be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/changing-majors-and-minors.html>.

The department may, at its discretion, make small adjustments in requirements for individual students, such as waiving the necessity to repeat a single major course in which a grade lower than C- was earned; such adjustments are usually indicated on the student's petition to graduate. Should such a small adjustment be needed after the petition to graduate has been filed, the department must notify the Registrar by letter, and send a copy of that letter to the Associate Dean for Undergraduate Academic Affairs.

The Office of the Registrar has consistently interpreted the Undergraduate Catalog as a contract between the student and the University regarding requirements for graduation. Substantive changes in a program, for instance, cannot be required of students who are in transit through the major at the time of change. Students may opt to complete either the new requirements or the ones in place at the time of their matriculation.

2. FIRST-YEAR SEMINARS.

All first-year students are required to take two First-year Seminars, so it is imperative that departments offer First-year Seminars. Instructors for fall-quarter advising-linked seminars must be members of the continuing (i.e. Tenure-line or teaching-track) faculty. To the extent possible, instructors for winter- and spring-quarter seminars should also be drawn from the ranks of the continuing faculty. Graduate students may teach First-year Seminars only in unusual cases; chairs should consult the Assistant Dean for First-Year Students. As of fall 2013, first-year seminar instructors will serve as their students' academic adviser in the fall quarter only; in winter quarter first-year students will be advised by their assigned Weinberg Adviser.

The purpose of First-year Seminars is to improve students' abilities in writing and in reasoned discourse, not necessarily to achieve mastery of specific subject matter. For that reason, instructors should design formats that encourage discussion and student presentations and that require at least three writing assignments, totaling roughly 5,000 words (15-20 pages). First-year Seminars should never be taught as lecture courses.

Seminars may be offered on virtually any topic and provide instructors with an opportunity to explore topics of interest outside their regular courses. The College particularly needs offerings in the sciences, mathematics, and statistics. Departments are asked to respond promptly to the Dean's request for their First-year Seminar plans to enable the Office of Undergraduate Studies and Advising to be in touch with instructors in a timely fashion.

a) MENTORING.

chairs should take extra care when inexperienced instructors are asked to teach First-Year Seminars. Special planning is often necessary to ensure that these seminars meet their goals: to develop students' skills in formal discussion of ideas, to improve the quality of their writing, and to convey the importance of academic integrity. Furthermore, first-year academic advising is seminar-linked. Instructors of seminars offered in the fall quarter typically are the advisers for fall quarter, and counsel first-year students in course selection for fall and winter quarters (see subsection VII.F.2). Instructors must be cautioned that these courses, even though called 'seminars,' normally meet for the **standard** 3 hours each week that other courses do, and that those hours should be distributed over 2 or 3 class sessions each week. Detailed guidelines for the teaching of First-year Seminars are sent to first-year seminar instructors by the Weinberg College Office of Undergraduate Studies and Advising. Every fall an orientation occurs for new first-year seminar instructors and they are expected to attend.

b) ASSISTANCE IN ACHIEVING GOALS FOR WRITING.

First-Year Seminars give students important experience in writing. Information helpful to instructors in designing writing assignments is available from the Weinberg College Writing Program.

First-year Seminars frequently and valuably uncover students' difficulties in writing. When an instructor in a First-year Seminar encounters substandard writing, the instructor should refer the author to the Writing Program, which offers classes and tutoring. Information about the resources of the Writing Program and Writing Place (which offers peer tutoring on writing to undergraduates) may be obtained from the Writing Program. (**Bobbie and Stanton Cook Family Writing Program**, <http://www.writingprogram.northwestern.edu/>)

3. WRITING PROFICIENCY.

Students are required to demonstrate proficiency in writing before graduating. This may be achieved in a number of ways. First-year seminar instructors make the initial evaluation of writing in courses. Students who do not write well in their first-year seminars or in other courses may be asked to take ENGLISH 105 Expository Writing. Courses in expository writing and intermediate composition are available for all students who wish to increase their skill and confidence in writing.

4. DISTRIBUTION REQUIREMENTS.

Courses offered to fulfill distribution requirements must be foundational in the following sense: "Distribution Requirement courses provide access to ways of knowing by suggesting their application to a broad range of issues and subject matter."

Administration of the distribution requirement system lies with the Curricular Review Committee (see subsection VIII.F.2) and the Associate Dean for Undergraduate Academic Affairs. Courses may be proposed to the Committee for distribution credit in any of the six distribution areas in which students are required to take at least two courses: Natural Sciences, Formal Studies, Social and Behavioral Sciences, Historical Studies, Ethics and Values, and Literature and Fine Arts. If a course spans more than one area, it may be proposed as an interdisciplinary distribution course that students may count in one of the designated areas. For example, a course that deals almost equally with history and literature can be listed as an interdisciplinary course that may be counted in either Historical Studies or Literature and Fine Arts.

If a department or program wants to propose an existing course as a distribution requirement, the Assistant Dean for Curriculum and Assessment, should be contacted. New courses may now be proposed as distribution requirements at the same time they are being proposed for permanent status in the curriculum. Guidelines for proposing new courses and courses for distribution credit can be found at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-courses/index.html> and <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-courses/courses-and-distribution-credits/index.html>.

5. PROFESSIONAL LINKAGE SEMINARS.

These are small courses taught by accomplished non-academics who have an affinity for the arts and sciences and a gift for intellectual inquiry.

These courses link liberal education to public and professional issues, in an attempt to determine how knowledge and practice affect and enrich one another. Their primary concern is the abiding relationship of the arts and sciences and important social and professional concerns. Registration in Professional Linkage Seminars is normally limited to fifteen students. Individual instructors may, at their discretion, admit up to three additional students. Preference in enrollment must be given to students in Weinberg College. During preregistration departments may recommend that their majors enroll in departmental Linkage Seminars, but no more than ten spaces may be reserved for majors at that time. Should fewer than five non-majors register, more majors may later sign up for the course. Professional Linkage Seminars generally have 394 as their course number.

The College would like to offer a broad range of Linkage Seminars. chairs are urged to discuss the development of new Linkage Seminars with appropriate faculty members and members of the community. Proposals should explain how the recommended course satisfies the goals of Linkage Seminars and should include the CV of the proposed instructor. They should be sent to the Associate Dean for Undergraduate Academic Affairs.

Professional Linkage Seminars are funded by Weinberg College; instructors are paid \$4000. Departments may not use the availability of PLS monies to attempt to offer courses that will be used to meet departmental graduation requirements.

6. INDEPENDENT STUDY AND UNDERGRADUATE RESEARCH SUPPORT.

The College encourages independent scholarly work by undergraduates, which is often done through registration in independent study (399). Students may apply for financial support from either the College or the University to cover research expenses such as purchase of materials, costs of conducting a survey, or travel to a special library or archive. Summer grants may provide stipends for living costs, as well as expense budgets. Inquiries about the Weinberg grants program should be directed to the Director of Undergraduate Research in the College. Completed applications can be sent to studentgrants@northwestern.edu or to the University's Office of Undergraduate Research. Further information on research opportunities for undergraduates is available at <http://undergradresearch.northwestern.edu/>.

7. HONORS.

a) USE OF THE TERM "HONORS" IN THE COLLEGE.

Certain limited admissions programs in the College - American Studies, the Integrated Science Program (ISP), Mathematical Experiences for Northwestern Undergraduates (MENU), Mathematical Methods in the Social Sciences (MMSS) - are designated honors programs, as is the Honors Program in Medical Education (HPME). The term "honors" may not be used to describe individual courses in the College curriculum.

b) DEPARTMENTAL AND PROGRAM HONORS.

Seniors who have done outstanding work in a major in connection with a research project or an integrative type of work are eligible for Departmental Honors. This designation is awarded by the Committee on Undergraduate Academic Excellence (CUAE) upon recommendation in the spring by a designated honors committee within the major. Departments and Programs should emphasize that writing a thesis does not automatically earn honors, nor does a nomination of the student by the Department/Program. Students so recommended should have completed with distinction both regular courses as may be required of them by their major, and at least two quarter courses in 398 or 399 (or their equivalent), or some combination thereof, or 400-level courses. "With distinction" is interpreted by the Committee on Undergraduate Academic Excellence in general to mean a grade point average of not less than 3.3 in the major. Honors are not awarded in minor fields or to students who are minoring in a subject.

Students may write two distinct theses in two different majors and pursue "dual honors"; they may also propose an integrated interdisciplinary thesis proposal under the guidance of faculty from each of two majors who work together in advising the student. Such proposals must be submitted very early in the fall quarter for review.

Each department or program offering a major is expected to make available a well designed and described thesis program. Departmental or program guidelines and procedures for honors must be submitted to the Committee on UAE each fall. chairs and program directors should appoint a faculty member to coordinate the honors program and nomination process. Procedures for nominating students for departmental honors are described in a mailing to honors coordinators each fall.

c) GPA-BASED HONORS.

Beginning September 1, 2010, students whose cumulative GPAs are in the top five percent of their graduating class have the notation "summa cum laude" placed on their transcripts; those in the next eight percent receive the notation "magna cum laude;" and those in the next twelve percent receive the notation "cum laude." These percentages may be shifted slightly up or down at the discretion of the Associate Dean for Undergraduate Affairs to take into account ties for a given rank.

B. SCHEDULING COURSES AND COURSE REGISTRATION.

1. PLANNING QUARTERLY OFFERINGS.

Each February, the Dean's Office solicits departments' plans for teaching First-year Seminars, major courses, courses, and distribution courses in the coming year. As a rule, special attention should be paid to Fall Quarter, when more than 35% of all College registrations occur. Upper-level courses should be distributed evenly throughout the year, but courses that fulfill distribution requirements and other large service courses should be offered more frequently in the Fall Quarter.

2. TIMES.

Departments are required to follow the scheduling structure established by the Registrar's Office. The uniform principles governing the scheduling of classes ease the task of finding classroom space for a department's courses and help students put together a manageable schedule by which they can meet graduation requirements. The scheduling of classes should be responsive to student needs ahead of faculty convenience. In particular, 100- and 200-level classes should generally meet twice or three times a week. chairs should see to it that faculty members schedule their classes in conformity to the established slots.

In recent years the demand for "smart" classrooms for classes of all sizes has grown enormously and at popular teaching times (for example, Tuesdays and Thursdays between 11 and 4), there are not nearly enough "smart" rooms to accommodate all requests. An increasing number of classrooms no longer have a resident PC; the room is set for a faculty member to bring a laptop.

Beginning in fall 2014, Kresge Hall has closed for renovation. Given the large number of classrooms in that building unavailable for at least two years, it is extremely important that all departments and programs spread their teaching over the course of the week as much as possible, and be cognizant of classroom shortages when making decisions about teaching schedules.

3. CLASSROOM RESERVATION.

a) GENERAL PURPOSE CLASSROOM SCHEDULING GUIDELINES:

Located at <http://www.registrar.northwestern.edu/scheduling/general-purpose-classrooms.html>.

b) DEPARTMENTALLY MANAGED CONFERENCE/SEMINAR ROOMS:

For classes not scheduled in registrar-managed classrooms, departments are required to enter room reservation information in the University's Room and Event System (RES) located at <https://25live.collegenet.com/northwestern/>.

C. READING PERIOD AND FINAL EXAMINATIONS.

1. READING PERIOD.

Reading Period falls between the end of classes and final examinations; inclusive dates appear in the *Academic Calendar* on the Registrar's website: <http://www.registrar.northwestern.edu/calendars/index.html>. When the Reading Period was established, the College faculty resolved that "observance of a Reading Period shall constitute the norm, although instructors and students in individual courses shall always have the right to continue to meet during the Reading Period if such extra classes are necessary." That is, classes may be held and new material may be introduced, but this is not the usual situation. The intent of the College is to provide students with a relatively unstructured period in which to prepare for examinations and write final papers.

No examination may be given during the Reading Period, and no essays or written projects may be required to be due. Though students tend to use the phrase "reading week" in fact frequently the Reading Period is often less than a week; further, when the period is calculated, weekend days count. Other undergraduate schools at Northwestern do not observe a Reading Period; the observance of a Reading Period is a Weinberg College policy.

2. RULES CONCERNING FINAL EXAMINATION TIMES.

An instructor may not unilaterally change the time of a final examination. The final examination must be given at the time assigned in the quarterly Class Schedule unless all of the following conditions are met. First, any changed examination date must nevertheless fall during the examination week. The changed date must have the unanimous consent of the students in the course (who have other exams to take). To reduce possible pressure from peers or instructor, approval to reschedule a final examination must be voted by secret ballot. Most importantly, a proposal to change the date of an in-class final must be announced during the second week of classes. Any student enrolled in the class can veto the proposed change by telling the instructor or the Associate Dean for Undergraduate Academic Affairs before the end of the third week of classes. Beyond that time, no further changes can take place, and any unanimously approved time for the exam is final.

Changes to the scheduling of an in-class final examination must also be cleared with the Assistant Registrar (1-5238) to be sure a room is available at the proposed new time.

3. DUE DATES OF "TAKE-HOME EXAMS" AND TERM PROJECTS.

The date and time listed for the final examination each quarter in the Class Schedule is also the normal due date for term papers, take-home finals, and the like.

If an instructor wishes the due date for a take-home final exam, final term paper, or other comprehensive written term project to differ from the final exam date and time listed in the *Class Schedule*, this fact must be announced to students on the first day of class and must also appear on a *written* syllabus handed out on the first day (and, naturally, to students missing the first day). The new due date can be no earlier than the first day of final examination week.

D. THREE RELATED PUBLICATIONS AND THEIR DEADLINES; THE REMOVAL OF COURSES FROM CATALOG AND CURRICULUM.

1. "UNDERGRADUATE CATALOG" (COURSE CATALOG).

This bulletin will be revised and published yearly. The Assistant Dean for Curriculum and Assessment manages the revision of the catalog. *Courses that have not been offered for three years should be removed from the catalog, although they may remain on the books as approved departmental courses. Any course not offered in five years will be dropped from the group of approved courses.*

2. INFORMATION REGARDING DISTRIBUTION REQUIREMENTS.

A quarterly listing of distribution courses, grouped by area, is available each quarter in the Registrar's Class Schedule. A new search function in CEASAR also provides information on all courses in a specified area for a given quarter. The College maintains online lists of all courses currently approved for fulfilling distribution requirements. The lists can be found at <http://www.weinberg.northwestern.edu/handbook/degree/distribution-requirements/approved-courses.html>. In addition, Departments/Programs provide the Registrar's Office with a link to a yearly course schedule maintained on the Department/Program website.

E. COURSE AND PROGRAM CHANGES: THE CURRICULUM COMMITTEES.

The faculty largely delegates its obligation to oversee the curriculum to two standing committees: the Curricular Policies Committee and the Curricular Review Committee. (In 2006 the faculty voted to abolish the General Studies Committee, and delegate the review of distribution requirements to the Curricular Review Committee.) It is the task of these committees to ensure that standards are maintained in all courses, and that College programs and courses make sense as part of a larger whole, not merely as isolated offerings. Departments should carefully scrutinize and discuss substantive curricular changes before submitting recommendations to a curriculum committee and the faculty as a whole for approval.

The Associate Dean for Undergraduate Academic Affairs and the Assistant Dean for Curriculum and Assessment serve, ex officio, as members of these two committees, and oversee the process of helping departments to refine their proposals, keeps committee records, advises the committees on precedents, and works with the committees in the preparation of materials. Proposals for one of the curriculum committees should be addressed to either the assistant or associate dean.

Curricular actions of the CRC, the CPC, and the Weinberg faculty can be found at: <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/curricular-committee-actions/>

1. CURRICULAR POLICIES COMMITTEE.

This group, appointed by the Dean, oversees the quality and coherence of undergraduate academic programs. It examines the curriculum and makes recommendations to the faculty about degree requirements, the awarding of credit, grading policies, the establishment of new majors and minors, policy changes involving distribution requirements, and, in general, any College-wide regulation or procedure affecting academic programs. The Curricular Policies Committee meets regularly during the academic year. Topics for new business should be sent to the Associate Dean for Undergraduate Academic Affairs.

2. CURRICULAR REVIEW COMMITTEE.

This group considers proposals for new courses and significant course revisions, for changes in existing majors and minors, for ad hoc majors, and for courses in the program of student-organized seminars. It reviews courses for distribution requirement status, as well as programs of field study and internships. The Committee meets at least once a quarter during the academic year.

a) NEW-COURSE PROPOSALS

For each of these, the department or program must submit to the Curricular Review Committee

- a New Courses and Revisions form (see <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-courses/index.html>).
- an official course description
- a course syllabus
- a supporting letter from the department chair or program director.

These should be sent to the Assistant Dean for Curriculum and Assessment. 300-level courses which are to bear graduate credit must be approved both by the Curricular Review Committee and the Weinberg College Graduate Curricular Review Committee (see also section XVI.B).

b) PROGRAMS OF STUDY FOR MAJORS AND MINORS.

Changes should be fully set forth and explained. At a minimum, this exposition should list

- introductory courses required by the program
- specific courses that constitute the upper-class major program
- any required work in other departments
- learning objectives and aligned assessment methods.

In addition, departments and programs that change their majors or minors should submit a revised version of their catalog entry, to be sure that proposals make sense when translated into the contractual language of the Catalog.

c) INTERIM APPROVAL.

No individual course revisions are approved after the Committee's spring meeting except when there is an explicit need for a new course or a revision of an existing course to be offered by a faculty member hired late in the year. In such an instance, the Associate Dean for Undergraduate Academic Affairs is empowered to act for the Committee. One-time approval for a single offering may also be given to an experimental course. Any course or revision that is so approved, however, may be offered one time only. If it is to be given again, the department must submit it in a timely way to the Curricular Review Committee.

d) AD HOC MAJORS.

Occasionally students with well-defined interests may be led to programs of study which do not fit neatly into the mold of a traditional major. Such students may develop an *ad hoc* major by bringing together courses from various departments. The proposal for an *ad hoc* major must be accompanied by the written endorsement of at least one College faculty member who has agreed to serve as adviser for it, and must be approved by the Curricular Review Committee. The Curricular Review Committee looks for an innovative and coherent program of intellectual substance, well grounded in the disciplines upon which it draws, and appropriate to the goals of a liberal arts education. The *ad hoc* major is designed to accommodate and encourage students with strong academic records and academic needs that cannot otherwise be accommodated within the curriculum. As with other changes in established courses of study, any change in an *ad hoc* major proposal must be approved. The CRC has delegated this approval authority to the Associate Dean for Undergraduate Academic Affairs, who is the contact person for students who are interested in an *ad hoc* major.

e) LESSER CHANGES.

The Committee does not review certain minor, usually clerical changes. A proposal to change a title or course description in the interests of accuracy or clarity, to change the number of a course (but not its level, which is considered a substantial change and is reviewed by the Committee), or to drop a course from the curriculum should be forwarded to the Assistant Dean for Curriculum and Assessment for (typically) routine approval.

F. INSTRUCTIONAL SUPPORT.

1. VISITORS.

The Northwestern Board of Alumnae offers Academic Enrichment Grants to support visits to campus by distinguished scholars and artists who will enhance the current curriculum. Each visitor is expected to provide a significant learning experience for undergraduates, usually by participation in a regular course. Possible activities include special courses, a small conference, or a series of short visits by different individuals.

2. CURRICULUM DEVELOPMENT.

The Board also awards Alumnae Professor Grants to faculty members to develop new courses for undergraduates or for the Alumnae Continuing Education program and for presentation to alumni clubs in other areas. Faculty members should submit a letter outlining goals and specific needs for implementation to the Alumnae Board.

The Hewlett Fund for Curricular Innovation supplies grants or matching funds to individual faculty members, groups, or departments for projects which enhance curricular innovation and development. Grants to individual faculty members generally range from \$500-\$10,000, although groups and departments may apply for larger grants. Application forms are available from the Associate Dean for Undergraduate Academic Affairs. Application materials are also available at <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/funds-for-enhancing-teaching/hewlett-fund-for-curricular-innovation.html>.

3. COURSE ENHANCEMENT GRANTS.

Through a new initiative of the Provost's and the Dean's Offices, Course Enhancement Grants are available to instructors to help fund activities such as field trips to theaters, museums, special lectures, exhibitions, and the like, or field studies for observation and data collection, or purchases of special materials for out-of-classroom uses, such as library materials or films. Grants, typically limited to \$500 per course, may be applied for at any time. Instructors should contact the Associate Dean for Undergraduate Academic Affairs.

4. SEARLE FAMILY GRANTS FOR INNOVATIVE TEACHING.

These grants provide funds to subsidize the design and redesign of courses and to support improvements in undergraduate and graduate teaching activities. Proposals can request honoraria, travel for visiting scholars, instructional materials, support services, and funding for release time.

The Searle Center for Advancing Learning and Teaching awards these grants and administers them. For further information, call the Searle Center for Advancing Learning and Teaching (extension 7-2338).

5. INSTRUCTIONAL SUPPORT: COMPUTERS.

Weinberg Information Technology (Weinberg IT) supports hardware and software within Weinberg College (<http://www.weinberg.northwestern.edu/weinbergit/index.html>). The Director of Weinberg IT works with faculty to facilitate academic computing for teaching and research (1-2746) either through Weinberg resources or by working with other campus units.

The Northwestern University Information Technology (NUIT) division develops and supports academic computing at Northwestern. NUIT's Academic Technologies supports campus-wide initiatives for Northwestern faculty in instructional computing and research computing. Instructional computing services include Northwestern's service for course management (based currently upon the Canvas system); the support of high-bandwidth video and audio services over the campus network; the development of faculty-based projects; and the operation of 8 campus computer labs, 20 Smart Classrooms, and 4 video-conferencing rooms. Research Computing services for Northwestern faculty currently focus upon high-performance computing systems, contemporary visualization technologies, scholarly archive initiatives, and the support of large data set activities for NU social science researchers. Information is available from Academic Technologies (1-5368) and the Director of Weinberg IT (1-2746).

Academic and Research Technologies' office is based in the faculty support center on the 2nd floor of the East Tower in the NU Library. Further information is available at: <http://www.it.northwestern.edu/about/departments/at>. All members of the Northwestern community have access to Internet services. NU IT also offers frequent workshops on computing topics and computing support with the classroom. Further information is available at: <http://www.it.northwestern.edu/learning/index.html>.

The Multimedia Learning Center (MMLC) provides **support of instruction** in Weinberg College through a unique combination of facilities and services. The center facilitates technology in teaching for all areas of WCAS, **with a particular focus in the arts, humanities, and language programs**. It also assists instructors and strategic planners by evaluating the impact of technology and providing recommendations for the effective integration of technology into classroom pedagogy. The MMLC has two computer laboratory classrooms, a student project studio, and an open public laboratory, each equipped for digital instruction and content creation. Faculty may reserve classroom laboratories for class times throughout each quarter. The project studio may be reserved quarterly for use by students enrolled in a MMLC-supported course. A development team is also available for instructors who wish to create their own course materials. An equipment circulation desk provides tangible resources for faculty and students to produce and consume digital content, including cameras, voice recorders, projectors, and other audiovisual materials. Please check for availability and reserve well in advance. NOTE: During the Kresge renovation, the MMLC offices can be found in the basement of the University Library.

See also section XIII.K.

IX. RESEARCH

- A. EXTERNALLY SPONSORED RESEARCH - OVERVIEW AND CONTACT INFORMATION
- B. EXTERNALLY SPONSORED RESEARCH - ADMINISTRATION
 - 1. FINDING FUNDING
 - 2. PROPOSAL DEVELOPMENT
 - 3. AWARD MANAGEMENT
 - 4. FINANCIAL REPORTING
 - 5. POLICIES
 - a) ACADEMIC SALARY RECOVERY
 - b) EFFORT REPORTING
 - c) SUMMER SALARY
 - d) INVENTIONS, PATENTS AND COPYRIGHT
 - e) RESPONSIBLE CONDUCT FOR RESEARCH (RCR)
 - f) CONFLICT OF INTEREST
- C. UNIVERSITY SUPPORTED RESEARCH
 - 1. FACULTY GRANTS
 - 2. GRADUATE STUDENT GRANTS
 - 3. UNDERGRADUATE STUDENT GRANTS
 - 4. RESEARCH CONFERENCE FUNDING
 - 5. OTHER RESOURCES

A. EXTERNALLY SPONSORED RESEARCH - OVERVIEW AND CONTACT INFORMATION

Weinberg College research administrators **support the complete life cycle of the award from proposal submission to ensuring compliant award management**. Faculty members should consult the following web pages for additional guidance, tools, and contact information: <http://www.weinberg.northwestern.edu/research/administration/>.

All applications for **external** research support must be submitted to and approved by the department chair or designate, Dean's Office Research Administration, and the Office for Sponsored Research (OSR). For a determination as to who at the University is eligible to submit proposals to external sponsors please consult the Office for **Sponsored Research (OSR)** web page: http://osr.northwestern.edu/policies/PI_eligibility.

All proposals must be processed through InfoEd, the electronic proposal submission platform. Faculty **members should** collaborate with a research administrator for assistance with this process. Refer to the contact list on the following web page to determine designated research administration contacts: <http://www.weinberg.northwestern.edu/research/contact/department-contacts.html>. Every department and program in Weinberg has a designated research administrator; either within the department or in the Dean's Office.

The department chair or designate should review each proposal and, when appropriate, endorse it. The chair's endorsement signifies concurrence, to the best of his or her knowledge, with the terms of the proposal, including the replies to a number of questions about commitments on the proposal routing form. Proposals for sponsored projects on occasion request commitments of resources or cost sharing from a department, the College or the University for space, personnel, equipment, effort or a research leave of absence, and, therefore, it is critical to review the information and resolve any questions prior to approval.

If a faculty member makes a request to submit a proposal through a University Research Center the project should be multi PI, interdisciplinary and cross school.

Resources and information regarding proposals and awards can be found on the OSR and Weinberg College web pages. Refer to: <http://www.research.northwestern.edu/osr> and <http://www.weinberg.northwestern.edu/research/>.

Accounting Services for Research and Sponsored Programs (ASRSP) provides additional resources and information necessary to manage, report on, and close out grants. Refer to: <http://www.northwestern.edu/asrsp/>.

B. EXTERNALLY SPONSORED RESEARCH - ADMINISTRATION

1. FINDING FUNDING

There are resources available at Northwestern to assist faculty with finding funding for sponsored projects. For the most current information refer to: <http://www.weinberg.northwestern.edu/research/administration/funding-sources.html>.

2. PROPOSAL DEVELOPMENT

The first step a faculty member should take once he or she decides to apply for external funding is to notify a research administrator. It is essential to develop a submission timeline, ensuring that you will be able to meet the University internal deadlines of having the budget and administrative materials (collectively referred to as the "administrative shell") to OSR 5 working days prior to the submission deadline and the complete proposal to OSR 2 working days prior to the submission deadline. For more guidance on proposal development please see: <http://www.weinberg.northwestern.edu/research/proposal-development.html>.

The Training Grant Support Office within The Graduate School provides assistance with the preparation of institutional training grants. Refer to: <http://www.tgs.northwestern.edu/resources-for/faculty/training-grant-support/index.html>.

3. AWARD MANAGEMENT

Awards must be managed to ensure compliance with University and sponsor regulations. For detailed information refer to: <http://www.weinberg.northwestern.edu/research/administration/award-management/index.html> and <http://www.northwestern.edu/asrsp/policies/index.html>.

4. FINANCIAL REPORTING

Reports on sponsored projects are available through NU Financials and detailed records are accessible within InfoEd. Research administrators provide financial reconciliations on all sponsored projects on a monthly basis to the principal investigator. For additional information refer to: <http://www.weinberg.northwestern.edu/research/administration/award-management/index.html>

5. POLICIES

Faculty must adhere to policies from external sponsors, the University and the Dean's Office. A brief explanation of some of more frequently referenced policies is offered below. For detailed and current information on Dean's Office policies refer to: <http://www.weinberg.northwestern.edu/research/administration/policies/>.

a) ACADEMIC SALARY RECOVERY

Research grants may include support for academic year faculty salary. If this is the case, this expenditure may be direct charged to sponsored projects. At fiscal year-end, 100% of the budget relief realized as a result of direct charging salaries to grants is transferred to the faculty member along with the corresponding fringe benefits. These "released funds" become discretionary for the faculty member as defined by University policy.

b) EFFORT REPORTING

Effort reporting systems are managed by Accounting Services for Research and Sponsored Programs (ASRSP). Weinberg College supports the University requirement that all faculty must report on effort. Weinberg administrators are trained and ready to assist faculty with the technical aspects of effort reporting. For full information, consult: <http://www.northwestern.edu/coststudies/effort.html>.

c) SUMMER SALARY

The April 30, 2009 University policy is available for review at <http://www.research.northwestern.edu/policies/summer-research-quarter.html> governs faculty summer salary. University policy leaves some details to the Deans of the individual schools. The Weinberg Summer Salary document <http://www.weinberg.northwestern.edu/research/administration/policies/summer-salary.html> addresses the specific application of this policy to faculty in Weinberg. The policy permits a maximum of 2.5 months of summer salary to be drawn from sponsored research accounts each year. This maximum has been set in order to ensure compliance with federal and University effort-reporting requirements. Faculty who successfully raise a full 2.5 months of summer salary from sponsored funds may be eligible draw a further 0.5 month of summer salary from released funds generated as a result of the academic year salary recovery process. Summer salary can be drawn from non-sponsored funds only if the faculty member remains employed by Northwestern full-time during the following year.

d) INVENTIONS, PATENTS AND COPYRIGHT

The University's Innovations and New Ventures Office (INVO) manages Northwestern University's invention disclosure, assessment, patenting and marketing processes. The University retains ownership of inventions and discoveries resulting from research and educational activities at this

institution or those which make use of University resources. Information and forms are available: <http://invo.northwestern.edu/policies>.

e) RESPONSIBLE CONDUCT FOR RESEARCH (RCR)

The University must comply with the guidelines established by external sponsors for responsible conduct for research. Refer to <http://www.research.northwestern.edu/ori/responsible-research/responsible-conduct.html>.

f) CONFLICT OF INTEREST

Northwestern University is committed to excellent teaching, innovative research, and the personal and intellectual growth of its students in a diverse academic community. In alignment with this mission, Northwestern requires the disclosure of external interests related to university responsibilities. The responsibility for disclosing potential Conflicts of Commitment or Conflicts of Interest rests with individual members of the Northwestern community. It is the University's obligation to determine if the disclosed interests could directly or significantly affect University responsibilities and, if so, to require management, reduction, or elimination of the identified conflict. For additional information see: <http://www.northwestern.edu/coi/> or contact the Assistant Dean for Research and Graduate Studies.

C. UNIVERSITY SUPPORTED RESEARCH

1. FACULTY GRANTS

The Graduate School sponsors some grants for faculty. Specific eligibility applies; see the link below.

- Center for Interdisciplinary Research in the Arts (CIRA)
- University Research Grants Committee (URGC) - Faculty Research Grant
- Publication Subvention

Application details and deadlines are available from TGS: <http://www.tgs.northwestern.edu/resources-for/faculty/tgs-faculty-grants/>

2. GRADUATE STUDENT GRANTS

The Graduate School sponsors a number of internal fellowships and grants for students at all stages of their graduate experience. Information on the programs is found on the TGS website: <http://www.tgs.northwestern.edu/funding/fellowships-and-grants/index.html>

3. UNDERGRADUATE STUDENT GRANTS

Weinberg College offers grants to support undergraduate students in independent research, creative work, and presentations at academic conferences. These grants are funded by Weinberg College alumni, whose support make these undergraduate research grants possible. More information about these funding opportunities is available on the Weinberg Undergraduate website: <http://www.weinberg.northwestern.edu/undergraduate/honors-awards/grants-undergraduate-research/>

4. RESEARCH CONFERENCE FUNDING

Weinberg College has limited funds available to support on-campus research conferences for faculty and graduate students. Complete the following template and forward your application to the Assistant Dean for Research and Graduate Studies: <http://www.weinberg.northwestern.edu/research/administration/conference-funding-requests.html>

5. OTHER RESOURCES

Other funding opportunities exist within the University. The Buffett Institute (<http://www.bcics.northwestern.edu/>), the Institute for Sustainability and Energy at Northwestern (ISEN) (<http://isen.northwestern.edu/>), the Alice Kaplan Institute for the Humanities (<http://www.humanities.northwestern.edu/>), and the Office of Research Development (<http://www.research.northwestern.edu/ord/index.html>) host a variety of research grant competitions.

X. LEAVES OF ABSENCE, COURSE BUYOUTS AND TRAVEL

- A. LEAVES OF ABSENCE.
 - 1. RESEARCH LEAVES.
 - 2. MEDICAL, PARENTAL, AND PERSONAL LEAVE.
 - a) MATERNITY, ADOPTION, AND CHILDREARING LEAVES.
 - b) UNPAID PERSONAL LEAVE.
- B. COURSE BUYOUTS
 - 1. APPLYING.
 - 2. CHARGE.
- C. TRAVEL
 - 1. DEPARTMENT TRAVEL FUNDS.
 - 2. ADDITIONAL TRAVEL FUNDS.
 - a) RECRUITING.

- b) NON-TENURE-LINE FACULTY TRAVEL.
- b) INTERNATIONAL TRAVEL.

A. LEAVES OF ABSENCE.

The University provides and supports leaves of absence enabling regular faculty members to do full-time research or creative work away from their other normal duties of teaching and service. Research leaves are granted and supported on the basis of past accomplishment and evidence that the proposed research or creative work will enhance the faculty member's professional achievement. This is not a sabbatical system by which leave is an automatic consequence of the number of years of teaching. University policy is set forth in the *Northwestern University Faculty Handbook*, pages 17-18. See <http://www.northwestern.edu/provost/docs/faculty-handbook-2015.pdf>.

For the most part, the interests of the College in this regard coincide with those of faculty members. Work enhancing a faculty member's scholarly or pedagogic reputation also enhances the standing of the institution. The College grants and supports many leaves of absence and encourages its faculty members to undertake the sort of research that profits from long-term full-time study. But the other obligations of the institution - to its students or in the domain of self-government - budgetary constraints, and the need for collegial equitability require common guidelines to govern the timing and apportionment of research leaves.

The following rules have evolved in the College to coordinate competing needs as effectively as possible:

- The leaves of the faculty members in a given department must be timed so that most colleagues are present in any quarter. Departments and individual faculty members are responsible for planning ahead. Since enrollment pressure is highest in the Fall quarter and declines in the following quarters, chairs should work with faculty to ensure that fewer quarter-long leaves occur in the Fall and more in the Spring. It is fair to ask colleagues to respect the needs of the curriculum in scheduling such University-funded leaves.
- Leaves promised by the Dean in offer letters, letters of retention and appointments to chair the department, must nevertheless be applied for. No leave is official without a formal application from the colleague and approval by the Department Chair, Dean and Provost.
- A faculty member on leave must meet continuing responsibilities to his or her advanced graduate students.
- A faculty member who has a research leave in a given academic year must return to full-time teaching, research, and service for the following full academic year.
- A University-paid leave is an investment in the development of a faculty member's career at Northwestern. Accordingly, a faculty member who does not return to full-time teaching for the academic year following a paid leave is required reimburse the University for the institutional cost of the leave (typically salary plus the applicable fringe benefits, but sometimes also certain kinds of University-provided research support).
- A leave of absence is not granted to a faculty member who accepts a tenured or tenure-track faculty position or an administrative position at another academic institution.

1. RESEARCH LEAVES.

For a detailed statement of Weinberg College policy and procedure on research leaves see: <http://www.weinberg.northwestern.edu/faculty/documents/LOA-Policy.pdf>.

Access to the following Memos of Understanding is limited to the Dean's Office:

Faculty with joint IPR appointments.

Faculty with joint ABF appointments.

2. MEDICAL, PARENTAL, AND PERSONAL LEAVE.

A faculty member may request a leave of absence of specified length for personal reasons such as child bearing, child rearing, family emergency, illness, required military service, or the exploration of career alternatives (see the Northwestern University Faculty Handbook). Northwestern faculty and staff are covered by the provisions of the Family and Medical Leave Act (FMLA). Personal leaves as provided for under FMLA are generally unpaid, while those taken due to the faculty member's own illness or under the auspices of the Faculty Family Leave Policy are paid for a specified period (<http://www.northwestern.edu/provost/policies/faculty-leave-and-holidays/>).

The leave should, if possible, be discussed with the faculty member's department chair well before the time in question. Applications for medical or parental leaves are handled through **The Hartford, a company external to Northwestern**. For full details see the College's leave policy at <http://www.weinberg.northwestern.edu/faculty/documents/LOA-Policy.pdf> and the Provost's Office website, <http://www.northwestern.edu/provost/policies/faculty-leave-and-holidays/faq.html#two>.

a) MATERNITY, ADOPTION, AND CHILDREARING LEAVES.

The University's policy on leaves for the birth, adoption and rearing of children may be found at: <http://www.northwestern.edu/provost/policies/statements/familyleave.html>.

The approval of medical leaves or parenting leaves is handled by **The Hartford**. To initiate the leave of absence, contact **The Hartford** either online at www.TheHartfordatWork.com, or by phone at 1-888-541-7283. At the end of an approved medical leave **The Hartford** may request certification from the faculty member's doctor indicating the ability to resume regular duties.

The Hartford will inform the University of the need for leave but will not share any details regarding a medical condition. The Dean's Office will notify a department that a colleague's teaching should be canceled during the quarter of leave, but also will not provide any details regarding the reason for that leave.

Please note that faculty members should file applications for extension of the tenure probationary term for reasons related to parenthood through the department chair, Dean, and Provost, as detailed in section IV.B. The Hartford is not involved in tenure-clock extensions.

b) UNPAID PERSONAL LEAVE.

The University Faculty Handbook specifies that a faculty member may be granted unpaid leave in the event of "personal or family emergency" or "required military service" a faculty member may be granted an unpaid leave of a fixed duration. A faculty member wishing to request such a leave should, either directly or through his/her chair, contact the Associate Dean for Faculty. Northwestern faculty are covered by the federal Family and Medical Leave Act. For more details see [the government's FMLA website](#).

B. COURSE BUYOUTS

In certain, limited circumstances, always related to professional activities, a faculty member may find it necessary to apply for teaching release time: the buying out of one or, exceptionally, two courses in order to free an uninterrupted period for a temporary need. The need for release time may arise in conjunction with a special administrative assignment in another part of the University, or it may arise from an externally funded research project. Weinberg College does not encourage the buying out of courses to concentrate on research, since its students, undergraduate and graduate, come to Northwestern expecting to study with members of the full-time faculty. In particular, the teaching assignments of tenure-line faculty members have been established with their research needs in mind. An application for such a buyout must demonstrate compelling circumstances. A buyout is not a leave. Faculty who have bought out classroom teaching are expected to be in residence and carry normal levels of service, advising, and independent study.

Funds to pay the College's expenses to support the released time may come from a research grant, or from another (i.e., non-Weinberg College) unit in the University.

1. APPLYING.

A faculty member wishing to receive a release from teaching obligations due to the requirement to provide effort on a sponsored research award must include the compensation amount (salary and benefits) commensurate with that re-directed effort in the proposal to the external sponsor. If the proposal is awarded, the faculty member should complete the course buyout request form which can be found: <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/buybacks-and-release-time-policy.html>

<http://www.weinberg.northwestern.edu/faculty/documents/BuyoutRequestForm-11-08-12.pdf>.

A faculty member proposing to recover academic year salary to fund a course buyout from an already-funded grant follows the same application procedure.

University funded discretionary accounts may not be used to pay for buyouts unless prior approval from the Dean has been granted.

A faculty member must follow the same steps if another unit of the University wishes to buy out his or her time so that he or she may take up an administrative role in that unit (e.g. Associate Dean in The Graduate School). *In no case may release time be negotiated independently by a faculty member and a unit elsewhere in the University.* The faculty member informs the unit wishing to buy his or her time of the amount of the charge noted below, and discusses the buyout with his or her department chair. If chair and faculty member agree on the desirability of the release time, the faculty member notes that fact in a written request to Associate Dean for Faculty at least one quarter before the start date of the time requested for release from teaching. The Associate Dean discusses the proposal with colleagues, replies in writing, and, when a request is granted, confirms the arrangement with the non-Weinberg unit. (When the College and a campus research center, such as the Institute for Policy Research, have a budgetary arrangement already in place, those established arrangements apply. The interested faculty member should consult the Associate Dean for Faculty.)

2. CHARGE.

For tenure-line faculty the cost of a buyout is a percentage of the faculty member's academic year salary plus the associated fringe benefits, adjusted for the course load in the faculty member's home department. For members of the teaching-track faculty, the charge is a per-course fraction of salary-plus-benefits. Fuller details and application form are provided at: <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/buybacks-and-release-time-policy.html>

<http://www.weinberg.northwestern.edu/faculty/documents/BuyoutRequestForm-11-08-12.pdf>.

The rates in the referenced table apply to course buyouts funded by grants or entities external to Northwestern. There is a different rate for internally funded buyouts (i.e. by other offices of the University). Please be in touch with the Associate Dean for Faculty, to discuss proposed arrangements.

C. TRAVEL

Chairs are advised to consult the update of the University Travel Policies which is available at <http://www.northwestern.edu/financial-operations/policies-procedures/policies/travel.pdf>.

1. DEPARTMENT TRAVEL FUNDS.

Departments are provided with an operating budget which can be used in part to help support faculty travel to present papers at professional conferences and meetings. Because funds are limited, department chairs should establish guidelines regarding the allocation of such support. After a chair has approved the travel grant, a requisition should be prepared.

2. ADDITIONAL TRAVEL FUNDS.

Limited additional travel monies are available through the Dean's Office for the following purposes only.

a) RECRUITING.

A chair, or another designated department member, may request Weinberg College support to attend a conference to interview prospective tenure-line faculty. Application is to the Associate Dean for Faculty.

b) NON-TENURE-LINE FACULTY TRAVEL.

Members of the Weinberg teaching-track faculty may apply for professional development funds that may include travel to conferences. Policies and procedures can be found here: <http://www.weinberg.northwestern.edu/faculty/research-funding-leaves/lecturer-travel-funds-policy.html>. This support is limited to faculty who do not have existing discretionary funds, beyond those funds earned by serving as a First-year Adviser. The department is expected to contribute a share to such support.

b) INTERNATIONAL TRAVEL.

Tenure-line faculty delivering papers at conferences outside North America may request, with the endorsement of the chair, supplemental travel funds from the College. Requests from faculty should be directed to the Associate Dean for Faculty. This support is limited to faculty who do not have other sources of support through grants or existing discretionary funds. The Weinberg College contribution will not exceed \$2,000. The department is expected to contribute a share to such support.

Except in truly unusual circumstances, faculty are expected to use the most economical fares. Discount ticketing normally requires early purchase; long-range travel plans are encouraged.

XI. STAFF

- A. REGULAR STAFF.
 - 1. CLASSIFICATION AND SALARY.
 - 2. ANNUAL SALARY REVIEW AND PERFORMANCE EVALUATION.
 - 3. DISMISSAL.
 - 4. RECLASSIFICATION.
 - 5. NEW POSITIONS AND VACANT POSITIONS.
- B. TEMPORARY STAFF.
- C. TIME ENTRY FOR NON-EXEMPT STAFF.
- D. OVERTIME FOR NON-EXEMPT STAFF.
- E. WORK SCHEDULES
 - 1. THE WORK DAY
 - 2. VARYING SCHEDULES
- F. PAID TIME OFF.
- G. SEXUAL HARASSMENT.
- H. STAFF CONFLICT OF INTEREST POLICY.

The staff supports the faculty, students and University in their educational and research mission. The University's Office of Human Resources provides the Staff Handbook, available at <http://www.northwestern.edu/hr/policies-forms/policies-procedures/staffhandbook.html>. Most College departments and programs are assigned administrative staff, in addition to temporary employees such as Work Study students.

A. REGULAR STAFF.

1. CLASSIFICATION AND SALARY.

The Compensation division of the Office of Human Resources maintains a position classification plan that provides a method for grouping positions for title and compensation purposes on the basis of similarity of duties, responsibilities and qualifications. When a new employee is hired, the Dean's Office, in consultation with the Office of Human Resources, determines the rate of pay based on the qualifications and experience of the candidate in relation to the job requirements.

2. ANNUAL SALARY REVIEW AND PERFORMANCE EVALUATION.

Performance and salary increases are normally reviewed once a year. Employees hired after April of each year are not reviewed for performance or eligible for salary increases until the end of the following fiscal year. Increases are distributed based on individual merit and within the guidelines set by the Office of Human Resources.

All chairs and program directors are notified about the staff performance and evaluation process, Performance Excellence, in the spring. Managers and staff discuss the written evaluation and both sign the evaluation. Signed copies of the evaluations are kept by the employee and supervisor and also sent to the Dean's Office. The original evaluation is sent to the **Office of Human Resources**. Detailed information regarding Performance Excellence can be found online at <http://www.northwestern.edu/hr/workplace-learning/performance-excellence/index.html>. The **Associate** Director of Administration reviews the evaluation form and in consultation with the Director of Administration and Associate Dean for Administration, Finance, and Planning, determines the appropriate increase for each staff member. All staff increases require final approval by **the Dean and** the Office of Human Resources and become effective September 1. Each staff member receives a salary letter from the Dean in August indicating their new salary for the upcoming fiscal year.

It is essential that evaluations be accurate and not be understated or inflated. Supervisors and employees benefit from understanding areas of employee strength and areas in need of improvement. The evaluation provides both parties an opportunity to discuss performance and goals and objectives. The **Associate** Director of Administration in the Dean's Office and staff in the Office of Human Resources are available to provide guidance on writing evaluations.

3. DISMISSAL.

Any move toward dismissal of an employee must first be discussed with the Associate Dean for Administration, Finance, and Planning, as well as in the Office of Human Resources.

For dismissals that are performance based, employees must be informed of performance expectations for the job and whether they are meeting said expectations. An employee who has been informed of performance expectations and has received notice of failure to meet them may be subject to various sanctions, up to and including termination.

Certain policy violations may merit immediate discharge. Other violations may be addressed through disciplinary action which may not result in immediate termination. For more information on the corrective action process, please contact the **Associate** Director of Administration.

4. RECLASSIFICATION.

Substantive changes in scope, responsibility, or minimum qualifications for an existing position may warrant a review of a position or salary grade. A manager who wishes to have a position reviewed for reclassification should consult with the Director of Administration to request a review. The Human Resources Compensation Division will be consulted to conduct a final review and to make a recommendation to the Dean's Office. If the recommended action involves additional funds, those funds must be available before any reclassification can take effect.

5. NEW POSITIONS AND VACANT POSITIONS.

To request the creation of any new staff position, including those funded by the Department or Principal Investigator, the Department must submit a written position description using the position description form to the **Associate** Director of Administration. The Human Resources Compensation Division reviews all position descriptions to determine a position title and salary range.

In beginning recruitment for a vacant position, the department should review and update the job description. Job postings are created using the web based e-Recruit system at <http://nuhr.northwestern.edu>. The Dean's Office must approve all position descriptions and job postings prior to posting.

B. TEMPORARY STAFF.

If a department needs temporary help when regular staff employees are absent for a prolonged period or a position is vacant, it should request funds from the Dean's Office. Departments are to contact the **Associate** Director of Administration with the request for hiring temporary staff. The Dean's Office will assist in identifying temporary help through the University's Temporary Staffing Center within the Office of Human Resources. Short-term help for special projects can be arranged ad hoc by consulting with the Temporary Staffing Center, assuming funds are available.

C. TIME ENTRY FOR NON-EXEMPT STAFF.

The KRONOS Time System is used to record time worked for all non-exempt (hourly) employees **and time off for exempt (salaried) employees**. Time records entered by the employee must be verified and approved on-line at <http://www.northwestern.edu/hr/current-employees/using-FASIS-self-service/kronos/index.html> by the immediate supervisor or in some cases, the department chair.

D. OVERTIME FOR NON-EXEMPT STAFF.

For the hours worked beyond 40 in a work week, paying the premium rate of 1 ½ times the regular hourly rate is required for nonexempt (hourly) employees. Not paying the premium rate for hours worked beyond 40 in a work week is a violation of federal law. Overtime to be paid out of appropriated funds must be requested in advance by the supervisor and approved by the **Associate** Director of Administration. Overtime is usually not allowed on sponsored projects.

E. WORK SCHEDULES

1. THE WORK DAY

Scheduled work hours vary among departments, with the most common full-time schedules totaling 37 1/2 or 40 hours per week. Most regular work schedules continue throughout the year but some are partial year (for example, nine, ten or eleven month) work schedules. Nine-, ten- and eleven-month employees are considered full time during the months when they work the full work week.

Most common office hours of the University work day are 8:30am to 5:00pm, Monday through Friday. However, each department determines the hours of work for its employees as necessary to staff its operations. They may adopt work schedules to accommodate individual employee needs to the extent that department operations permit.

2. VARYING SCHEDULES

A work schedule can be any combination of day and hours totaling no more than 40 hours in a work week. The hours scheduled for work must total the standard hours budgeted for the position. No combination of hours and days may exceed 14 days without a full day off.

Work schedules can vary among employees within the same office or department throughout the year, or they can be changed on a seasonal or other basis. Examples of flexible scheduling include a schedule in which an employee works four days of 10 hours each for a total of 40 in the week. School or administrative department business offices may choose to coordinate schedules in the departments of the unit. Please note: non-exempt staff are not permitted to work unsupervised.

F. PAID TIME OFF.

Paid time off benefits provided to Northwestern staff include vacation, sick, personal floating holidays and funeral leave. Employees must schedule vacation and personal days in advance and in consultation with the supervisor. It is the responsibility of all employees to accurately report absences in the Kronos system. The supervisor may limit the amount of vacation taken at one time in consideration of department needs and the vacation entitlement of other employees. Departments may specify periods when no vacation may be taken.

Staff and their managers have a mutual responsibility to meet University employment requirements and support efficient operations. Staff should consider how to minimize the impact of their absence from work and the supervisor must evaluate the impact of elective requests on the effective functioning of the unit. This Weinberg Policy is a supplement to University policy as stated in the Staff Handbook. University policies take precedence over any Weinberg policy statements.

G. SEXUAL HARASSMENT.

It is the policy of Northwestern University that no member of the Northwestern community - students, faculty, administrators, or staff - may sexually harass any other member of the community. All members of the community have a right to work in an environment free of discrimination, intimidation, and unwelcome attention. chairs should be alert to possible problems and help educate department members about appropriate behavior. The University's Policy on Sexual Harassment may be found at: <http://www.northwestern.edu/sexual-harassment/university-policies/sexual-harassment-policy/>.

H. STAFF CONFLICT OF INTEREST POLICY.

It is the policy of Northwestern University that its employees conduct the affairs of the University in accordance with the highest legal, ethical, and moral standards. University resources are to be used only in the interest of the University. An employee may not commit University resources to activities not in the interest of the University, including personal activities. To avoid conflict of personal interests with University interests, an employee must not be in a position of making a decision for the University if his or her personal economic interest may be directly affected by the outcome.

Staff members are required to complete a staff conflict of interest questionnaire on an annual basis, to be reviewed and approved by their supervisor or another designated individual in the department. For more information on the Staff Conflict of Interest Policy, see <http://www.northwestern.edu/hr/hr-services/conflict-of-interest.html>. The University's Policy on Conflict of Interest and Conflict of Commitment may be found at: http://www.northwestern.edu/coi/policy/core_coi_policy.pdf. For more information, please refer to the University's Conflict of Interest Office's website at <http://www.northwestern.edu/coi/>.

XII. SPACE, FURNITURE, EQUIPMENT, PHONES, AND SECURITY

- A. SPACE.
 - 1. DEPARTMENTAL SPACE.
 - a) BORROWING AND LENDING.
 - b) RECRUITING FACULTY.
 - c) SPACE INVENTORY.
 - 2. UPKEEP.
 - a) QUALITY OF UPKEEP.
 - b) SPECIAL CLEANING.
 - c) PESTS.
 - 3. REPAIRS.
 - 4. RENOVATIONS.
- B. FURNITURE AND EQUIPMENT.
 - 1. FURNITURE, EQUIPMENT AND RECRUITING.
 - 2. SPECIAL REQUESTS.
 - 3. UNUSED EQUIPMENT OR FURNITURE.

- 4. COPIERS.
 - a) ACQUISITION.
 - b) CHARGING FOR COPIES.
 - (1) SELF-CHARGING.
 - (2) PERSONAL COPIES.
 - (3) GRANT-RELATED COPYING.
 - (4) STUDENT COPYING.
 - (5) CHARGE PER COPY.
- 5. REPAIRS.
 - a) ORDINARY EQUIPMENT AND FURNITURE.
 - b) ESTIMATED EXPENSE.
 - c) SPECIAL EQUIPMENT.
 - d) SERVICE CONTRACTS.
- C. TELEPHONES.
 - 1. FEATURES.
 - a) CALL-FORWARDING.
 - b) OTHER FEATURES.
 - 2. APPROVALS AND ESTIMATED EXPENSE.
 - a) NEW INSTALLATION.
 - b) CHANGE IN SERVICE.
 - 3. LONG-DISTANCE CALLS.
 - 4. MONTHLY BILL.
 - 5. FAX MACHINES.
- D. SECURITY.
 - 1. KEYS.
 - 2. COMPUTERS AND RELATED EQUIPMENT.
 - 3. PERSONAL BELONGINGS AND PERSONAL SAFETY.
- E. DEPARTING FACULTY MEMBERS: AUTHORIZATIONS, ACCOUNTS, AND EQUIPMENT.
 - 1. AUTHORIZATIONS AND ACCOUNTS.
 - 2. DISCRETIONARY RESEARCH ACCOUNTS.
 - 3. EQUIPMENT AND OTHER PROPERTY.
 - 4. LABORATORIES AND SPONSORED RESEARCH.
 - 5. KEYS.
 - 6. RELINQUISHING GRANTS.
 - 7. MOVING EXPENSES.
 - 8. CONTINUING ADJUNCT APPOINTMENT.
 - 9. FUTURE USE OF FURNITURE AND EQUIPMENT.

A. SPACE.

Weinberg assigns space so that each Department has appropriate and sufficient inventory to manage its own programs. As the Departments contract and/or expand, the College reallocates space accordingly. An attempt is made to ensure that each member of the tenure-track faculty has an office. Others may have to share space. Almost without exception, a faculty member should have only one office.

1. DEPARTMENTAL SPACE.

Space is assigned to the departments by the College, and the College reserves the option of retrieving and reassigning it as necessary. The chair has the authority and responsibility to designate specific usage of departmental space and to reassign it to achieve established departmental objectives. Such decisions should be made after consultation with other faculty members, especially affected faculty and staff and also with any departmental space committee.

There is no need to notify the College when faculty or staff are moved from one office or lab to another within a Department's assigned space. If offices need to be moved, Facilities Management (FM) can assist and will charge the Department for services rendered. FM can be contacted at extension 1-5201. Faculty and staff members should update their campus contact information via HRIS Self-Service(<http://www.northwestern.edu/hr/hris/>).

When space becomes available because of the dissolution of programs, departure of faculty members, reallocation of space by the College, the acquisition of additional space or a new building, the vacated space reverts back to the WCAS Dean for reassignment. This means the vacated space cannot automatically be reassigned by the department and the Dean will evaluate potential uses of the vacated space via conversations with the department and other interested parties.

a) BORROWING AND LENDING.

Many times, faculty members go on leave or a particular faculty line may be open for a time, resulting in unoccupied offices and spaces that could be used by creating a need for temporary basis. In addition, other faculty may be hired creating a need for temporary work space. A department may, in the short term, need more space than it has been assigned. To meet such needs, it is often advisable for one department to temporarily lend some of its assigned space to another WCAS department. Such borrowing and lending can often be worked out internally without the assistance of the College. However, the College needs to be informed of the arrangement. In addition, a need for temporary space can be brought to the attention of the Dean's Office for advice and counsel. Any arrangement should be in effect for an agreed-upon period, usually no more than an academic year.

b) RECRUITING FACULTY.

An important aspect of recruiting first-rate faculty members is Northwestern's assurance that he/she will have the adequate resources including office space and if needed, appropriately sized laboratory space, to be a productive member of the Department. Since space in the College is very limited and tightly managed, it is always a challenge to identify and reserve the space needed for a successful recruitment. Specific office and laboratory space earmarked for potential recruitments must come from the Department's current space inventory; therefore identifying these spaces must be done early in the process and long before a candidate's visit to campus is scheduled. Plans to accommodate recruited faculty must be communicated in writing to the Associate Dean of Facilities and Planning for evaluation and expressed confirmation. Any departmental proposals involving movement of programs, people, resources or any requests for minor remodeling and/or purchases of furniture or equipment must be approved by the Associate Dean for Facilities and Planning before any visits take place. If additional space or resources are needed for the recruitment, the request must be submitted in advance in order to give the College sufficient time to evaluate the request.

c) SPACE INVENTORY.

Each year Facilities Management (with the support of the Provost's Office) requires an updated space inventory submitted by ~~to~~ each department. The Space Information Management Systems (SIMS) is accessible at <http://www.northwestern.edu/fm/campus-spaces/space-information-management-system.html>. The Department is responsible for checking and confirming the data, and for submitting an updated and accurate space inventory via SIMS. Any changes, additions or errors in assigned space should be corrected and saved in this database. Any changes in space function requires the approval of the Associate Dean For Facilities and Planning.

2. UPKEEP.

Day-to-day upkeep of campus buildings including departmental space is the responsibility of Facilities Management, primarily through the custodial staff. Facilities Management has issued a schedule of the cleaning routine. Each custodian is assigned a number of square feet (buildings, floors, etc.) and must move quickly to get to all of that space. *Custodians are specifically instructed not to touch papers on desk tops.*

a) QUALITY OF UPKEEP.

If a chair or department assistant believes that routine work is not being done, he or she should speak to the custodian if possible. If unsuccessful or it does not produce satisfactory results, an email explaining the issue should be sent to Facilities Management, (facilities-management@northwestern.edu) with a copy to the Associate Dean for Facilities and Planning.

b) SPECIAL CLEANING.

Most custodians will attempt to handle special requests, but since their time is limited, each must determine whether an unaccustomed service can be provided. As a rule, cleaning beyond the usual can be undertaken only by ordering and paying for it. Facilities Management also establishes a schedule for painting, shampooing carpet, and cleaning tile. If a department requests such work to be done outside of the normal schedule, Facilities Management normally charges the department for the work.

c) PESTS.

Ants, bats, bees, birds, fleas, mice, roaches, squirrels, wasps, and other creatures attack buildings from time to time. Facilities Management contracts with a pest control service to deal with those problems. The department should call Facilities Management directly (extension 1-5201); the work will be done without charge to department or College. As with all direct dealings with Facilities Management, if problems occur, the department should notify the Associate Dean for Facilities and Planning.

3. REPAIRS.

Facilities Management personnel will repair items that are part of a building infrastructure without charge. A departmental representative should call or email FM and include a detailed description of the problem in order to receive prompt action. FM prioritizes responses based on these descriptions. For small items such as a cracked window seal, jammed door locks, minor plumbing issues, etc., a phone call will suffice and the problem will be fixed promptly. Larger issues that may require investigation and prolonged attention should be entered via FAMIS so that progress can be monitored. All emergency repairs should be called in immediately and the urgency explained so that FM can respond appropriately.

4. RENOVATIONS.

As funds become available, the Dean's Office may solicit advice and /or requests for renovations from the departments. Requests for remodeling existing spaces will be prioritized based on the WCAS Dean's vision for the future and the funding model available for that year. In some cases, studies may be performed to evaluate feasibility and may proceed through programming if approved by the Dean. Renovations that funded exclusively by the College tend to be more teaching-related than associated with research items. **Any renovations regardless of funding source must be approved by the Associate Dean for Facilities and Planning before submission to FM for cost estimations.**

B. FURNITURE AND EQUIPMENT.

In addition to office space, each regular faculty member should have basic office furniture and equipment needed to perform their work including a - desk, chair, file cabinet, bookcase, and side chair - all supplied by the College. These basic items should be provided to each new tenure-track faculty member by the Department using existing furniture if possible. Any requests for replacement or additional items should come

to the Dean's Office at least two months before the faculty member arrives.

1. FURNITURE, EQUIPMENT AND RECRUITING.

The College acknowledges that some types and amounts of furniture and equipment may be insufficient or inappropriate for some prospective faculty members. If this is an issue, the department chair should discuss any additional needs with the Associate Dean of Facilities and Planning. If a faculty member has disabilities or specific ergonomic needs, it may be necessary to involve Risk Management to obtain medical certification to justify purchasing special or unique furniture or equipment. It is College policy that University funds may be used to purchase furniture only for on-campus use. Any privately- owned furniture and/or equipment placed in an office may not be insured by the University.

2. SPECIAL REQUESTS.

As funds become available, the Dean's Office may accept requests for equipment from the departments based on need. Items range from air conditioners to audio-visual equipment to blackboards. Funds for these purposes are always limited, and departments must provide justifications and ranked requests. In Weinberg College, items related to teaching tend to be given higher priority than those related to research. Some departments develop long-range plans for the acquisition of costly special items; such plans should be shared with the Dean's Office.

3. UNUSED EQUIPMENT OR FURNITURE.

Any furniture or equipment that is not being used should be brought to the attention of the Associate Dean for Facilities and Planning. If deemed broken or unusable, permission may be given to the Department to discard the items via FM and/or normal trash pickup. If the items are still useable, arrangements will be made to pick up the furniture or equipment for transportation to temporary storage. This storage area will serve as a storeroom for all departments to utilize and recycle these items when they are needed again. If a department needs an additional desk, bookcase, etc., and would like to know if one is available, the Dean's Office may be able to pull a used one from the storage.

A department may not sell or transfer equipment or furniture purchased with University funds without the approval of the Dean's Office. Items purchased with grant funds may not be sold or transferred without the additional approval of the Office of Sponsored Research (OSR).

4. COPIERS.

a) ACQUISITION.

The cost of a first-time or replacement copier will be charged to the department accounts.

b) CHARGING FOR COPIES.

Departments owning copiers are provided with budgeted funds for departmental copying. Departments using the copier of another department or a central copier are provided budgeted funds to pay for that copying. Departments leasing a copier are supplied funds to cover the lease payments.

(1) SELF-CHARGING.

Departments are not required to charge themselves for copying. However, they may wish to keep track of the number of copies made by individuals.

(2) PERSONAL COPIES.

Departments must charge individuals for personal copying.

(3) GRANT-RELATED COPYING.

Some grants pay for the cost of project-related copying and some prohibit such charges. Please refer to the Cost-Accounting Standards issued by Office of Sponsored Research and the Controller's Office.

(4) STUDENT COPYING.

Copies made by students are to be treated as personal copies. Copies made for students in courses, in lieu of or in addition to texts, are similarly charged to the students.

(5) CHARGE PER COPY.

What the department charges for copies should be related to their actual cost. For assistance in determining an appropriate cost per copy, the department should be in touch with the Dean's Office. The charge must be the same for all users, departmental or non-departmental, grant-related or personal.

5. REPAIRS.

Estimated dollar amounts to pay for repairs or service contracts should be budgeted on the department's annual support account.

a) ORDINARY EQUIPMENT AND FURNITURE.

If asked, Facilities Management will repair an item that is not part of the building infrastructure but the Department can expect to be charged for that service. Some examples are noisy window air conditioners, malfunctioning shades and venetian blinds, broken desks, stained carpets, etc.

b) ESTIMATED EXPENSE.

For any of these items, it is best to get an estimate of costs before having work done. An estimate can be obtained by describing the work to be done on a work order form in FASIS accounting system. *Most people underestimate the cost of a job, so obtaining a cost estimate from Facilities Management before ordering work is important. Contact Facilities Management at facilities-management@northwestern.edu. Alternately, the information can be entered via FAMIS so that a tracking mechanism is created.*

c) SPECIAL EQUIPMENT.

Usually the vendor repairs items like copiers, and fax machines which are not repaired by Facilities Management. If the department leases a copier, etc., the lease fee includes servicing.

d) SERVICE CONTRACTS.

Decisions about service contracts for equipment should be made item by item--- although, in general, copiers should always carry service contracts. Computers should have 4 year warranties. The key variable is the degree of complexity of moving parts. If a question arises about this topic, the department should call the Dean's Office.

C. TELEPHONES.

The College provides one telephone for each tenure-track faculty member, usually in that faculty member's office, and provides department offices with telephones, typically one for each full-time-equivalent member of the office staff. The College also places phones (for campus use only) where they are needed to ensure the safety of persons. Telephones are not provided for postdoctoral personnel or graduate students. The College does not provide telephones in laboratories unless safety is an issue. If an investigator has a question about a grant's underwriting the cost of a telephone, he or she should call the Office of Sponsored Research. An academic department may use its discretionary funds to provide additional telephones.

1. FEATURES.

Telephones can be ordered with several optional features. Making a change in the features on any department phone results in a charge to the department.

a) CALL-FORWARDING.

The usual faculty telephone is equipped with call-forwarding, a feature that allows a faculty member to forward calls to another phone, usually in the department office, at times when the faculty member is not in his or her own office.

b) OTHER FEATURES.

TNS can provide information about other features.

2. APPROVALS AND ESTIMATED EXPENSE.

a) NEW INSTALLATION.

A request for a new installation routinely requires an estimate before any work is done (see subsections XII.B.5.a and XII.j).

b) CHANGE IN SERVICE.

Requests for such changes - and these include changes paid for by grants and discretionary funds - must include the number of the account to which the charges will be made. If requesting the Dean's Office to pay, send to the Dean's Office.

3. LONG-DISTANCE CALLS.

A faculty member who needs to make international long-distance calls should request an authorization code. Please send the request form to the Department Assistant, including an account number to which the calls will be charged. If a faculty member must charge calls to several accounts, the requisite number of codes will be issued.

4. MONTHLY BILL.

Each month the department receives the telephone bill for all of the telephones in the department. Each holder of an authorization code must

review the relevant part of the bill in order to determine the cost of personal calls (so that the holder can reimburse that amount to the department) and to ensure that his or her code has not been used by an unauthorized party. *If it is suspected that a long-distance authorization code has been used by an unauthorized party, the department must contact TNS and the Dean's Office immediately. The Dean's Office usually informs the Department of Public Safety in such a case, and TNS issues a new code.*

5. FAX MACHINES.

Guidelines for copiers (see subsection XII.B.4.) also generally apply to fax machines. Fax machines, however, require a dedicated phone line. Departments should either assign an existing phone line to the fax machine or arrange a mechanism for covering the recurring costs associated with the new line. Arrangements for paying for the new line must be in place before a fax machine can be ordered.

D. SECURITY.

Adherence to a few basic guidelines can help to ensure security for persons, personal belongings, and University property.

1. KEYS.

Departments should issue keys to particular spaces only to persons authorized to have access to them. A faculty member with an office should not be issued a master key to all offices. Graduate students and undergraduate students should not be issued keys to offices, laboratories, or libraries without considering that inappropriate access to records or equipment may also be gained. If a department issues a large number of keys to a certain area, e.g., a computer laboratory, the department must assume that no item there is secure; other means must be found to ensure security.

Departments must maintain a current inventory of who has which keys and ensure that all keys given out and returned are noted on the list. After years of giving out keys without keeping records, a department must assume that areas that are accessible using those keys are not secure. If a department has concerns about key security, the Dean's Office and Facilities Management will work with the department to devise ways of dealing with those concerns.

2. COMPUTERS AND RELATED EQUIPMENT.

If such equipment is located in an area to which many people have keys, special precautions should be taken; laptops and other mobile devices should always be kept in a locked area. Marlok devices are available for additional security. The Information Technology Office, Facilities Management, or the Dean's Office can help in deciding appropriate measures.

3. PERSONAL BELONGINGS AND PERSONAL SAFETY.

In particular, items of value should not be left unattended, even for a few minutes. At a minimum, they should be out of sight.

The department should be sure that a University Police sticker with the emergency phone number 911 is attached to all phones. Campus-only phones will put through a call to 911.

E. DEPARTING FACULTY MEMBERS: AUTHORIZATIONS, ACCOUNTS, AND EQUIPMENT.

When a faculty member leaves Northwestern, it is the department's responsibility to make sure that campus authorizations are discontinued, accounts closed out, keys returned, Wild Cards retrieved, and all University-owned equipment, including that purchased on external grants, accounted for. Office of Sponsored Research must be notified if the faculty member has any sponsored project accounts. The International Office must be notified if the person holds a J-1 or H1-B visa or if he or she is working by grace of an Employment Authorization Document.

Please note that the matters below may be handled differently when a long-serving colleague retires. Please be in touch with the Associate Dean for Faculty in advance of the retirement date.

1. AUTHORIZATIONS AND ACCOUNTS.

The department should request in writing that the Northwestern Telephone System cancel the faculty member's long-distance authorization code *as of the date of departure or termination of employment, whichever comes first*. Any outstanding charges for personal calls should be collected, and the faculty member notified about other payable accounts that are known to the department. Any telephone or postal charges related to an individual's move are regarded as personal expenses and, if charged to department accounts, must be reimbursed by the departing faculty member.

If the faculty member has University computer accounts, the department must notify Information Technology. For email, send notification by email to email-accounts@northwestern.edu. The department should also forward to Chris Comerford a list of individual computer accounts, information about netids and access to special departmental accounts, and the disposition of University-owned computer equipment (including laptops).

2. DISCRETIONARY RESEARCH ACCOUNTS.

College-funded discretionary research accounts are intended to foster research and teaching at Northwestern. Once a faculty member decides to leave the University, expenditures from his or her discretionary fund may not exceed the usual and customary expenses associated with carrying out current research and teaching activities. Travel to deliver a conference paper will typically be approved, but purchases of equipment or

quantities of books cannot be authorized. No new funds will be added to the account. Access to the account ends on the day of departure. Please be in touch with the Associate Dean for Faculty with questions.

3. EQUIPMENT AND OTHER PROPERTY.

Departing faculty may not remove University-owned property. University-owned property includes library books, all office equipment, furniture, computers **and peripherals, scientific equipment** and the like purchased with monies from external grants or discretionary accounts administered through the University, or with funds from the faculty member's department, Weinberg College, or Central Administration. More information on equipment inventory is available at <http://www.northwestern.edu/equipment-inventory>.

A departing faculty member may not personally purchase University-owned property, but may request that University-owned property be sold by Northwestern to their new employer. A faculty member wishing to request this should prepare a list of items for review by the Dean's Budget & Finance Office. Approval of a request for purchase of property will be made on an item-by-item basis. The College reserves the right to determine which items may be purchased and to set the price for them. In making decisions about items purchased with grant monies (non-University funds), the Dean's Office acts to ensure that equipment be used for funded purposes. The College will release equipment purchased on an externally-funded grant as long as the interests of the department, College and University are not compromised by the transfer.

For items purchased with University funds, decisions about disposition and price accentuate the University's mission and the College's fiduciary responsibility to meet the needs of continuing faculty and **students**. Decisions will reflect the item's value to the department, College or University. Pricing takes into account the following factors: original price; age and condition of the item; identifiable need for the item to fulfill the University's teaching and research mission; current use by other faculty; potential use by other faculty, both in the department and in other departments. When an identifiable University need exists, pricing will reflect the University's likely cost if it must purchase such an item new.

Items purchased may not be removed until payment has been processed.

Furniture (desks, chairs, filing cabinets, bookcases, tables, benches, etc.) may not be removed.

Departing non-faculty staff members do not have the right to take with them or purchase items bought at University expense.

4. LABORATORIES AND SPONSORED RESEARCH.

The Vice President for Research maintains a checklist of procedures for closing down a research program. <http://www.research.northwestern.edu/policies/index.html>. Issues include sale, transfer or disposal of equipment; safety concerns regarding disposal of supplies; closing down of animal and human subjects protocols; and other matters.

5. KEYS.

The department should make sure that it reclaims all keys to offices, labs, buildings, etc.

6. RELINQUISHING GRANTS.

If a faculty member wishes to transfer an external grant to his or her new employer, the department, Dean's Office and the Office of Sponsored Research must be given at least two weeks' notice.

7. MOVING EXPENSES.

Northwestern does not pay any of the expenses for a faculty member to move to a new institution nor should department staff be detailed to pack boxes. The new institution is responsible for moving **arrangements and** expenses.

8. CONTINUING ADJUNCT APPOINTMENT.

Sometimes a departing faculty member wishes to maintain affiliation with Northwestern because a grant remains at the University, he or she is on a dissertation committee, or some other mutually beneficial reason. In such cases, a faculty member may be approved for appointment as an unpaid adjunct (assistant/associate) professor. Procedures for appointment are the same as for unpaid secondary appointments as described in section III.L.NON-BUDGETARY SECONDARY APPOINTMENTS .

9. FUTURE USE OF FURNITURE AND EQUIPMENT.

It is the chair's responsibility to make sure that the furniture and other items left behind are preserved for an incoming faculty member. Current faculty may not help themselves to desks, chairs, bookcases, files, and so forth.

XIII. COMPUTER USE AND SUPPORT

Overview

Weinberg IT is the College's primary provider of IT services and support, and serves as consultant, facilitator, and advocate for technology service delivery and access to technology resources within the Northwestern community. We strive to enable outcomes that offer high impact to Weinberg teaching and research.

Weinberg IT is located in the ground level of 1922 Sheridan Road. Contact information is available at <http://www.weinberg.northwestern.edu/weinbergit/about/weinberg-it-staff.html>.

Sections

- Computer Purchasing and Policies
- Data Protection and Security
- Receiving IT Support
- Research Computing Resources
- Teaching and Learning Computing Resources
- Website Provision and Support

Resources for chairs

The Weinberg IT web site (<http://www.weinberg.northwestern.edu/weinbergit/>) contains important information about policies, procedures, and resources available to faculty and staff at Weinberg. We offer the following links for key information about support, purchasing, and use of computing resources at Northwestern.

Support and Policies

Description	Link
Submit a Service Request	Email: weinberg-it@northwestern.edu Web: http://service.wcas.northwestern.edu
Weinberg IT Support Policies	http://www.weinberg.northwestern.edu/weinbergit/support/support-policies.html
Northwestern University IT Policies	http://policies.northwestern.edu/policies-by-category.html#information-technologies

Purchasing

Description	Link
Purchasing Computer Hardware	http://www.weinberg.northwestern.edu/weinbergit/purchasing/hardware/
Weinberg Computer Replacement Funding for Faculty and Staff	http://www.weinberg.northwestern.edu/weinbergit/purchasing/computer-replacement/
Weinberg Standard and Supported Software	http://www.weinberg.northwestern.edu/weinbergit/purchasing/software/
Additional Software Purchasing (through NUIT)	http://www.it.northwestern.edu/software/index.html

Available IT Services

Description	Link
Northwestern Email and Calendar	http://www.it.northwestern.edu/collaborate
Box File Sharing and Synchronization	http://www.weinberg.northwestern.edu/weinbergit/guides/box-faq.html
CrashPlan Desktop and Laptop Backup	http://www.weinberg.northwestern.edu/weinbergit/guides/crashplan-faq.html
Qualtrics Surveys	http://www.weinberg.northwestern.edu/weinbergit/teaching-research/qualtrics/index.html
Teaching and Research Computing Resources	http://www.weinberg.northwestern.edu/weinbergit/teaching-research/

Computer Purchasing and Policies

Purchasing Computer Equipment

To provide staff and faculty with a balance of choice of computing hardware and high-quality support, **funds within WCAS may only be used to purchase Dell, Lenovo, or Apple brand computers.** These purchases must meet the minimum hardware and operating system standards established by Weinberg IT web site available at <http://www.weinberg.northwestern.edu/weinbergit/purchasing/hardware/>. Weinberg College provides computer replacement funds for departments and programs. Information about these funds is available at <http://www.weinberg.northwestern.edu/weinbergit/purchasing/computer-replacement/>.

Faculty and staff computers should be set up by Weinberg IT with the standard Weinberg IT software image, as described at <http://www.weinberg.northwestern.edu/weinbergit/purchasing/software/>. Research computing software packages are available for purchase at discounted prices, as described on the same page. Additional software purchases should, if available, be purchased through the NU IT virtual store, <http://www.it.northwestern.edu/software/index.html>.

Computers Leaving Northwestern University

Northwestern University Financial Operations has policies and procedures for disposal of equipment, including computers and peripherals, at <http://www.northwestern.edu/financial-operations/policies-procedures/finance/financeequipmentinventory.html>. From that page:

The purpose of the [Surplus Property Exchange web site](#) is to provide a common forum for the exchange of NU surplus property. Assets shall be offered to other departments and schools on the established Purchasing Resource Services Surplus Property Exchange Program for a recommended minimum of 30 days. Any department or school that has an interest in the asset may directly contact the offering department or school who will provide a more detailed description, location and availability. At that time, interested parties can place a bid or negotiate a sales price. If the asset is not sold during the recommended 30 days, interested faculty, staff or students may bid on the asset for personal use during a recommended 15-day period. Any proceeds shall be credited to the offering department or school.

...

Also, before removing computers and peripherals from university property, you must follow special procedures to remove all data files and proprietary programs. University licensed software may not be sold or donated. See IT policy on Disposal of Northwestern Computers and see information on the [Computer & Peripherals Recycling Program](#) for more information.

Please remember that if equipment is federally funded you will need to obtain ASRSP's approval on any transfer or disposal.

Electronic Communications

Electronic communications, including e-mail and instant messaging, should be treated like any other written communication. Such messages become part of the official record and may have to be released in legal proceedings. In addition, there is always a risk that network security can be breached and files read by unauthorized persons. Thus, care must be taken in what is written, to whom, and with what tone. While we seek to preserve privacy of communication to the extent possible and in accordance with the University's computer use policies, we cannot guarantee that electronic communications will not be made public by "electronic eavesdropping" or court ordered inquiry. The safest assumption is to write only what you are willing to have made public.

Using the University e-mail and instant messaging systems is a privilege that places responsibilities on all users to respect the rights of others, including the rights to privacy, freedom from harassment and freedom of expression. Please see the Northwestern University Policies and Guidelines for computer use, available at <http://policies.northwestern.edu/policies-by-category.html#information-technologies>.

Available Services

Northwestern offers a number of services for electronic communication, both within and outside the University. These include:

- Collaboration Services
 - Microsoft Exchange email and calendar
 - Microsoft Lync instant messaging
- Listserv
- Bulk e-mail

Please contact Weinberg IT (weinberg-it@northwestern.edu or <http://service.wcas.northwestern.edu>) with any questions about which service would best meet your needs.

Bulk E-mail



Moved from section II to this page.

Bulk e-mail is sometimes appropriate for communication within the Northwestern community, but misuse must be avoided. The University has established policies and procedures for the appropriate use of bulk e-mail, and the necessary approvals that must be obtained. Complete details can be found in the guidelines at <http://www.it.northwestern.edu/policies/bulkemail.html>.

UNIVERSITY-WIDE DISTRIBUTION OF E-MAIL MESSAGES REQUIRES:

- Careful identification of the target audience
- Arranging distribution with the appropriate sender(s)
- Approval of the message.

Departments are authorized to send messages to their own students, faculty, or staff, and no special approval is necessary.

As general guideline, the university's electronic mail addresses are not used for commercial advertising for enterprises outside the university. Examples of excluded uses are:

- Commercial advertising for merchants or service providers external to the university, except for notices of services and discounts arranged for members of the University community by the department of University Services
- Solicitations for contributions, charities, or participation in personal activities not related to University purposes and not sponsored by the University
- Solicitations for non-University businesses operated by University faculty or staff
- Surveys or solicitations to members of the community selected on demographic characteristics, such as to selected groups or individuals identified as candidates for research subjects
- Targeted audiences that might appear discriminatory or may appear to be infringement on privacy
- Offensive material
- Repeated requests to make the same or a similar announcement

Network Access

Weinberg College subscribes to the network use policies established by the University and encourages everyone to review the policies stated at <http://policies.northwestern.edu/policies-by-category.html#information-technologies>. The following statement is recommended to notify all NU network users that activities on the network will be monitored.

This system is for the use of authorized users only. Individuals using this computer system without authority or in the excess of their authority are subject to having all their activities on this system monitored and recorded by system personnel. In the course of monitoring individuals improperly using this system or in the course of system maintenance, the activities of authorized users will also be monitored. Anyone using this system expressly consents to such monitoring and is advised that if such monitoring reveals possible evidence of illegal activity or violation of University regulations, system personnel may provide the evidence of such monitoring to University authorities and/or law enforcement officials.

Data Protection and Security

Protecting Critical Data

Faculty, staff, and graduate students in Weinberg College have access to the [Northwestern Box](#) file sharing and synchronization service. Each person has 30GB of storage space available. Departments and research groups can request shared folders with 100GB of storage space for collaborative work. See <http://www.weinberg.northwestern.edu/weinbergit/guides/box-faq.html> for additional information about [Northwestern Box](#).

Weinberg IT [also](#) offers an automated data backup service for Northwestern-owned faculty and staff computers called CrashPlan PRO. Backups are stored on NU-hosted servers, easily accessible through any computer with an Internet connection. Using CrashPlan PRO, Weinberg faculty and staff are able to back up their data, review their backups, and restore their files without IT intervention or administration. More information is available at <http://www.weinberg.northwestern.edu/weinbergit/guides/crashplan-faq.html>.

Computer Security

Antivirus and Security Patches

In order to receive support and maintenance from Weinberg IT, computers must have current antivirus software and appropriate security patches.

Weinberg IT provides support for installation and maintenance. Most computers should be kept turned on 24x7 in order to enable antivirus and security patches to be automatically installed in the middle of the night when traffic is less heavy and when it will not interrupt work. There are no additional security risks as long as the user logs out, leaving the screen with a password required.

Laptop Security

Any faculty or staff member who uses a laptop for business should take steps to prevent the loss of confidential information. Unfortunately, it is not uncommon for a University laptop to be lost or stolen. If there is sensitive information on the computer (Social Security numbers, bank numbers, or other similar items), then the owner of the laptop is responsible for notifying the people whose information has been lost. They are immediately at risk of identity theft. Depending on the volume of data, owners of lost or stolen laptops can spend weeks or months on remediation. Often very large monetary fines are imposed. (In this context "owner" means the person to whom the laptop has been issued, if it is a laptop purchased with University or grant funds.)

Laptop owners should remove all non-essential sensitive data (see http://www.it.northwestern.edu/policies/security/SSN_policy.html) from laptop computers. When possible, essential sensitive data should be stored on a secure server, such as [Northwestern Box](#), to enable both access and protection. See <http://www.weinberg.northwestern.edu/weinbergit/guides/box-faq.html> for additional information about [Northwestern Box](#). If for some reason it is indispensable that sensitive data be kept on a laptop, then it must be encrypted. Weinberg IT will help with the encryption.

Laptops should not be left unattended when possible. Please lock your office when leaving a laptop inside; keep your laptop in sight when traveling.

Please submit a service request at weinberg-it@northwestern.edu or <http://service.wcas.northwestern.edu> for consultation on how best to manage sensitive data and secure laptop computers.

Receiving IT Support

Supported Equipment

Weinberg IT supports Dell, Lenovo, and Apple computer hardware that meets the requirements outlined at <http://www.weinberg.northwestern.edu/weinbergit/support/support-policies.html>.

Service Requests

Service requests should be placed in one of two ways:

1. Via web at <https://service.wcas.northwestern.edu>
2. Via email to weinberg-it@northwestern.edu

The request will be immediately visible to all Weinberg IT team members, and the request will be assigned to the first available team member for initial response.

When possible, the team member will attempt to resolve the request via phone and remote screen sharing. Your screen is shared only at the customer's approval at the time of support. If necessary, the request will be escalated for further efforts at the computer.

A core team of technology staff is responsible for ensuring that support needs are understood and met across Weinberg College. Service requests are shared among this core team and Weinberg IT student workers for best response time during peak loads and staff vacation or sick time.

Moving and Setting Up Computing Equipment

Please notify Weinberg IT before moving computers and printers. Please plan ahead for the setup of computers for new faculty and staff.

Research Computing Resources

Research Computing

Quest

Quest is a high performance computing cluster provided by NUIT to support large-scale research computing tasks. More information is available at <http://www.it.northwestern.edu/research/adv-research/hpc/quest/index.html>.

Social Sciences Computing Cluster

The Social Sciences Computing Cluster (SSCC) supports a variety of research software on the Linux platform for computation in the social sciences, with a rich suite of statistical software applications and a centrally-managed data storage service. See <http://www.it.northwestern.edu/research/sscc/> for more information on computing and software resources.

NUworkspace (formerly Sheridan Cluster)

[NUworkspace](http://www.nuworkspace.northwestern.edu) offers a virtualized Windows desktop for light computing workloads in social sciences and humanities. More information is available at <http://www.nuworkspace.northwestern.edu>. Please submit a service request at weinberg-it@northwestern.edu or <http://service.wcas.northwestern.edu> to request access to the Sheridan Cluster.

Research Storage

Weinberg IT recommends [using one of the following two options for storing research data](#):

1. [Northwestern's Research Data Storage Service is best suited](#) for storing large research data sets. [This service](#) offers scalability (into multiple terabytes per researcher or research group) at a low cost. See <http://www.it.northwestern.edu/research/user-services/storage/research-data.html> for additional information and a sign-up form.
2. [Northwestern Box is suitable for sharing files with collaborators within and outside Northwestern, with file sizes up to 15GB.](#) See <http://www.weinberg.northwestern.edu/weinbergit/guides/box-faq.html> for more information about Box.

Teaching and Learning Computing Resources

Smart Classrooms

Smart classrooms (those equipped with multimedia equipment) are maintained by Academic Technologies. For information and assistance, see <http://www.it.northwestern.edu/education/classrooms/>. The site includes information about room availability, equipment, and reserving rooms, obtaining keys, receiving training in the use of the equipment and receiving assistance while using the rooms. Most Smart Classrooms are no longer equipped with built-in computers. Faculty need to bring their own or departmental laptop computers with them for use in the classrooms. Both Windows and Mac computers will work in these rooms. Please bring your own Ethernet cable; for Mac computers you may need to bring your own video adapter.

Learning Management System

Northwestern uses Instructure Canvas as its learning management system. More information is available at <http://www.it.northwestern.edu/education/learning-management/index.html>.

WCAS encourages all Freshman Seminar advisers to use **Canvas** for their initial contact with new first-year students.

New Technologies

Please contact Chris Comerford, Director of Information Technology (1-2746, c-comerford@northwestern.edu) with any questions on new classroom technologies. Every effort will be made to assist in integrating new technologies into the curriculum.

Funding

Certain funds are available to stimulate the introduction of new technology into the curriculum. See <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/funds-for-enhancing-teaching/> for additional information.

Website Provision and Support

Website Provision

- Websites are provided to Weinberg College departments and programs by the College web communications team. See the [Publications, Websites and Other External Matters](#) section of this handbook for details.
- Faculty, staff, and students needing a website for academic purposes can use the self-service NUsites platform, accessible at <http://sites.northwestern.edu>.

Website Support

- For support for a department or program website, please submit a service request at weinberg-it@northwestern.edu or <http://service.wcas.northwestern.edu>.
- Support for NUsites websites is available through the NUsites dashboard under "Help and Support."

XIV. BUDGETS AND ACCOUNTING

A. FINANCIAL MANAGEMENT

1. NON-SPONSORED ACCOUNTS.

Department chairs are responsible for the management of departmental funds. The main types of non-sponsored accounts are:

- Operating accounts (Fund 110): Departmental operating accounts are generally funded by University appropriations. These accounts are for the unrestricted use of the department.
- Designated accounts (Fund 171): Designated accounts can be controlled either by the department chair or individual faculty. The accounts are designated for a certain type of activity. For example, departmental designated accounts include faculty recruiting, conferences, and computer maintenance. The most common designated accounts are faculty research/discretionary accounts. Depending on the source of funding, it may be possible to change the designation for the account.
- Recharge Centers (Fund 160): Each recharge center should have a separate chart string to capture both revenue and expense. Fees for recharge centers should be evaluated regularly to ensure that the rates are appropriately set and documented.
- Gift accounts (Funds 320 & 330): These accounts are funded from non-recurring cash gifts and may have restrictions.
- Endowment spending accounts (Funds 440, 450, 460): These accounts are the spending accounts for endowments. Annual income is based on a formula derived annually by the budget office and is approximately 4-5% of the market value of the endowment principal account. These funds are recurring sources of income and may have restrictions.

2. BUDGET STATEMENTS.

For an overview of how to read a budget statement, see:

<http://www.weinberg.northwestern.edu/staff/finance-budget-payroll/accounting-and-financial-reporting/cognos-reporting/>

3. DEFICITS.

While accounts may run into deficits during the year, **they must be covered by year-end by a transfer from funds from another account**. Examples of instances where deficits may be encountered during the year include instances where there are timing differences from when an expense is incurred and when the expected revenue is received. Also, endowment spending accounts recognize revenue on a monthly basis, but expenses can be incurred earlier in the year based on the expected annual income.

4. SIGNIFICANT NON-RECURRING EXPENSES.

It is important to note that while there are regular, annual operating expenses that a department will incur, there are also other expenses that can be costly that occur irregularly. For instance, departments are responsible for 10% contributions for faculty start-up and retention packages. Proper financial management requires department chairs to ensure that these funds are available when needed.

5. GIFT FUNDS AND ENDOWMENTS.

If an expense meets the requirements of a gift or endowment account, that account should be used in preference of unrestricted funds. The effective management and stewardship of endowed and gift funds are critical to our ability to raise more money from those who have given in the past and to share with new donors how we are utilizing their contributions so that we might raise even more in the future. Also, using restricted funds before using unrestricted funds is a guiding principle of our budget management.

B. SPONSORED ACCOUNTS.

Furthermore, a department that has sponsored research will have additional accounts that include:

- Cost Share (Funds 191, 192, 193): Cost sharing funds committed for sponsored projects .
- Grant and Contract Funds (Funds 610-650): Each project should have a separate chart string.

In most cases, fiscal responsibilities associated with the administration of grants and contracts reside with the department, center, or institute that administers the award. For additional procedures and resources, see:

http://www.northwestern.edu/asrsp/docs/fiscal_response.pdf and

<http://www.weinberg.northwestern.edu/research/administration/>

C. TRAINING.

The finance office will reach out to new chairs each fall to coordinate an introductory meeting to review individual departmental budgets and to answer any questions. They are also available anytime throughout the year to all chairs. For contact information, see: <http://www.weinberg.northwestern.edu/staff/finance-budget-payroll/finance-and-budget-contacts/>

For full information, please consult <http://www.weinberg.northwestern.edu/staff/finance-budget.html>.

XV. PUBLICATIONS, WEBSITES, AND OTHER EXTERNAL MATTERS

- A. GUIDELINES FOR USE OF WEINBERG NAME.
- B. GUIDELINES FOR USE OF THE WEINBERG COLLEGE LOGO.
- C. GUIDELINES FOR USE OF THE UNIVERSITY LOGO.
- D. PUBLICATION REVIEW.
- E. PUBLICATIONS REVIEW POLICY.
- F. SCHOLARLY PUBLICATIONS.
- G. PUBLICIZING DEPARTMENTAL NEWS.
- H. WEBSITE PROVISION, STANDARDS AND SUPPORT.

A. GUIDELINES FOR USE OF WEINBERG NAME.

In cooperation with University Relations, the College has developed the following guidelines for the use of the Weinberg College name in publications and correspondence. These rules should be followed uniformly in all departments, programs, and other units.

On first reference, the formal name of the College should be used: Judd A. and Marjorie Weinberg College of Arts and Sciences. This name, as well as the College's logo, is printed on the official stationery and thus will serve as the first reference. The formal name should also appear prominently at least once in brochures and newsletters. The exact placement will depend on the design of the document.

On second reference, the College may be referred to as "the Weinberg College of Arts and Sciences" or "Weinberg College." Thereafter, references may be to "Weinberg" (as in the way "Kellogg" or "Medill" or "McCormick" are used) or, especially in internal Weinberg College publications, "the College."

In references where "CAS" has been used in the past, "Weinberg College" is now the preferred term. "WCAS" may be used when referring to the class year of alumni or current students (as in WCAS '97 or WCAS '68).

References to the College in the past tense should be done in the least confusing manner. For example, when discussing an action in the past, you should provide the proper name for the year in which the action took place ("In 1972, the College of Arts and Sciences established the nation's first program in..."). But if the sentence refers to a present state of affairs, Weinberg College should be used ("For many years, Weinberg College has been a leader in the field of..."). If you are writing about the rather distant past, you should be aware that the name of the school was the College of Liberal Arts from 1880 until 1963, and the College of Literature, Science and the Arts from its founding until 1880. When referring to either of these rather old names, you should say, "The College of Liberal Arts, as Weinberg College was then known..."

Any questions regarding usage that are not covered here should be directed to the [Assistant Dean of Marketing and Communications](#).

B. GUIDELINES FOR USE OF THE WEINBERG COLLEGE LOGO.

Consistent use of our logo helps reinforce the College's unity with Northwestern as well as its distinctive identity within the larger University

community. From the standpoint of prospective students, a prime benefit of Weinberg is that it offers the personalized experience of a small liberal arts college within the context of a top-tier research university. Northwestern and Weinberg enrich and strengthen each other.

Therefore, the logo should be treated as a single unit; the Northwestern **university seal** should not be separated from the “Weinberg College of Arts & Sciences” text, and the reverse holds true, as well. The logo can be provided to departments and programs in a range of file formats, depending on your need. Contact c-handzlik@northwestern.edu to request the logo.

Exceptions to this usage are Weinberg College (a) letterhead, and (b) business cards, both of which use variations of the logo shown above due to University Relations branding restrictions. Letterhead and business cards ordered through the approved printer, CBC, utilize the approved variations to the Weinberg logo. Please refer to page 8 of the document: <http://www.weinberg.northwestern.edu/web/documents/Staff-Handbook-Communications.pdf>.

C. GUIDELINES FOR USE OF THE UNIVERSITY LOGO.

Please refer to the website <http://www.northwestern.edu/univ-relations/identity-system/> for the University’s guidelines on the Northwestern University Identity System. It contains information about the official logo, color, and typography which all units must use. You may download the logo from this site.

D. PUBLICATION REVIEW.

By University regulation (see subsection below), every document that is published by a unit of the institution must be reviewed for possible legal consequence, factual accuracy, and overall quality. Because desktop and web publication spreads the capability to produce publishable materials, the University needs to exercise constructive control at the start, rather than having to take remedial action in case of error. In Weinberg College, the Dean’s Office implements that policy and is in touch with the Office of General Counsel when necessary.

As far as we know, most publications of the departments and programs in the College have been reviewed with these criteria in mind for many years. A document produced through University Relations, for example - thus all brochures for recruiting graduate students - has a formal review built into the process. Department and program leaflets that are produced in cooperation with the Office of Admission and the Dean’s Office and sent to prospective freshmen are also routinely reviewed, as are those for students already enrolled (the so-called “Introducing ...” pamphlets) produced by the departments, programs, and Dean’s Office.

By long-sanctioned policy in the College, a newsletter for the alumni or students of a department or program must be reviewed by the Dean’s Office and the Office of Alumni Relations and Development before it is published. The objective of this review is simply to ensure intramural consistency in such areas as the College’s fund-raising priorities. The turnaround time for this Dean’s Office review is kept short; obviously, any lead time is appreciated.

A publication by a department or program that is not mentioned above must be sent to the Dean’s Office for prompt pre-publication review.

E. PUBLICATIONS REVIEW POLICY.

(from the Offices of the Provost and Senior Vice President for Business and Finance, July 1993) Northwestern University expects publications and other materials printed by schools, departments and individuals at the University to reflect well on the institution; at a minimum, they should be clear, factually accurate, and grammatically correct. In particular, there are publications that deserve special attention because they may have one or more of the following characteristics:

1. may imply a legal contract between the University and one of its audiences (students, for example);
2. may have high visibility and impact;
3. may have wide distribution;
4. may discuss topics relating to employment, health, safety, or federal or state laws; or
5. may purport to represent University policy or positions or may obligate the institution, implicitly or explicitly.

When these publications are distributed, the University increases its vulnerability to challenge, legal challenge in particular. If poorly edited, designed, or printed, these publications can also tarnish the University’s image and work against its overall public relations strategy.

Publications that have one or more of the characteristics above need to be reviewed - before they are printed - by University staff charged with the responsibility of review. Publications requiring legal review include:

- Course catalogs and bulletins
- Student recruitment literature
- Applications for admission (may be contained in above or may be separate)
- Faculty and staff recruitment literature
- Financial aid brochures and award forms
- Financial regulations publications
- Housing brochures
- Publications on health and counseling services
- Handbooks and procedures manuals defining student, faculty, or staff rights and responsibilities
- Publications for parents of undergraduates
- Annual reports
- Employment-related publications
- Any other documents or publications that purport to represent University policy or positions or that may obligate the institution, implicitly or explicitly

Publications that have any of the five characteristics enumerated above need to be reviewed by the Office of General Counsel. If a publication is prepared by the Department of University Relations, such a review is built into the process; if not, the office preparing the publication must seek this review upon completion of the final, edited manuscript. Depending on the size of the publication, at least two weeks should be allowed for the review. Several procedures can facilitate this process; prior discussion with the Office of General Counsel as to the sensitive areas that need to be considered; using boilerplate language that can be copied from elsewhere; and scheduling the review in advance. In reprinting, moreover, the responsible office can denote any areas of the publication that have been revised in order to expedite the review of reprints and updates of the publication.

F. SCHOLARLY PUBLICATIONS.

In spring of 2007, the Provost announced that the university's General Faculty Committee had endorsed an "Addendum to Publication Agreements for CIC Authors". This "Addendum", which can be found at <https://www.cic.net/docs/default-source/library/authorsrights.pdf?sfvrsn=2>, is intended to be used by faculty entering into publication agreements with journal publishers or presses. It supports authors' rights to use their own published work in teaching and research, to post a publication on a personal website or to deposit it in a repository maintained by their institution or a professional association. Faculty are encouraged to incorporate this addendum into their publication agreements.

G. PUBLICIZING DEPARTMENTAL NEWS.

The College's Marketing and Communications team is eager to promote your department's news and accomplishments. News items can include (but are not limited to) the following:

- Honors won by faculty members or students
- Significant innovations in teaching
- Faculty books recently published
- Important external grants
- Breakthroughs in research
- News of outstanding alumni achievements

To share your news, please contact the **Editor and Writer** at (extension 7-3004; email r-lindell@northwestern.edu). Depending on your communication goals, news items may appear in one or more of the following channels:

- The College's website: www.weinberg.northwestern.edu
- The College's Twitter feed: @WeinbergCollege
- Our Northwestern, the University's online community
- The digital display at 1918 Sheridan Road
- *Weinberg Magazine*, the college's twice-yearly publication for alumni, parents and friends of Weinberg College

Please also send news and coming events to the Northwestern/NewsCenter at <http://www.northwestern.edu/newscenter/>. Guidelines for newsletters, both online and print versions, may be found at <http://www.weinberg.northwestern.edu/web/documents/Staff-Handbook-Communications.pdf>.

H. WEBSITE PROVISION, STANDARDS AND SUPPORT.

Website Provision and Support

Serving as a dynamic teaching tool, a communications medium, and a marketing channel, a web presence is an essential tool for departments and programs. The Weinberg College dean's office provides and supports websites for its academic departments and programs. Contact the Director of Digital Communications for more information (extension 1-5551; email c-handzlik@northwestern.edu).

Website Maintenance

All Weinberg College websites must be kept up to date. Content is the responsibility of the department or program. Any text that is "contractual" – degree requirements, for example – should either come from a direct web link to authorized materials (preferred method) or be copied verbatim from already approved documents. New contractual material must be submitted for approval before posting. The College may become responsible for incorrect or misleading information, particularly in terms of degree requirements.

The Weinberg College main website -- <http://weinberg.northwestern.edu> -- connects to all departmental pages, and departmental pages should link back to the College's main website.

The main departmental page should have a link that connects to the University's disclaimer at <http://www.northwestern.edu/disclaimer.html>.

Web Support

Information about web support for Weinberg College faculty and staff is available at <http://www.weinberg.northwestern.edu/web>. Please submit a service request at weinberg-it@northwestern.edu or <http://service.wcas.northwestern.edu> for assistance.

Website Standards

All College web sites should follow the Northwestern University Relations web standards. Please refer to <http://www.northwestern.edu/univ-relations/webcomm/styleguide/>. These standards will assist the department in creating web content that is visually appealing and well written.

XVI. GRADUATE EDUCATION

- A. GRADUATE FACULTY MEMBERSHIP
- B. APPROVAL OF GRADUATE COURSES
- C. GRADUATE ADMISSIONS AND RECRUITMENT
 - 1. PROMOTING GRADUATE PROGRAMS
 - 2. RECRUITMENT
 - 3. OFFER LETTERS
 - 4. GRADUATE FELLOWSHIPS
- D. GRADUATE STUDENT ADVISING AND MENTORING
- E. TEACHING ASSISTANTS
 - 1. PROCEDURE FOR APPOINTMENTS
 - 2. TEACHING ASSISTANT PLANS
 - 3. TRAINING OF TEACHING ASSISTANTS
 - 4. INTERNATIONAL STUDENTS: ENGLISH TEST SCORES
 - 5. CITIZENS: TAX STATUS AND FAFSA
 - 6. TAX FORMS/I-9
- F. OTHER COMPENSATED WORK

Nearly all Weinberg departments, as well as many of our interdisciplinary programs, provide opportunities for graduate study. Graduate students studying in Weinberg College are admitted and funded through The Graduate School. For more details: <http://www.weinberg.northwestern.edu/graduate/>.

A. GRADUATE FACULTY MEMBERSHIP

All faculty members who hold tenured or tenure-line appointments at the University will be automatically be appointed to the Graduate Faculty on an annual basis. The duties of the Faculty of the Graduate School shall be to approve the various programs of study leading to advanced non-professional degrees, to establish regulations governing the conferring of advanced non-professional degrees, to recommend candidates for advanced non-professional degrees, and to perform such other duties as ordinarily fall to a faculty member. Persons who are not automatically appointed as Graduate Faculty but hold a research, clinical, adjunct, teaching, visiting, or emeritus position at Northwestern, or are affiliated with another institution, and are actively involved in graduate education (e.g. teaching, advising, serving on thesis, prospectus, and/or dissertation committees), may be nominated by a school dean to be appointed to the Graduate Faculty. An appointment to the Graduate Faculty is not necessary for teaching graduate courses. These nominations may occur at any time during the academic year. To request an appointment to the Graduate Faculty; send a letter of nomination and curriculum vitae to the Associate Dean for Research and Graduate Studies in Weinberg. If approved, it will be forwarded to the Associate Dean of Academic Affairs in TGS for final approval. These appointments are normally made for a term of four years and may be renewed. Refer to: <http://www.tgs.northwestern.edu/resources-for/faculty/graduate-faculty-membership.html>.

B. APPROVAL OF GRADUATE COURSES

All new 400 and 500 level graduate courses in Weinberg College programs should be submitted to the **Assistant Director of Graduate Studies** for review and approval by the Weinberg College Graduate Curricular Review Committee <http://www.weinberg.northwestern.edu/faculty/teaching-curriculum/new-courses/index.html>. This committee consists of Weinberg College faculty representatives plus the Associate Dean for Research and Graduate Studies and the Associate Dean for Undergraduate Academic Affairs. All 300-level courses which are to bear graduate credit must also be approved by the Weinberg College Curricular Review Committee.

All *interdisciplinary* 400 and 500 level graduate courses and any policy changes are to be reviewed by the TGS Curricular Committee.

C. GRADUATE ADMISSIONS AND RECRUITMENT

1. PROMOTING GRADUATE PROGRAMS

Departments and programs should be in touch with the Weinberg Marketing and Communications team for guidance in promoting their graduate programs.

2. RECRUITMENT

Most programs invite top recruits to campus for a visit. Some programs admit students before these visits, some after. There is no consensus as to which approach is more successful with prospective students. There is, however, consensus that a successful recruitment visit can certainly sway an applicant to come to Northwestern. TGS assists many programs, primarily in the humanities, in the planning and administration of these visits. TGS also partners with WCAS to provide partial financial support for all programs in support of their recruitment efforts. The Graduate School offers additional assistance to departments in their efforts to recruit diversity candidates. Contact the **Assistant Dean of Diversity and Inclusion** in The Graduate School for detailed information. For more information on how TGS promotes diversity in the graduate student population: <http://www.tgs.northwestern.edu/diversity/index.html>.

3. OFFER LETTERS

All draft letters of admission must be approved annually both by the Assistant Director for Recruitment and Admissions in The Graduate School and the Assistant Director for Graduate Studies in the College. Offer letters must be sent to applicants via email as PDF attachments with copy to TGS tgs-offers@northwestern.edu. The subject line of the email must include the applicant's first and last name so TGS can easily track the record. All offers of admission should be made by April 15. Permission to make late offers, up until the end of April, must be secured in advance from both WCAS and TGS.

4. GRADUATE FELLOWSHIPS

The Graduate School has separate and distinct support models for doctoral and master's programs. Most graduate programs in the College have migrated to a three-year block system, whereby The Graduate School directly allocates a block of quarters to support University Fellowships, Graduate Assistantships, and Teaching Assistantships to each program. The program is expected to manage these resources so as to supply their needs over a period of three years. Thus, a departmental admissions overrun in one year may be balanced by a corresponding shortfall in a subsequent year. In addition to the funding available through the University, students may also receive support from external sources such as grants, gifts, or endowments. Refer to: <http://www.tgs.northwestern.edu/funding/index.html>.

D. GRADUATE STUDENT ADVISING AND MENTORING

Each graduate program appoints a Director of Graduate Studies (DGS) to advise and mentor students. TGS holds quarterly meetings for all DGS appointees to consult about new policy and apprise them of critical developments in graduate education. The Graduate School's Excellence in Doctoral Mentoring Initiative provides activities, programming and resources to faculty. Refer to: <http://www.tgs.northwestern.edu/resources-for/faculty/excellence-in-mentoring/the-benefits-of-mentoring.html>.

E. TEACHING ASSISTANTS

The Graduate School allocates graduate assistantships, which support teaching assistants, to WCAS graduate programs and to select non-admitting programs as part of the support packages granted to students upon admission. While the College attempts to respond to a department's pressing need for additional assistantships on an occasional basis, the total number of awards in the College is fixed and resources are limited.

1. PROCEDURE FOR APPOINTMENTS

In general, students in years two through five of graduate study may be appointed as teaching assistants by departments and programs, whether in their own program or in a suitable cognate program. Assistantship support for a limited number of sixth-year students (funded by The Graduate School and based upon undergraduate teaching demand that cannot otherwise be met by the population of more junior graduate students in related programs) may be available upon application by the program to the Weinberg College Associate Dean for Research and Graduate Studies. In rare cases and for exceptional circumstances, the Associate Dean may approve assistantship support for a seventh-year student (funded jointly by The Graduate School and Weinberg College). Students beyond year seven of graduate study cannot be supported by teaching assistantships.

The assignment of teaching assistants to specific courses is (just like teaching assignments for faculty) ultimately the responsibility of the department chair. However, in most departments this duty is delegated by the chair to the Director of Graduate Studies (DGS) or, in some cases, to a distinct TA Coordinator. While the DGS will typically consult with both graduate students and course instructors (and sometimes with the DGS in a related department who may wish to share or exchange TAs) before making TA assignments, it is fundamentally the task of the DGS to make TA assignments for the department. Individual instructors do not independently choose their own TAs.

When assigning TAs to specific courses, the DGS should take careful note of enrollment histories, so as not to assign too many or too few TAs to a course. In general, smaller courses (enrollment less than 25) are not granted TAs unless special attributes of a course provide a compelling reason to do so.

2. TEACHING ASSISTANT PLANS

Each Spring Departments should develop TA utilization plans for the following academic year. The plan should indicate all TA assignments, unassigned students, and courses in need of additional TAs for Fall, Winter and Spring quarters. This information provides an overview of TA employment with WCAS, helps to address apparent mismatches in TA supply and demand and to arrange funding for sixth-year graduate students as needed. When your plan is complete send your TA plan to the Assistant Director of Graduate Studies.

3. TRAINING OF TEACHING ASSISTANTS

Teaching assistants play a vital role in the educational mission of the College. It is essential that the department closely monitor the performance of its teaching assistants and that it assist and encourage their development as teachers. Some assistance is available at the University level; the Searle Center for Advancing Learning and Teaching offers various services to improve the teaching skills of teaching assistants. chairs may obtain further information on available help from the Searle Center (extension 7-2338). The Center also maintains a library of articles, books, and videotapes on various aspects of college teaching; maintains an extensive website with teaching-related resources; conducts workshops for departments; and hosts a series of public forums on teaching, featuring outstanding teacher/scholars from the Northwestern faculty: <http://www.northwestern.edu/searle/>.

Departments are urged to develop their own training program that recognizes the unique teaching needs of that specific field. These departmental efforts will supplement the supervision and mentoring undertaken by faculty members in charge of a course using teaching assistants. It is imperative that teaching assistants with duties that involve contact with students be fluent in English.

Departments should also make sure that teaching assistants-especially those coming from abroad-fully understand the norms of American academic life. Among the important issues are authority in the classroom, sexual harassment policies, standards of grading, and policies and procedures concerning violations of academic integrity.

4. INTERNATIONAL STUDENTS: ENGLISH TEST SCORES

Students can satisfy the English proficiency requirement in any of these four ways effective 8/20/2015:

- a. Passing the Versant test (scoring 65 or higher out of a possible 80) or SPEAK test (scoring 50 or higher out of a possible 60).
- b. A score of 26 or higher (out of a possible 30) on the Speaking Section of the TOEFL internet-based test.
- c. Two Versant test scores of 63 or 64. Students who score within the two-point margin of error for passing the Versant test on two separate occasions will fulfill the English proficiency requirement. The tests need not be consecutive.
- d. Teaching demonstration in LING 480. During summer quarter 2016, English Language Programs will re-introduce Linguistics 480, The Language of Teaching and Teachers. This course will be co-taught with the Searle Center for Teaching Excellence, and will include a teaching demonstration as a capstone project at the course's conclusion. This demonstration will allow students to demonstrate their English proficiency in a live, face-to-face context, as they directly address the skills they will need to be effective teachers and TA's. Students who demonstrate the required level of English proficiency during their teaching demonstration will fulfill the English proficiency requirement.

5. CITIZENS: TAX STATUS AND FAFSA

Every U.S. citizen or permanent resident applying as a graduate assistant must submit a completed Free Application for Federal Student Aid (FAFSA) form annually. For information on obtaining and completing this form, students may consult the [Federal Student Aid website](#).

6. TAX FORMS/I-9

Departments are responsible for having their students submit the appropriate tax withholding forms to the Payroll Office, 720 University Place. U.S. citizens and permanent residents should submit withholding forms for federal and state tax; international students should submit an Alien Tax Status form (see <http://www.northwestern.edu/hr/foreign-nationals/student-employee-annual-taxes/index.html>). Any student who has not been on the Northwestern University payroll previously (or within six months) must complete an I-9 form in person at Payroll and must furnish the appropriate documentation to prove work eligibility in the United States.

F. OTHER COMPENSATED WORK

Graduate students funded through The Graduate School or the College (whether by fellowships or assistantships) may engage in other work for compensation (termed "additional pay") with the following restrictions. If the additional work involves an excess of 10 hours/week, a duration of more than a month, or compensation of over \$600 the student must request approval from TGS. The request must provide the number of hours to be worked, the amount of compensation, the overall time period, and the nature of the work. The request must have the endorsement of both the student's major advisor and department chair. Requests need to be submitted to the TGS financial aid unit with a copy to the Assistant Director of Graduate Studies in WCAS. In general, requests will only be approved for which both the student's thesis advisor and the department chair certify as having no adverse effect on timely completion of the student's degree. Refer to policy 17.2 Permission To Work: <http://www.tgs.northwestern.edu/about/policies/financial-aid-policies.html#permission>.

XVII. DEVELOPMENT AND FUNDRAISING

- A. OVERVIEW.
- B. WEINBERG COLLEGE DEVELOPMENT OFFICE STAFF.
- C. INTRODUCTION.
 - 1. GIFT SOLICITATIONS.
 - 2. MONTHLY DEPARTMENTAL GIFT REPORT AND ACKNOWLEDGEMENTS.
 - 3. STEWARDSHIP.
- D. FUNDING PRIORITIES AND OPPORTUNITIES FOR GIVING.
 - 1. ANNUAL GIVING.
 - 2. THE WILSON SOCIETY.
 - 3. THE NORTHWESTERN LEADERSHIP CIRCLE (NULC)
 - 4. SPECIAL GIFTS.
 - a) EXPENDABLE FUNDS.
 - b) GIFTS TO ENDOWMENT.
- E. ADDITIONAL INFORMATION.
 - 1. ACKNOWLEDGEMENT OF GIFTS IN NEWSLETTERS.
 - 2. RECEIVING DONATIONS.
- F. GIFTS TO NORTHWESTERN UNIVERSITY FROM FACULTY AND STAFF.
- G. GIFTS-IN-KIND PROCEDURE.

A. OVERVIEW.

The Weinberg College Development Office is a resource available for all departments and individual faculty to assist in fundraising, alumni

relations and other related activities. Working within the Department of Alumni Relations and Development, the College's development staff is housed at 1201 Davis Street.

Weinberg College development staff members coordinate fundraising activities for the College through the annual giving programs for undergraduate and graduate alumni and solicitation of major gifts from individuals, corporations, and foundations. Other members of the University Development Office work to secure funding for the College as well. For example, the Offices of Corporate and Foundation Relations work closely with faculty members to raise money from private foundations and corporations.

B. WEINBERG COLLEGE DEVELOPMENT OFFICE STAFF.

The Development Office consists of a Senior Director of Development, Senior Associate Director, Assistant Director and Program Assistant. The Development Office can be contacted as follows:

Weinberg College of Arts and Sciences
Northwestern University Office of Alumni Relations and Development
1201 Davis Street
Evanston, IL 60208
Phone: 847-491-4583
Fax: 847-491-7095

Please contact the Assistant Director of Development, with any questions regarding any alumni and fundraising activities.

C. INTRODUCTION.

The Development Office interacts with departments in a variety of ways throughout the year. These can be divided into three primary areas:

1. GIFT SOLICITATIONS.

The Weinberg College Development Office is in touch with department chairs and program directors regarding individual, corporate, and foundation major gift prospects. Faculty can provide valuable information and guidance to development staff who are working to secure a gift for a specific department, program, or center within the College. Department chairs, program directors, and other faculty should call the development staff if they have projects that need funding, or if they know of likely candidates for philanthropic support.

A department must also work with the Development Office if they wish to directly solicit their alumni for department-specific fundraising efforts. There are restrictions on the types of letters that may be sent and the timing of these appeals. Please contact the Weinberg Development Office for these guidelines and procedures.

2. MONTHLY DEPARTMENTAL GIFT REPORT AND ACKNOWLEDGEMENTS.

The monthly gift report is generated by the Development Office and lists expendable gifts received from individuals, corporations and foundations for the previous month. The list includes the name, address, and degree(s) from Northwestern University as well as the date, type (outright, matching, pledge), specific fund, and amount of each gift.

The Development Office strongly encourages departments, programs and individual faculty to acknowledge all gifts to their area. While the University acknowledges all gifts with a receipt, card or letter donors appreciated hearing directly from the department as well.

For gifts of \$25,000 or more, please send copies of acknowledgement letters to the Weinberg College Development Office at 1201 Davis St Evanston IL 60208.

3. STEWARDSHIP.

The Development Office is charged with the stewardship of gifts and endowed funds designated for Weinberg College. This typically means keeping the donors informed of activities related to their gift (for example, the appointment of a faculty member to an endowed professorship), providing them with news that indicates the ongoing value of their gift to students and faculty, and framing proposals for additional projects of possible philanthropic interest. The development staff will contact your program or department regarding endowed funds, endowed chairs, fellowships, lectureships, and other special gifts received by the department. Research in philanthropy has shown that people who have made major gifts in the past are likely to make additional gifts provided they are kept informed of the significance of their contribution.

It is important for the Development Office to be aware of any contact with donors, so please send copies of your correspondence to the College's Director of Development. Should you have any questions regarding endowed funds in your department or program, please contact the Weinberg College Development Office.

D. FUNDING PRIORITIES AND OPPORTUNITIES FOR GIVING.

1. ANNUAL GIVING.

Among the most important goals is to increase the number and value of gifts to the annual fund for Weinberg College. Annual giving provides a reliable base of support for College operations and programs. Directed by the Dean to areas of greatest immediate need, such gifts provide the flexibility to pursue new opportunities that arise in the course of the academic year. Annual gifts support research, student financial aid,

internships, new curricula, and renovation of classrooms and laboratories.

2. THE WILSON SOCIETY.

The Wilson Society for the Arts and Sciences, the College's premier gift club, is the cornerstone of annual giving to the College. Although the focus of the Wilson Society is on unrestricted giving, gifts of \$1,000 or more during the fiscal year to any area of the College count for membership. Total giving from an individual and family foundation, as well as matching gifts, counts toward membership in the Society. Membership must be renewed annually. The levels of membership are as follows:

Founder's Circle \$50,000+
President's Circle \$25,000-\$49,999
Dean's Circle \$10,000-\$24,999
John Evans Circle \$5,000 - \$9,999
Fellow \$2,500 - \$4,999
Member \$1,000 - \$2,499

Wilson Society members are recognized in an annual honor roll listed in *Crosscurrents* magazine. They receive regular news from the College and are invited to attend lectures and receptions on campus or in other metropolitan areas each year.

3. THE NORTHWESTERN LEADERSHIP CIRCLE (NULC)

In addition to the Wilson Society, contributions of \$1,000 or more to any fund at Northwestern are also recognized by a University-wide giving society. The giving levels for the NULC are the same; thus Wilson Society members also qualify for NULC membership. Members of the NULC receive enhanced recognition, including special communications about the daily impact of leadership giving and invitations to exclusive events.

4. SPECIAL GIFTS.

The University seeks special gifts for programs, centers, and departments of Weinberg College. These gifts fall into two categories:

a) EXPENDABLE FUNDS.

The College seeks to raise funds for special needs within its departments, programs, and centers. These expendable funds can be used to support special events, student research stipends, field research by undergraduate and graduate students, and many other initiatives.

b) GIFTS TO ENDOWMENT.

Endowment gifts create a source of permanent support, generating annual income to fund general or specific needs. Endowment represents a long-term commitment to the well-being of the University. By its very nature, endowment is self-sustaining. Donors often choose to name their endowed funds for a loved one or someone else they wish to honor.

E. ADDITIONAL INFORMATION.

The following information is intended to provide general guidelines regarding the involvement of academic departments and programs in the development process.

1. ACKNOWLEDGEMENT OF GIFTS IN NEWSLETTERS.

Departments may acknowledge large gifts in their newsletters to alumni and other external audiences, taking care not to name donors who wish to be anonymous. In addition, the department may wish to indicate how other gifts (not listed by name) have helped the department provide research monies to students, buy new instructional software, and so forth. Departments must not solicit funds through those newsletters or other mailings unless such appeal has been specifically approved by the Dean and the development office.

If you have any questions regarding gift acknowledgements or establishing procedures for your department, please contact the Weinberg College Development Office at 491-4583.

2. RECEIVING DONATIONS.

All donations made to the University received by departments must be sent to University Development's Gift and Record Services (1201 Davis St, Evanston, IL 60208). This is the only way that donors can receive an official receipt for tax purposes.

Please include any and all materials sent with the gift, including the envelope. If there is a specific chartstring the gift should be placed in, please send the name and account number in a not along with the materials.

F. GIFTS TO NORTHWESTERN UNIVERSITY FROM FACULTY AND STAFF.

Under IRS regulations, the basis for a charitable deduction is that the donor does not have constructive receipt or personal benefit from the use of funds. The definition of what constitutes personal benefit is based upon facts and circumstances. In order to assure that all facts and circumstances are examined, and that appropriate independent oversight is given to the disposition of gifts, all gifts from faculty and staff

must be credited to either departmental or school accounts which are controlled by an individual other than the donor. (If members of the immediate family also work at the University, this prohibition also extends to any accounts that such immediate family member may control.)

As with all gifts, donations from employees must be routed through University Development's Gift and Record Services Unit. Only Gift and Record Services can issue a gift receipt that constitutes official University recognition of gifts for tax purposes. In accordance to the University's conflict of interest policies, the following form must be signed by all faculty and staff when they make a personal contribution. Please print this form and send to Gift and Record Services at the time a gift is made: http://www.northwestern.edu/financial-operations/policies-procedures/policies/facultystaff_giftpolicy.pdf.

G. GIFTS-IN-KIND PROCEDURE.

A gift in kind is a non-cash donation to Northwestern, which is used by the University to carry out its educational mission. Most gifts in kind will be counted at full market value. Gifts of equipment, including, but not limited to, computers, software, laboratory, and technical equipment will be counted at the educational discount value.

Please use this form to report a gift-in-kind, link below. By completing this form the donor receives a gift receipt and an acknowledgement, and the University becomes aware of this company as a corporate partner. <http://corporate.northwestern.edu/faculty-and-staff/gift-in-kind.html>.