Northwestern | WEINBERG COLLEGE OF ARTS & SCIENCES

CHAIRPERSON'S HANDBOOK

Procedures and Practices in Weinberg College

Dear Colleague,

This document is a revision of the *Chairperson's Handbook,* a document that came into its recognizable form in the 1990s. The document evolved from 1991 to 2015 under the deanships of Lawrence Dumas, Eric Sundquist, Daniel Linzer, Sarah Mangelsdorf, and the stewardship of Marie Thourson Jones and Steve Cole. After three decades, much of what is contained in this document remains valid, pointing to the perspicacity of our predecessors in developing procedures and practices that aimed at giving detailed pathways toward securing the College's mission of teaching and research.

Deans Dumas, Sundquist, Linzer, and Mangelsdorf included versions of the following in a prefatory note, which explains the intended function of the document:

> This revision of the *Chairperson's Handbook*, which is addressed to departmental staff members as well as chairpersons, describes policies and procedures that obtain in all departments. It focuses on matters that are not pursued in detail in the *Northwestern University Faculty Handbook* . . . [and] it attempts to answer many of the day-to-day questions that arise in a department office.

Aiming at accuracy, the document has been regularly revised and is subject to change. In this version, we have responded to the availability of up-to-date information about procedures and practices on our websites; we have included many links to that information in this text. This helps ensure better alignment with University and College policies and practices.

Nonetheless, this edition of the *Chairperson's Handbook* will be familiar to those who have used it in the past. It maintains the fundamental sections and divisions of earlier versions, while updating language to reflect today's usage, includes more fully the teaching-track faculty, and acknowledges the growth in importance of our interdisciplinary programs. Despite this latter point, we decided to retain the word "chair" in the title of this document. The *Handbook* addresses a wider audience than just chairs of departments; we hope that it is useful for chairs, directors, administrative staff, and faculty members. For historical reasons, however, we thought it best to maintain this title, which has served us well and for many is still significant.

This is a living document. Please do send us suggestions for improvements and revisions. The goal is for us to continue the decades-long process of sharing with colleagues the very best information possible as a basis for excellent collaboration.

Adrian Randolph, Dean

January 1, 2022

TABLE OF CONTENTS

MEMBERS OF THE OFFICE OF THE DEAN: https://weinberg.northwestern.edu/contact/index.html

I. CONDITIONS OF EMPLOYMENT

A. FACULTY MEMBERS' RESPONSIBILITIES

1. SERVICE AND CITIZENSHIP

A faculty member teaches courses and advises students as assigned by the dean or department chair, performs research, and, as a responsible member of the College 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 Faculty Handbook, helps to form the basis on which performance is evaluated.

The context of this service is described by the principles of academic freedom and tenure as formulated by the American Association of University Professors, to which Northwestern subscribes:

> Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties. . . . Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter, which has no relation to their subject. . . . [T]hey should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

These excerpts are from the AAUP statement as quoted in the Northwestern University Faculty Handbook: Academic Freedom, page 1.

2. PRESENCE ON CAMPUS

The University engages faculty members, usually for the nine months of the academic year, to do the work described above. More information about presence on campus and leaves of absence can be found in the Northwestern University Faculty Handbook.

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 themself from more than three consecutive scheduled class hours must obtain the consent of the department chair or program director. Arrangements should be made to cover or make up the missed classes.

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 they 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 more than one week 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. Also see “Leaves of Absence” in the Faculty Handbook.

Additional information on other types of absences, including jury duty, voting time, school visitation, and bereavement absence, can be found on the Human Resources “Other Absences” page.

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. While some departments and programs may permit remote participation, the expectation is that all full-time faculty members should be available for in person meetings.

4. OFFICE HOURS

Students should be able to consult with their instructors without difficulty or delay. This means that faculty members are expected to offer regular office hours that are announced on syllabi 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 members 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.

5. POLITICAL ACTIVITIES; USE OF UNIVERSITY FACILITIES

Please see Northwestern University's Faculty Handbook for information and policies.

7. DISCRIMINATION, HARASSMENT, AND SEXUAL MISCONDUCT, AND RELEVANT POLICIES

Please see Northwestern University's Faculty Handbook for information, policies, and reporting guidelines.

7. GUIDANCE ON CIVILITY

Please see https://www.northwestern.edu/provost/policies/provosts-statement-on-civility/.

8. CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT

Please see Northwestern University's Faculty Handbook for information, policies, and reporting guidelines.

9. OUTSIDE ACTIVITY FOR PAY; APPOINTMENTS AT OTHER INSTITUTIONS

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

Professional activities conducted by faculty members outside the University are a privilege, not a right, and must not interfere with a faculty member's University responsibilities. Faculty may be permitted up to 20 percent of professional effort for activities beyond the scope of their primary faculty duties involving teaching and research. However, faculty with substantial administrative responsibilities at the University may have less time available for extramural activities because effort devoted to administrative activities is not associated with any privilege to engage in outside activities. The extent of outside activities permitted for medical clinical faculty is determined by the entity (e.g., affiliated hospital) through which the faculty member carries out their clinical duties. Professional activities beyond the scope of a faculty member's primary duties may be subject to approval by their department chair and the dean. A fuller statement of policy and requests for exceptions may be found in the Northwestern University's Faculty Handbook and at http://www.northwestern.edu/coi/policy/core_coi_policy.pdf

10. ADDITIONAL NORTHWESTERN EMPLOYMENT OF FULL-TIME NORTHWESTERN FACULTY MEMBERS

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, they may be paid to give a seminar to a group of alumni or other outside audience.

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 Weinberg College 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 in any given year (from September 1st to August 30th of the next year) normally may not take on additional teaching for pay during that academic year.

11. RESEARCH POLICIES, INCLUDING RESEARCH INTEGRITY

For Northwestern's research policies, please see https://www.research.northwestern.edu/policies/

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 may be found on the web site of the Office for Research Integrity: https://www.researchintegrity.northwestern.edu

12. DRUG-FREE WORKPLACE

Please see Northwestern University's Faculty Handbook for information and policies.

13. WORK/LIFE AND FAMILY RESOURCES

Please see https://www.northwestern.edu/hr/benefits/work-life/index.html

15. DEPARTING FACULTY

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 Office of the Dean 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.

Once a faculty member has decided to resign from the University, they must get approval from the Office of the Dean 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 they 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.

20. RETIREMENT AND EMERITUS STATUS

Please see Northwestern University's Faculty Handbook for information and procedures. In the College, departments and programs may recommend to the dean that an eligible retiring colleague be granted emeritus or emerita status. Most units support such recommendations with a formal vote. The dean then decides whether to pass on such recommendations to the provost. Departments and programs set the rights and responsibilities accorded to emeritus faculty colleagues. The College does not, however, accept as valid votes taken by emeritus faculty on any personnel and/or faculty advancement issues.

B. DEPARTMENTAL RESPONSIBILITIES

1. DEPARTMENT CLIMATE

The department chair is in a strong position to foster a climate that is supportive of colleagues and students. They should be sensitive to the kinds of words and actions that could reasonably be interpreted as insulting and isolating. Slights, 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 has developed new procedures for search committees to ensure that an equitable search process is carried out, and also to raise awareness of possible implicit biases in the hiring process (see http://www.northwestern.edu/provost/faculty-resources/faculty-search-committees/search-guidelines/pre-search.html and http://www.northwestern.edu/provost/faculty-resources/faculty-search-committees/unconscious-bias.html).

2. 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. (Please note, in this context "program" refers to all academic units that courses and/or faculty appointments. In the College, this means some centers are considered to be programs administratively). Options include a governing or executive committee, a committee of all affiliated faculty, and ad hoc committees appointed in consultation with the Office of the Dean. 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.

3. 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.

The chair or director should know the whereabouts of and how to reach every member of their 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.

4. 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 Office of the Provost for medical leave (https://www.northwestern.edu/provost/policies/faculty-leaves/index.html). The confidentiality requirements of federal law mean that a chair and the dean may be unaware of an application for medical leave until the Office of the Provost 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 Office of the Dean 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.

5. DISCRIMINATION, HARASSMENT, AND SEXUAL MISCONDUCT, AND RELEVANT POLICIES

Please see Northwestern University's Faculty Handbook for information, policies, and reporting guidelines.

6. 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 Office of the Dean. 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. Please see Northwestern University's Faculty Handbook for more information about Conflicts of Commitment and Conflict of Interest.

7. INSTITUTIONAL PARTNERSHIPS

Sometimes a faculty member or group of faculty members 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 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.

8. TEACHING SCHEDULES

All letters of appointment indicate that the dean assigns teaching responsibilities. This task is largely delegated to department chair s 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 they will teach only a small number of specialized classes, cap courses at a level below the departmental norm, or control the scheduling of their 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 their home department.

The Office of the Dean may authorize 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 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.

More information can be found at: https://weinberg.northwestern.edu/faculty/teaching-research-service/teaching-curriculum/

9. 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 Office of the Dean.

Chairs should establish uniform rules for allocating departmental resources and routine procedures for faculty and staff for reimbursement and purchase.

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 Office of the Dean 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.

10. DEPARTMENTAL ENDOWED FUNDS; DISCRETIONARY RESEARCH ACCOUNTS

The Weinberg College Endowment Spending Policy can be found at: https://weinberg.northwestern.edu/staff/finance-budget-payroll/policies/protected-policy/index.html

The Office of the Dean 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 computer hardware and software (including a computer for your campus office), other equipment purchases, research assistance, manuscript preparation, purchase of books and supplies, and travel for research and professional meetings. Unexpended funds will be carried forward to subsequent fiscal years. Items purchased with University funds become the property of Northwestern University.

11. 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.

12. COUNCIL OF CHAIRS AND DIRECTORS

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 and directors are encouraged to submit topics for the agenda of these Council meetings.

13. 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.

14. ABSENCE OF CHAIR OR DIRECTOR

If the chair or director 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 the associate dean for faculty.

15. BRIEFING A NEW CHAIR OR DIRECTOR

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

C. CVS AND VITA SUPPLEMENTS

A department sends a CV to the Office of the Dean 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. 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 now collected digitally.

2. PERIODIC COMPILATIONS; COMPUTER-STORED DATA

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

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 SETTING

Faculty members are reviewed every year and their records in institutional citizenship, teaching and advising, research, and service enter into decisions about salary levels. Reviews are conducted at the department and program level with recommendations from chairs and directors forwarded to the Tenure Line Merit Review Committee and the Teaching Track Merit Review Committee. These committees review the performance of all faculty members and make recommendations to the dean. 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.

The timetable and mechanics of the salary process for the teaching-track and the tenure-line faculty are similar. 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 their 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 their 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 and/or other methods established by the department for measuring teaching as appropriate, the contributions the faculty member has made to the intellectual and professional life of the department, and other evidence. More information about evaluation and compensation can be found here. (https://www.weinberg.northwestern.edu/faculty/career/evaluation-compensation/)

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 their recommendations. The dean, the associate deans and the elected Merit Review Committees review and discuss all of the recommendations in the College, referring also to each faculty member's vita supplements. The dean presents the recommended salaries for review by the provost and after the provost has approved, notifies each faculty member of their 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:

- Chairs and directors should speak to each faculty member about their 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, chairs and directors should be willing to make distinctions among departmental and program 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. Chairs and directors should 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.

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.

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 Office of the Dean 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 ways in which the colleague participates as a member of the campus community. The dean or associate dean may arrange to meet with the candidate to hear their concerns and may attempt to respond to the colleague's needs in terms of making Northwestern a stronger environment for their career. Sometimes an outside offer carries conditions or terms that the College cannot meet, or it may appear that the candidate's career might benefit from a move to a different institution. Other times, 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 institution rather than another.

II. CONTINUING FACULTY: RECRUITMENT AND APPOINTMENT

A. RECRUITMENT PLANS AND AUTHORIZATIONS

1. OCCASION FOR SEARCHING

The dean, associate dean for faculty, and other colleagues in the Office of the Dean will work with departments throughout the year to develop medium and long-term recruitment 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 and some programs will be asked annually to provide the Office of the Dean 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 and program plans will be reviewed by the dean and lead toward the College's request to the provost for faculty search authorizations. It is appropriate for academic units, 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. 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. However, should an academic unit recommend that a faculty member be awarded tenure, but this recommendation is not followed by the dean or provost, the expectation should be that the faculty member would not be replaced.

If a department has an authorized search but fails to identify or hire an exceptional candidate one year, the search will not automatically roll over into the following year; a proposal to search again must be resubmitted to the Office of the Dean for approval. Departments will often be allowed to continue the search the next year, but this decision is ultimately at the discretion of the dean and the provost.

2. RECRUITMENT PLANS

When a department's or program's recruitment plan calls 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 essential.

The Office of the Dean requires that academic units submit, via webform, specific data that addresses:

- Proposed specialty/area, if applicable
- Proposed rank
- Source of line (replacement of departure, incremental request, etc.)
- Whether this is a renewal of a previously run search
- Whether the position requires laboratory or other research space
- Whether the position entails working with animals
- The identified office space for the potential incumbent
- Identified laboratory or research space for the potential incumbent
- Search committee members, including chair
- Search committee equity representative (learn more about this position here)
- DRAFT of the proposed advertisement

In a letter to the dean, the chair should address these points:

- How this hire might further diversify your department, and what concrete steps the department and committee will take to ensure a diverse applicant pool and equitable review and interview practices.
- Whether you seek to search open field or within a subfield. If the latter, explain the priority for recruitment in specific sub-fields, as related to both the research and teaching missions of the department and more broadly of the College and the University.
- How the position will either address a lack or complement existing strengths at Northwestern, and how it responds to scholarly developments.
- Should you wish to propose a search above the rank of assistant professor, please provide the rationale for a tenured hire.
- Any one-time and multi-year expenses required to support a new faculty colleague.

Additionally, for the Teaching Track Faculty, a case for the programmatic need for an additional faculty position or the replacement of a teaching-track faculty position 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 studentsserved 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.

Please note that any request for additional additional teaching-track faculty positions may affect the number of tenure-line positions available to the departments.

3. SPACE CONSIDERATIONS

The academic unit should ensure that there is space for a new faculty member's office and laboratory before undertaking a search. The Office of the Dean will not approve any 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 unfeasible 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 to the provost and, at the appropriate time, notifies chairs about which searches the provost has approved and which are not authorized.

B. APPOINTMENT: ASSUMPTIONS, POLICIES, AND INCLUSIVITY

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 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, in respect not only to promise in research and teaching but also to the subtler ways in which additions to the faculty can bring uncommon dimensions and fresh intellectual stimulus to the campus.

One of the most substantive issues concerning recruitment of faculty members is identifying the most qualified persons, including members from historically underrepresented groups, for all openings. In line with the University's commitment to increasing the representation of individuals from such groups on the faculty, a thorough search should be undertaken to fill all tenure-track faculty positions. Please consult the Diversity Recruitment Resources available through the Office of Equity. Please also take note of Northwestern University's Policy on Institutional Equity.

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 historically underrepresented 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 faculty members from historically underrepresented groups.

C. SEARCHES FOR CONTINUING FACULTY

1. SEARCH COMMITTEES

The chair organizes the search committee, paying attention to issues of diversity. Following approval of the search, search committees must appoint one member as Equity Representative. The Equity Representative should ideally be a tenured faculty member serving on the search committee, but not as committee chair. The role of the Equity Representative is to ensure that best practices are followed during the search. Equity Representatives are encouraged to consult with the Institutional Diversity and Inclusion prior to the first formal meeting of the search committee and then at any time during the search process.

Search committees should include as a voting member at least one faculty member from outside the department and possibly outside Weinberg College. (Such external members of search committees do not, however, participate in the final departmental vote.) Such arrangements make Northwestern's interdisciplinary strengths a more consistent factor in our recruiting. Non-tenure-line faculty may serve on and vote as members of search committees for tenure-track faculty positions. They may not, however, participate in the final department vote.

Occasionally the College will establish a multi-department search for a colleague in a programmatic area that crosses several disciplines. In these instances, the dean will generally set up an interdisciplinary search committee with a clear plan regarding the successful candidate's prospective tenure home (in the case of tenure-line faculty) or home department (for teaching-track faculty.)

Additionally, sometimes programs are granted the right to search for a tenure-line colleague. Because all tenure-line faculty must have a tenure home, this often entails working with other units collaboratively. Ideally, we like to see such collaborations fostered early in the process.

2. PLANNING THE SEARCH: ADVERTISING

Advertising is required, as are special efforts to locate and evaluate historically underrepresented candidates in those fields where they are underrepresented. The department should advertise the position in the profession's standard periodicals, job-information bulletins, and websites. The department is also encouraged to post detailed descriptions of open positions on its own website. Criteria for position listings can be found here. Additionally, advertisements should contain the following wording encouraging scholars from underrepresented groups to apply:

> *Northwestern University is an equal opportunity, affirmative action employer and does not discriminate against qualified individuals on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, or any other protected class. Individuals from all diverse backgrounds are encouraged to apply. Hiring is contingent upon eligibility to work in the United States. For more information, please see the University's Policy on Discrimination and Harassment. Job applicants who wish to request an accommodation in the application or hiring process should contact the Office of Equity. Additional information on the accommodations process is available at www.northwestern.edu/equal-opportunity-access/accommodation/disability.html.*

To contain the costs of advertising 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 historically underrepresented 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 members of historically underrepresented groups. (Notes of phone calls made for those purposes should be initialed, dated, and retained.) Letters may also be sent directly to historically underrepresented 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, including follow-up procedures, which can be found here.

3. PRE-SEARCH PROCESS AND APPROVAL OF ADVERTISEMENT

Please refer to Weinberg College's Search Procedures for Tenure-Line and Teaching-Track Faculty for specific details on the pre-search process.

When the Office of the Dean and a department have agreed on the need for a faculty position and the needed resources have been identified, the Office of the Dean will approve a search through a hiring authorization or charge letter.

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 recruiting unit must submit pre-search information to Faculty Affairs via an online webform. This request will include members of the search committee, draft of the proposed advertisement, recruitment sources and estimated costs, and a diversity and inclusion statement describing special efforts to be made to identify and encourage historically underrepresented candidates to apply for the position.

If the search is approved, an approval email will be sent to the department chair, search committee and search administrator. It will include instructions for administrators to configure the application page in the Faculty Recruitment System, the Job Opening ID number and the search advertising budget.

Departments should contact the Finance Office with documented receipts up to the approved budgeted amount to initiate the transfer of ad funds. Any ad which has been run without prior approval of the Office of the Dean 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 Office of the Dean funds.

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.

To ensure compliance with federal law, the Faculty Recruiting System automatically solicits self-identification information from all position applicants. During the search's application phase and prior to the review/selection phase, you may email facultyrecords@northwestern.edu to request aggregate data pertaining to the race/ethnicity and gender composition of your applicant pool. The application deadline can be extended at this time. Aggregate data pertaining to the pool's race/ethnicity and gender composition will only be shared for searches with more than 20 applicants.

4. 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. Regular visiting lectures may lead to the identification of possible candidates, but on campus interviews should only be arranged once the unit has received official approval from Faculty Affairs.

5. SPECIAL SOURCES OF INFORMATION

Monitoring lists of fellowship winners and holders of named postdocs is one way of tracking potential tenure-line faculty 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. APPLICATION PROCESS: FACULTY RECRUITMENT SYSTEM (FRS)

All searches are expected to use the College's Faculty Recruitment System (FRS) 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 Faculty Affairs for details and training.

8. 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, historically underrepresented candidates sometimes follow educational paths that differ from non-historically underrepresented candidates. Members of historically underrepresented groups 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 carefully read the letters of recommendation and the statements submitted by the candidates. For teaching-track recruitment, the search committee puts special emphasis on seeking evidence of demonstrated excellence in teaching and, if appropriate, administrative skill. As the search progresses, candidates' work should be reviewed at least by the departmental members of the committee.

With such information, a short list of candidates for campus interviews is developed and sent to Faculty Affairs for approval before invitations to visit are issued. If there are no members of underrepresented groups on the list, the committee should revisit its rankings and determine whether a candidate from a historically underrepresented group should be included on the short list. A search committee that is unable to attract applications from the top historically underrepresented scholars in the field will need to discuss its procedures with the dean before the search is allowed to continue. Failure to produce diverse short lists will result in increased oversight by the Office of the Dean and, in certain cases, pauses in hiring so that academic units can take part in trainings that will lead to better outcomes.

Guidance on the short list along with samples of evaluation rubrics and legal considerations are available on the Office of the Provost websites, specifically here and **here**.

9. PRELIMINARY INTERVIEWS

The College encourages academic units to keep in mind the ecological impacts of air travel. With that in mind, we urge departments and programs to consider using videoconferencing when possible to conduct preliminary interviews.

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.

10. CAMPUS VISITS

Although exceptions can be made in extraordinary circumstances, offers will normally be generated after a candidate has visited campus, during which time they will have an opportunity to meet with faculty, students, and when appropriate, the dean or the dean's representative.

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. The dean interviews all candidates who would join our faculty with tenure; candidates for tenure-line assistant professorships usually meet with an associate dean. In addition, both tenure-line and teaching-track candidates typically give a lecture or conduct a seminar, to which one or more of the faculty associate deans should be invited. The department should also invite members of other departments who may share interests with the candidate to such events. It is to our advantage to demonstrate our culture of building interdisciplinary ties. These 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 should also 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.

The Office of the Dean expects that departments will interview highly-ranked candidates from historically underrepresented groups before recommending an offer to any candidate. If the department proposes not to interview members of historically underrepresented 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.

The logistics of the visit should be planned with care. 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 (for tenure-line candidates) should be scheduled for a pleasant room and the chair and search committee chair should seek to ensure a good turnout.

Candidates benefit from appropriate information. The Office of the Dean 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. Please also refer to the Office of the Provost's New Faculty webpage for additional resources.

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 Office of the Dean for help. Visits to schools and introductions for the spouse/partner can often be arranged. Please note that employers cannot ask for information about candidate's salaries.

Historically underrepresented candidates often find it important to meet with members of the Faculty Diversity Committee, the Association of Women Faculty, the Chief Diversity Officer, or other sets of faculty members. The Office of the Dean can help arrange such meetings.

11. RECRUITMENT COSTS: ADVERTISING, TRAVEL, ENTERTAINMENT, LODGING, AND REIMBURSEMENT

The College runs a large number of searches each year, the total cost of which is substantial. The Office of the Dean 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 upon completion of the recruitment season and before the end of the fiscal year. 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.

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 their own transportation, they 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 Northwestern University 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 the candidate 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. Please refer to Auxiliary Services' Travel webpage for a list of approved travel agents.

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 overseeing the department search.

Please consult the most current travel policies 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 Office of the Dean before the expenditure is made.

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.

Departments should follow College and University guidelines on entertainment expenditures.

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 policies. If the department proposes any exceptions to dollar limits, it should contact the Office of the Dean 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.

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. The University will no longer accept direct billing from a restaurant except for banquets and catered events.

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 Visitor's Expense Report for the amount. If the candidate is not a U.S. citizen or permanent resident, the visitor must complete the forms in the Nonresident Independent Contractor Payment Packet.

12. 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. Likewise, in junior searches, any candidate who was interviewed at a professional meeting or over the phone/videoconference should receive a gracious note if they do not make the short list. To maintain cordial relationships in the larger field, the chair of the department or the search committee should let people know where they stand.

A list of finalists will be sent to Faculty Affairs for approval by the associate dean overseeing the department search prior to any interview invitations.

D. APPOINTMENTS AT THE RANK OF ASSISTANT PROFESSOR

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. 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. 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 bylaws) 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 Office of the Dean strongly prefers that the bar for approval be set at two-thirds or some other fraction beyond 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.

2. DEPARTMENTAL DISCUSSION AND VOTE

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

All tenured and all tenure-track faculty are eligible to vote on a candidate for a tenure-line assistant professorship. 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 bylaws and must allow for any voter to vote against any given candidate.)

All those voting should have reviewed some portion 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 online 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 themselves from reviewing the candidate's materials, the discussion, and the vote. Also, department members with a documented disputatious relationship with a candidate should recuse themselves from reviewing the candidate's materials, the discussion, and the vote. Individuals are expected to recuse themselves.

3. MATERIALS SUBMITTED TO THE DEAN

a. Department Letters and Candidates' 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 participated 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 poll" and a final vote. If the candidate's PhD is not yet completed, the letter should indicate the department's realistic expectations of a timetable for completion.

Finalists are identified within the Faculty Recruitment System. *To submit finalist requests to the Office of the Dean, the department administrator works with the search committee to assign a* disposition code *to each applicant and identifies any candidates who advance to the finalist stage*.

Department administrators send electronic file of materials to Faculty Affairs, including a departmental recommendation letter, finalist CV, and letters of reference. *For any searches* not *run through the Faculty Recruitment System, please also include the* Search Summary Form *and CVs of all other finalists.*
If the dean approves, an offer is extended to the candidate. In some rare cases and in coordination with the provost, the dean approves multiple simultaneous offers.

The Office of the Dean informs pertinent departments and units whether or not a candidate accepts or declines; if more than one candidate was identified as viable, the dean will decide whether to extend further offers.

b. Setup Recommendations

In approving a search, the Office of the Dean will have already agreed in general terms to salary, start date, laboratory and space needs, etc. At the point of hire, however, it is natural to revisit and, if appropriate, revise these given the specific needs of the candidate. The hiring unit will work closely with the Office of the Dean on the specifics of the offer.

The department must inform the associate dean for Facilities and Planning of the location of the candidate's workspace, including office space, studio, or laboratory, if applicable. If renovations are necessary, the department must identify the need before any offer is made so that the feasibility and cost of any changes can be determined. 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.

In addition, if a candidate requires a laboratory setup, the department submits the candidate's wish list (includes equipment and physical resources) to the Office of the Dean for consultation and evaluation. The Office of the Dean and department must come to an agreement on these matters before an offer will be made.

The Office of the Dean will then work with the Office of the Provost 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.

c. Departmental Share

Departments are expected to provide at least 10% of the setup costs, which include discretionary research funds, equipment, postdoctoral fellows 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.

In the laboratory sciences, non-renovation shared costs will be charged according to the prevailing, agreed-upon schedule at the time of the search.

d. Start Dates and Benefits

Most new faculty members begin on September 1st and are paid in twelve equal installments starting September 30th. 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 Office of the Dean should there be a need for an early start. The probationary terms of "early start" assistant professors will begin September 1st.

4. COLLEGE FELLOWSHIP YEAR

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

Weinberg College of Arts and Sciences offers the option of a College Fellowship, a yearlong appointment available to entry-level faculty members who have not already enjoyed a post-graduate-school fellowship or a teaching appointment with teaching commitments similar to those of assistant professors at Weinberg College. Faculty members who accept the fellowship year are called College Fellows. The fellowship year is not considered a part of the faculty member's probationary term.

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, they 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 a maximum of two courses on subjects that are reasonably close to their areas of expertise. In addition, College Fellows will not have any service obligations.

Experiences that count as prior research or teaching experience and therefore disqualify the candidate from 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.)

5. SPECIAL CONDITIONS: PhD NOT COMPLETED

The College makes contingent offers to prospective faculty members who have not yet completed all requirements for the PhD. Such candidates will typically be offered a College Fellowship as 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 a PhD in hand will complete all requirements for the PhD during the course of their first year at Northwestern. A salary adjustment will be made at the beginning of the quarter following completion and notification of the Office of the Dean.

If all requirements are met by the end of the fellowship year and the Office of the Dean has been notified, then on September 1st (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 1st 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 1st, 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 them 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 to be evaluated for tenure. In these cases, the department should consider an appointment as a short-term assistant professor or, more rarely, untenured associate professor. In such cases, the length of the probationary period would normally be less than the fully, six-year probationary term. 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.

The untenured associate professorship is rarely used and 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 the award of 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 or creative scholarly profiles in their fields.

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.

E. APPOINTMENTS 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 those used for assistant professors, including advertising widely and attempting to locate a diverse pool of applicants. External candidates who are recommended for tenure must meet a high standard of excellence and should already have demonstrated that they are leading scholars in their fields.

1. SEARCH COMMITTEE REPORT

The search committee delivers its recommendations to the voting faculty of the hiring unit and, in cases of joint hires, any partnering departments or programs. 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 their faculty colleagues 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. For tenured hires, the Office of the Dean expects the bar for approval be set at two-thirds. If more than one candidate meets the standard, the department should 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.

2. DEPARTMENTAL DISCUSSION AND VOTE

The department meets, discusses the candidate's qualities and their standing relative to the pool, and votes by anonymous ballot. Those eligible to vote on external candidates for tenured appointments are all tenured and all tenure-track faculty. The vote must be Yes-No-Abstain-Not Voting on the appointment of the candidate in question. The names of those eligible faculty who participated and those who did not are also stated in the department letter. 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 bylaws 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, the department is expected to discuss the candidate's scholarship. Either a subcommittee or the entire voting faculty should read and assess the candidate's body of work. If a department relies on a subcommittee, then all voters must familiarize themselves with at least a sample of the candidate's work. Exceptions can be made only where the subfields of a department are mutually incomprehensible.

In addition to any letters of recommendation received, the department must solicit between three and six 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.

Department members enjoying a close relationship with the candidate (familial, collaborator, former advisor, etc.) or with any other candidate in the search should recuse themselves from the files, discussion, and vote. Also, department members with a documented disputatious relationship with a candidate should recuse themselves from reviewing the candidate's materials, the discussion, and the vote. Individuals are expected to recuse themselves.

Following the discussion and votes on hiring, a further vote by those eligible (tenured professors) regarding tenure must be conducted.

3. MATERIAL SUBMITTED TO THE DEAN

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 the 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 the items below that are not already in the Office of the Dean (failure to provide them will delay the start of the review):

a. Department Letters

The chair describes the voting process and states the outcome of the votes (including abstentions), the number of eligible voters, and the names of those eligible faculty who participated and those 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 their 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. The letter should compare the candidate to an identified cohort of first-rate scholars in their 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 or letters of recommendation submitted by the candidate but should seek independent opinions. The department should collect more than three but no more than six letters. The restriction on the number of letters 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 the assistant dean for faculty advancement about this procedure before making any requests.

For assistance in drafting letters and advice about matters such as benchmarks, please be in touch with the assistant dean for faculty advancement.

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.

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.

The College no longer requires the identification of benchmarks in internal tenure and promotion reviews or in appointment cases. Instead, external evaluators may be asked to compare the candidate's scholarly achievements with those of other scholars of similar rank whom they deem to be top scholars in the field. Normally, these comparisons should be made to scholars appointed in programs considered to be among the very best nationally in the discipline.

d. CV

An up-dated Curriculum Vitae.

e. Statement

For candidates who do not already hold the rank of full professor we require a statement of self-assessment which 1) describes their accomplishments in teaching, research, and service; 2) notes the significance of these accomplishments; and 3) 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. Impact

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. The Office of the Dean offers referees copies of recent publications or the candidate's most significant work, and the department should provide access those items that will allow referees to make a thorough and informed assessment of the candidate's established distinction and the promise of their scholarly projects.

Please send the Office of the Dean 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.

The required set of electronic copies may be delivered to the Office of the Dean in 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, through the agency of the Office of the Dean, 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. An 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 the assistant dean for faculty advancement before making any requests.

The department will be invited to read the redacted report from the Appointments committee or the ad hoc; the chair should then speak to the associate dean overseeing the department search 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 Office of the Dean 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 the department recommends.

The department must inform the associate dean for Facilities and Planning of the location of the candidate's workspace, including office space, studio, or laboratory, if applicable. If renovations are necessary, the department must identify the need before any offer is made so that the feasibility and cost of any changes can be determined. 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.

In addition, if a candidate requires a laboratory setup, the department submits the candidate's wish list (includes equipment and physical resources) to the Office of the Dean for consultation and evaluation. The Office of the Dean and department must come to an agreement on these matters before an offer will be made.

The Office of the Dean will then work with the provost'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.

6. DEPARTMENT SHARE

Departments are expected to provide at least 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.

In the laboratory sciences, non-renovation shared costs will be charged according to the prevailing, agreed-upon schedule at the time of the search.

7. ADVISING AND MENTORING NEW FACULTY

Entry-level tenure-line 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.

Departments and programs are encouraged to establish transparent systems for providing new colleagues with the opportunity to receive mentorship.

8. START DATE AND BENEFITS

Most new faculty members begin on September 1st and are paid in twelve equal installments starting September 30th. 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 Office of the Dean to the need for an early start.

9. 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 Office of the Dean.

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 their career. Indicate to the candidate as well, how their contributions will be valuable to students and colleagues.

Be prepared 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 Office of the Dean for help. Please note that employers cannot ask for information about candidate's salaries.

G. PARTNER EMPLOYMENT ASSISTANCE

If the candidate indicates that their 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 overseeing the department search, along with a brief cover note about the sort of position that would be of interest. The Office of the Dean 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.

If the partner is also an academic, we are sometimes able to arrange a teaching or research appointment on a transitional basis, contingent on the individual's record, teaching or research 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 overseeing the department search. In general, it is better if these discussions are led by the Office of the Dean. The department of the candidate may be invited to share in the cost of hiring the partner. 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 overseeing the department search. The Office of the Dean needs to be involved from the beginning, as such requests often involve College resources and inflect on College priorities.

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

H. MAKING THE OFFER: RELOCATION DETAILS

1. MOVING EXPENSES

With regard to moving expenses, a moving budget may be provided in the offer letter. This moving budget varies depending on the rank and location of a candidate. Please contact the Finance Office for guidelines on specific hires. The College is unable to cover the costs of storage, extra insurance or other costs associated with transporting antiques, art objects, etc. Travel expenses associated with the move may be reimbursed as long as the expenses are in accordance with the University's travel policies. A newly appointed faculty member may arrange the move personally and be reimbursed after arrival on campus or may use one of the University's authorized preferred vendors for relocation services. In the latter case, Weinberg College can work to pay the vendor directly up to the amount of the approved budget. Any costs that exceed the approved budget are the responsibility of and should be paid by the new faculty member. It is the new faculty member's responsibility to understand any tax implications resulting from the reimbursement/payment of moving expenses. Research discretionary funds may not be used for personal moves.

2. HOUSING

Many new faculty members 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 several apartment buildings and single-family homes in Evanston that are available for rent to in-coming faculty relocating from outside of the Chicago area. Persons interested in receiving information and applications for rentals should contact the Real Estate Leasing and Services. The University also maintains a relocation website that includes general information about housing.

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 Department Administrator on the order and consult with Weinberg College IT Solutions (WITS) before selecting computer hardware. In this way, they can avoid compatibility and security issues and take advantage of any special pricing. WITS 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, they 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@northwestern.edu to initiate the process. In some departments (Mathematics, Economics, and in the natural sciences), departmental staff 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.

The application process for legal permanent residency (LPR) is long and must be started within 18 months of the original job offer—this refers to the date the contract was sent, not the date it was signed. For teaching-track and tenure-line faculty members, the Office of the Dean will pay all fees associated with the application of permanent residency. In addition, the Office of the Dean will provide up to $5,000 to help defray application costs. Beyond this support, costs incurred are the responsibility of the LPR beneficiary.

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 Office of International Students and Scholar Services website 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:

H-1B

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 Office of International Students and Scholar Services at their degree-granting institution. The new faculty member must then begin procedures to obtain an H-1B visa.

Other Visas

New faculty members coming from abroad must arrange the appropriate visa through a U.S. Consulate after completing the process with the Office of International Students and Scholar Services 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 U.S. 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.

Departments should instruct new faculty to begin the necessary paperwork as soon as they accept the offer: obtaining an H-1B can take eight months or more.

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 six months (or more) 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 they 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 Office of International Students and Scholar Services provides instructions and advice on how to complete the necessary steps, please refer to their website regarding the H-1B visa process.

a. Charge for Visa Processing

The University's Office of International Students and Scholar Services 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 Office of International Students and Scholar Services. 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 they will be expected to pay the $1,440 fee (this fee is subject to frequent change and adjustment). (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 AND LABOR CERTIFICATION

A tenure-line 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 Office of International Students and Scholar Services. 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 Office of International Students and Scholar Services 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. Notably, 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.

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. Special Handling can substantially expedite this process, so long as the application is filed within 18 months of the beneficiary's contract date.

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 their 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. 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.

Northwestern-sponsored LPR applicants will be given an additional sum to defray costs incurred throughout the process. This stipend will not exceed $5,000 and will be stipulated in the beneficiary's offer letter. The additional sum can be applied to any part of the LPR process, excluding Labor Certification which must be paid by the applicant's employer. Once the stipend is exhausted the remainder of applications costs will be the responsibility of the applicant.

K. SEARCH RECORDS

These are to be retained by the department for at least three years, whether or not a formal offer is made. Information captured in FRS will be retained by the University. Copies of the job ads should be retained indefinitely. Any document that contains a social security number must be shredded when it is due for disposal.

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.

- 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: ads and notices; correspondence pertaining to placement of ads.
- All correspondence and notes of telephone or teleconference calls reflecting special efforts to locate qualified historically underrepresented 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 or teleconference 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?

L. NON-BUDGETARY SECONDARY APPOINTMENTS

A department may offer a non-budgetary courtesy or secondary appointment (sometimes called a "joint appointment") to a faculty member in another Weinberg College 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 their 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 they 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 or program faculty.

1. POLICY UNIFORMITY

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 them 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 CV (under "Candidate's Current CV"). After any appropriate discussion with the host department, the Office of the Dean 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 their 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. EMERITA AND EMERITUS STATUS

Faculty may hold emeritus rank only in their home departments.

M. ENDOWED PROFESSORSHIPS

Endowed and named professorships, often called "chairs," 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 professorship may be used to bring in eminent visitors. There are two sorts of endowed/named professorships positions:

1. RENEWABLE PROFESSORSHIPS

Subject to availability, these professorships 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 professorship holder continues to produce outstanding scholarship and teaching. At the dean's discretion, a renewable professorship may sometimes be awarded for a shorter, non-renewable term or be offered to a visitor. In the fifth year of appointment, all holders of endowed professorships are reviewed. Based on the review, the dean may decide to recommend renewal for five years or a shorter term or non-renewal.

2. TERM OR ROTATING PROFESSORSHIPS

A number of research or teaching professorships are awarded to faculty members 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 colleague.

N. UNSUCCESSFUL SEARCHES

Should a search fail to yield a candidate sufficiently strong to merit an offer, the department chair should alert the associate dean overseeing the department search. If possible, the chair should indicate whether the department wishes to search in the same field during the next academic year.

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 J. Doe:
>
> Thank you for your letter inquiring about a position at Northwestern.
>
> I am sorry to say that we do not have a position open at this time. Should one be authorized, we will advertise it. 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,

III. TENURE-TRACK FACULTY: THE PROBATIONARY TERM AND REAPPOINTMENT

A. LENGTH OF THE PROBATIONARY PERIOD, EXPECTATIONS, AND MENTORING

1. LENGTH OF THE PROBATIONARY PERIOD

For most assistant professors, Northwestern's probationary term is six years with mandatory review for tenure in the sixth year. This 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 assistant professors 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. These colleagues may not undergo a formal reappointment review. 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.

2. EXPECTATIONS

New tenure-track assistant professors should receive clear information regarding the department's and College's expectations in the areas of teaching, research, and service.

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.

3. MENTORING

It is the faculty member's responsibility to seek advice from the chair and other colleagues. Assistant professors should be encouraged to seek out mentors.

Some departments and programs pair assistant professors with senior colleagues, with the goal of establishing a schedule of conversations regarding progress.

Chairs or a designated senior colleague should meet with each assistant professor at least once per year to discuss accomplishments and plans. These meetings should be used to acquaint new tenure-track faculty with the processes and timetables of reappointment, promotion, and the grant of tenure. 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.

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.

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. Assistant professors should teach at least three and no more than nine new courses during their probationary terms.

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 https://www.tgs.northwestern.edu/about/for-faculty/training-grant-support/toolkit/mentor-training.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. Chairs or other mentors should discuss this option with assistant professors.

B. EXTENDING THE PROBATIONARY PERIOD

1. POLICY

A tenure-track faculty member may request that one year be added to their 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 their 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). Please consult the University policy about Faculty Family Leave and on Extending the Probationary Period for Tenure-Track Faculty.

In March 2020, in response to the unprecedented disruptions caused by the worldwide outbreak of COVID-19, Northwestern offered a one-year COVID-19 Tenure Clock Extension to all tenure-track probationary faculty then on the faculty. Any faculty who were in their probationary period during Academic Year 2019-20, and whose tenure review had not yet begun, were eligible for and received this extension. In April 2021, Northwestern offered a one-year COVID-19 Tenure Clock Extension to all tenure-track probationary faculty who started at Northwestern in 2020-21. For more information on this policy and related procedures, please consult the FAQs on COVID-19 Tenure Clock Extensions.

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 to the chair of their academic unit stating specifically how circumstances interfere with their 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 they "will not enjoy an entitlement or stronger claim to tenure by virtue of continued membership on the faculty beyond the customary probationary period."

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 except in extraordinary circumstances.

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 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 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 assistant professors and to map out corrective action when 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

All tenured faculty members in a given academic unit are eligible to vote. (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 themselves 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 Office of the Dean 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. 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.

After the department deliberates and votes on the reappointment, the full dossier is submitted to the Office of the Dean. Beginning in 2020-2021, candidates will submit their portion of the dossier materials to the case management system, Faculty Folio RPT (Review, Promotion, and Tenure), by February 10, and departments will submit department documents to Faculty Folio RPT by February 20. (If a deadline falls on a weekend, the due date is the following Monday.) For a same-rank reappointment, publications need not be supplied but must be available should the dean wish to consult them.

The reappointment dossier submitted to the Office of the Dean contains items provided by both the candidate and the department:

Candidate Documents (for the candidate to provide)

- CV (required)
- Reappointment Statement (required)

- Course Syllabi (required)
- Copies of Examinations (if available)

Department Documents (for the department to provide)

- Department Letter (required)
- Internal Reports on Scholarship/Teaching (if available)
- External Referee Letters (if available)
- Student Referee Letters (if available)
- CTECs (the Recommended CTEC Instructor Reports are the administrator's version with student comments pullued from CAESAR/Blue; required)
- Peer Classroom Observations (if available)

These documents and related issues are discussed further in the following sections.

a. **An updated CV** (see "Preparing a CV for promotion review" for guidelines).

b. **Candidate's Reappointment Statement**

The candidate should prepare a reappointment 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 their 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 department'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 those 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 the assistant dean for faculty advancement to arrange for a surrogate department.

The body of the letter should present the department's recommendation, also describing those 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 is 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 their publications with care specifically for the purpose of this review. These senior colleagues 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 must 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 their 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 email addresses 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 (the recommended CTEC Instructor Reports are the administrator's version with student comments pulled from CAESAR/Blue), classroom materials (syllabi are required, examinations are optional), reports of classroom visits by senior faculty (if available), and other pertinent materials.

f. External and Student Referees Already Consulted

In its deliberations, the department may consult three to six 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 or early spring, 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 the 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 their 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 they 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 1st

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 1st, and the Office of the Dean 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 Office of the Dean and department must consult about whether to offer a second one-year appointment or a terminal year. A formal vote by eligible voters 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. PRE-TENURE PREPARATIONS IN PENULTIMATE YEAR

In the winter of the penultimate 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 academic year in which the candidate will be reviewed for tenure, 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 Office of the Dean 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 31st of the penultimate year, but it is best for all parties if the application is made by late spring.

IV. TENURE-TRACK FACULTY: TENURE AND PROMOTION

A. THE GRANT OF TENURE

1. POLICY

Northwestern's policy with regard to tenure seeks to foster a faculty of unqualified excellence. It calls for application of the highest standards with respect to professional achievement and promise in research and teaching. Weinberg College of Arts and Sciences aims for the superlative, and each case is evaluated on its own merits. When making a positive recommendation for tenure, a department must feel able to affirm that the candidate in question is as good a permanent appointment in their 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 results in scholarly publications or creative works that are published or publicly displayed. Departments – and subsequently ad hoc committees and the Weinberg College Committee on Tenure, 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 their field and/or discipline. A positive recommendation to confer tenure should offer strong evidence supporting claims about the high quality of a candidate's work, the distinctiveness of their voice, and the degree of influence on the field. Candidates for tenure are expected to have established national and international reputations through their research, writing, and/or creative work. In all regards, the standard is a high level of excellence.

The quality of a candidate's teaching and their 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 their 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 thorough review of the candidate's dossier of materials, beginning with the crucial vote of the candidate's department, which draws on external assessments and internal discussion. If the department recommends the grant of tenure, additional authorities in the candidate's field, the candidate's ad hoc committee, the Weinberg College Committee on Tenure, and the dean 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 for Tenure and Promotion](https://weinberg.northwestern.edu/faculty/career/reappointment-promotion/promotion/)" 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 https://weinberg.northwestern.edu/faculty/career/reappointment-promotion/promotion/).).

2. DEPARTMENTAL VIGILANCE

Maintenance of high standards must begin at the departmental level. The department must 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 and are shared with all candidates and eligible voters.

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 the influence of their scholarship, and the excellence of their teaching and service. 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 their 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 committees and Committee on Tenure 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.

B. PROMOTION TO THE FULL PROFESSORSHIP: POLICY

While candidates can and should seek out advice about when to present themselves for consideration for promotion to the rank of full professor, the decision to initiate this process rests with the candidate. However, candidates should bear in mind that 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, Committee on Promotion, 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 they were 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. Faculty members best present themselves 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 Committee on Promotion 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 them as one of the true leaders of the field. In addition, a candidate who submits an unpublished manuscript as the centerpiece of their 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.

In cases where a book is to be presented as a major component of the promotion dossier, it is best if it has been published and reviewed. Unpublished proofs and galleys may be submitted as part of a candidate's promotion materials. Some candidates do submit unpublished typescripts, accompanied by a contract from a press, along with readers' reports and, if applicable, author's responses. In such cases, it is expected that significant work beyond the scope of the book project has already appeared and had time to enter into debates in the field.

If a candidate's research program depends on extramural funding, there must be clear evidence that the candidate 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.

Associate professors should consult the document "[Guidelines for Candidates for Tenure and Promotion](),” 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 https://www.weinberg.northwestern.edu/faculty/career/reappointment-promotion/promotion/).

C. REQUIRED AND OPTIONAL ACTIONS

An assistant professor (or untenured associate professor) on the tenure-track in the last year of their probationary term 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, i.e., a final year on the faculty.

A department always has the option of recommending the promotion of a tenured associate professor to the rank of professor. An untenured associate professor on the tenure-track 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.

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 or the assistant dean for faculty advancement in the spring before the proposed promotion review.

E. LENGTH OF PROCESS AND SCHEDULE

The process for evaluating candidates for tenure and promotion is long. Please consult the Deadlines and Documents information on the Weinberg College website for information regarding the calendar. No decisions should be expected before June, with the recommended actions normally taking effect on the following September 1st. Chairs should inform candidates of this fact in order to allay unnecessary anxiety.

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 and the referees it selects.

In cases where a book is to be presented as a major component of the dossier, it is best if it has been published and reviewed. Unpublished proofs and galleys may be submitted as part of a candidate's promotion materials. Some candidates do submit unpublished typescripts, accompanied by a contract from a press, along with readers' reports and, if applicable, author's responses. In such cases, it is expected that significant work beyond the scope of the book project has already appeared and had time to enter into debates in the field.

When a 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 six letters from external referees to assist in its internal deliberations. The department should take care to allow the Office of the Dean and, in the case of tenure, ad hoc committees 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 not seek evaluations from former advisors, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. If a candidate publishes co-authored works in a field where co-authorship is not the accepted norm, and the department wishes to call on one of the co-authors to comment on the candidate's dossier, it should clarify why it is necessary or desirable to do so.

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.) 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. Care should be taken to preserve the confidentiality of all letters. External opinions may not be gathered by means of oral conversations either in person or by phone.

The department must include a sample of the request letter sent to its potential external referees as well as copies of all responses (including declines) as part of the documentation sent to the Office of the Dean. The department should also 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 all tenured members of the department 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.

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. Even if the department has a subcommittee on promotions, all eligible voting members of the department should familiarize themselves with the candidate's dossier and review at least a sample of the candidate's work before the meeting at which the promotion is discussed; they should then participate in that discussion. 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 have them participate remotely.

Department members enjoying a close relationship with the candidate (familial, former advisor, etc.) should recuse themselves from all stages of the review process. Also, department members with a documented disputatious relationship with a candidate should recuse themselves from reviewing the candidate's materials, the discussion, and the vote. Individuals are expected to recuse themselves.

2. DEPARTMENTAL VOTING, VOTING ELIGIBILITY, AND WHAT CONSTITUTES A MAJORITY

After deliberation and in accordance with departmental bylaws for voting, the department votes by secret ballot.

All tenured faculty members in a given unit may vote on any tenure and promotion cases in that unit except for promotion to full professor. Only full professors may participate in the discussion and vote on promotion cases to full professor. Tenured associate professors may vote on tenure cases of untenured associate professors. Untenured associate professors on the tenure-track may participate in the discussion of an assistant professor's tenure case but may not vote.

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 bylaws 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 Office of the Dean 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. That said, it is recognized that especially in smaller units, where the voting body may number in the single digits, a simple majority may make sense.

Before conducting the vote, the chair or designee should state what constitutes a majority according to the department's bylaws and note the rules regarding absences and abstentions. The chair or designee should record complete and exact vote totals including (1) votes in favor (2) votes against, (3) the number of abstentions, and (4) the number of non-voting faculty members who were eligible to vote. The department vote also includes the names of eligible voting members who voted, the names of those who did not vote, and the reason for their not voting (on leave, traveling, illness, etc.). Abstentions are counted as part of the total ballots cast. If a straw vote is taken before the final vote, that vote and any discussion of it should be recorded as well.

A vote that fails to reach the specified margin is considered negative. The College rarely proceeds to a full review if the department does not endorse promotion.

3. 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 Committee on Promotion, or the Committee on Tenure. 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 Office of the Dean strive to maintain the confidentiality of referee letters to the extent legally possible.

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 or 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. Faculty members involved in the process who breach confidentiality may be subject to disciplinary action.

If a candidate wishes to discuss matters related to the promotion with a colleague outside the department – 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

With the exception of published books, all materials should be uploaded to our dedicated tenure review site, Faculty Folio RPT. Scans should be 600 dpi resolution.

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.

All members of a department voting on a given promotion should have access to and be directed to review the candidate's materials before the vote is taken.

The deadline for delivering candidates' complete dossiers to the Office of the Dean 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.

K. MATERIALS SUPPLIED BY THE CANDIDATE

- CV (*naming convention for e-file uploaded to Faculty Folio RPT, using the surname Smith as an example*: Smith_cv)
- Statement by the Candidate (research, teaching, service) (Smith_statement)
- Other materials
    - Full Corpus of Publications (including book manuscripts and proofs) (Smith_publication_1) (etc., corresponding to the list of numbered publications in the CV)

- o Key Publications drawn from the Full Corpus (for external reviewers) (Smith_key_publication_1)
- o Citation Index Listings (if applicable) (Smith_citations)
- o Grant Proposals and Reviews (if applicable) (Smith_grant_information)
- o Book Contracts (if applicable) (Smith_book contract)
- o Readers' Reports (if applicable) (Smith_readers'_reports)
- o Book Reviews (if applicable) (Smith_book_reviews)
- o Course Syllabi (Smith_syllabi)
- o Awards (if applicable) (Smith_awards)

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

1. CURRICULUM VITAE

Disciplinary and field norms often dictate the particular forms of CVs. Please consult [Preparing a Curriculum Vitae for Promotion Review], which states clearly the information that should be included on a CV for a faculty member being considered for reappointment, promotion, or the grant of tenure. 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 (at the very least when they are first cited).

2. STATEMENT BY THE CANDIDATE

The chair solicits from the candidate a description of their past and present work and plans for the future. It is an opportunity for the candidate to make a case for their accomplishments in teaching, research, and service. The statement should 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 Committee on Promotion or the Committee on Tenure 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 the full corpus of publications, several key publications drawn from the full corpus (see paragraph below for more information), 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. The names of student referees are to be submitted by the department in consultation with the candidate.

In both tenure and promotion cases, a candidate will select key publications for the Office of the Dean to send to external referees as part of the review packet. Candidates should take care in selecting these key publications: articles published in peer-reviewed journals are helpful, although it's generally not useful to send an article that roughly duplicates the material in a major book project that is also included in the key publications. Published work that is part of a candidate's next major project would be important to include since it points to how a candidate's research program is advancing. The suggested number of key publications, including books, is five or six. Candidates might consider consulting with a senior colleague or two about the selection of key publications.

L. MATERIALS SUPPLIED BY THE DEPARTMENT

- Department Letter (*naming convention for e-file uploaded to Faculty Folio RPT, using the surname Smith as an example:* Smith_department_letter)
- Internal Reports on Scholarship/Teaching (if available) (Smith_internal_department_report)
- List of Suggested External Referees (Smith_list_of_suggested_external_referees)
- List of Suggested Student Referees (Smith_list_of_suggested_student_referees)
- External Referee Letters to the Department (Smith external_referee_letters_to_the_department)
- Sample Request Letter from the Department to External Referees (Smith_sample_dept_letter_to_external_referee)
- Copies of the Replies of External Referees who declined (Smith_external_referees_declined_department)
- CTECs (The recommended CTEC Instructor Reports are the administrator's version with student comments pulled from CAESAR/Blue) (Smith_CTECs)
- Peer Classroom Observations (optional) (Smith_peer_classroom_observation)
- Three copies each of published books for candidates for tenure; one copy of each published book for candidates for promotion to full professor (Normally, promotion candidates provide only books published since tenure. In addition, please note that the Office of the Dean normally does not send edited volumes to external reviewers. Contact the assistant dean for faculty advancement if you have any questions regarding this policy.)

1. DEPARTMENT LETTER

By the required date, the chair sends the dean a letter indicating the complete and exact vote totals (votes in favor, against, abstentions). The department letter should include the names of eligible voting members who voted and the names of those who did not vote, with the reason for their not voting (on leave, travel, illness, etc.). The chair then informs the candidate of the departmental recommendation.

The department letter should define the role of the candidate's teaching and their subfield of research in the present and future functioning of the department. It should also describe 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. If offering a positive recommendation, the letter must demonstrate that appropriately high standards have been applied and that the candidate meets these standards. Strengths and weaknesses should in all cases be presented. Minority opinions should be adequately represented either in the text of the letter or in a minority report. It is imperative that a full and candid account of departmental discussion, both positive and negative, be included in the department letter.

This letter should be written and signed by a chair of the committee and a subset of the department members who voted. Please note that the letter should be made available to all voters before it is sent to the Office of the Dean.

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 of their field. It should evaluate the candidate's success in attracting necessary financial support for scholarly projects and the likelihood that they will continue to compete successfully for funding. The department letter may (but is not required to) compare the candidate with a cohort of leading scholars, by name and affiliation, who have similar rank and service in that field.

The department indicates which of the candidate's works and achievements are of particular significance and the 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 may also be highlighted, especially in cases when a book was published shortly before an individual took up a position at Northwestern.

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. In all such cases, but especially if a book is based on the candidate's doctoral thesis, it is imperative that the department evaluate the evidence of progress on a second major project.

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 minority report or minority reports. Minority reports may be submitted if two or more eligible voters on a case feel the department letter did not provide a faithful representation of the department's deliberation on a case, or if they feel that key aspects of the candidate's record were omitted in the department letter. The minority report should be made available to the voting members of the department to review before it is submitted to the dean.

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 has final authority to word the question.

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

In the letter the department should address any features of the case that might raise questions in later stages of the process. Below are some issues that the Committee on Tenure and/or the Committee on Promotion often discuss.

- Early promotion to tenure. If the candidate is not in their 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. It may be helpful for the department to spell out disciplinary-specific conventions of assigning authorship and the norms of co-authorship in the discipline and specific subfield of the candidate (e.g., definitions of lead authorship, the significance of the order of author names on a publication, etc.)
- 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.
- Quantity of scholarship. Evaluation of a candidate's work requires that sufficient work is available and circulated to be evaluated by the discipline and field. If a candidate has published less (or produced less creative work) than expected, the department should explain why.
- Expectation of a book. Some disciplines and subfields expect the publication of a book for successful promotion. While respecting such norms, evaluation of candidates for promotion should always focus on the quality of the scholarship rather than solely on the form of publication.
- Unpublished book. 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 leads reviewers and committee members to wonder about the candidate's productivity and their 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 new?
- Choice of press in book fields. If the candidate does not place their book with a top academic press, with rigorous peer review, the department should explain in detail the rationale for the candidate’s choice.
- 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.
- Progress on the second book. In tenure cases, is there evidence of significant progress on a second major publication project beyond the candidate’s doctoral work?
- 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 they 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. EXTERNAL REFEREES AT THE DEPARTMENT LEVEL

The department must include the original letters – three to six – that it has collected from external authorities. As stated above, the department should not seek evaluations from former advisors, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. If a candidate publishes co-authored works in a field where co-authorship is not the accepted norm, and the department wishes to call on one of the co-authors to comment on the candidate’s dossier, it should clarify why it is necessary or desirable to do so.

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 forms (the recommended CTEC Instructor Reports are the administrator's version with student comments pulled from CAESAR/Blue), a brief narrative in the department letter that contextualizes CTEC statistical summaries, information about teaching innovations and course development, evidence of teaching awards, etc. In addition, information on the candidate's teaching should compare the candidate to the overall teaching performance in the department. 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.

7. SERVICE

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

8. BENCHMARKS

Following changes in the provost's policies, beginning in 2021-2022, the College no longer requires the identification of benchmarks. Instead, external evaluators may be asked to compare the candidate's scholarly achievements with those of other scholars of similar rank whom they deem to be top scholars in the field. Normally, these comparisons should be made to scholars appointed in programs considered to be among the very best nationally in the discipline.

9. EXTERNAL REFEREES AT THE COLLEGE LEVEL

The department letter should name at least eight external referees who have not already been contacted by the department. Because Weinberg College aims to grant tenure to 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 or the equivalent status if they have appointments in countries without the tenure system. 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 Office of the Dean to unearth on its own the most appropriate referees. On its list the department should star those referees whom it regards as the most essential. In tenure cases, the ad hoc committee will be asked to take into account the department's request but will make the final determination of which external referees are invited to write. In promotion cases, the dean will ensure that the scholars starred by the department are solicited for an evaluation. Additionally, the department may flag those referees (up to 3-4) who should not be contacted. The dean will ensure that these scholars are not solicited for an evaluation.

For each referee, please indicate the standing of the individual and their appropriateness to evaluate the candidate. Because external evaluators must be able to provide an objective evaluation of the work, it is essential that departments 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. The department should not seek evaluations from former advisors, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that might reduce objectivity. If a candidate publishes co-authored works in a field where co-authorship is not the accepted norm, and the department wishes to call on one of the co-authors to comment on the candidate's dossier, the department should clarify why it is necessary or desirable to do so.

Please provide the full, exact mailing and email addresses for the recommended referees.

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

10. STUDENT REFEREES

With the advice of the candidate, the department should provide the names and current email addresses (and, if known, the course number and title and the term in which the student was enrolled), of at least five former undergraduate and graduate students (the distribution to be determined by the academic focus of the department and candidate). 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 Office of the Dean list.

The Office of the Dean writes to a randomly selected set of approximately twenty-five former students and advisees as well as to those proposed by the department.

M. SUPPORTING MATERIALS: PUBLICATIONS OR EQUIVALENT MATERIALS

Across the arts and sciences, scholarship takes a variety of forms. We will focus here on academic publications, but please consult with the associate dean for faculty if you have questions about other forms of scholarship, especially creative scholarship in the arts.

All publications are needed, not just those completed since the last promotion or review. Articles and books that have been completed – and have appeared in print, are in press, or have been submitted for publication – are preferred. If the candidate has received patents for their work, those should be included with publications. In the case of unpublished book manuscripts that are "in press," please provide a copy of the publication agreement ("book contract") as well as any readers' reports and author responses to those reports. 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.

Candidates should carefully check any manuscripts or typescripts submitted to make sure all pages are legible and that no section is missing. The version of the manuscript presented to the Office of the Dean 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 their 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 their 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

Please submit the following required documentation:

- Copies of CTEC course evaluations for every course taught during the review period (the recommended CTEC Instructor Reports are the administrator's version with student comments pulled from CAESAR/Blue)
- Course syllabi

In addition, please submit the following, as appropriate:

- Evidence of awards
- Information about course development

- Course reports of classroom visits by senior faculty
- Letters from students to the instructor
- Descriptions of the role the candidate played in advising students
- Post-Northwestern affiliations of former advisees, etc.

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

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

- Published reviews of the candidate's work.
- Readers' reports of a candidate's manuscript from a university press.
- Grant proposals (current), both approved and pending. (Cover sheet, abstract, budget pages, reviewers' comments only.) Candidates may include "pink sheets" at their discretion. (Please remove sensitive personal data such as SSN and passport # from copies of grant applications.)
- 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 widely the candidate's work is used, and the most useful citation indices indicate both how often the candidate's work is cited and by whom.

P. CANDIDATE'S FACULTY REPRESENTATIVE

In the fall, the Office of the Dean will ask each candidate to designate a representative from among the departmental faculty eligible to vote on their case. During the year, the candidate may communicate with the Office of the Dean through the department chair and/or the representative. In turn, the Office of the Dean 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 Office of the Dean through chairs and/or representatives. Any inquiries about the process from candidates should similarly be routed.

Please note that external referees will not be sent updates to materials once they have received the letter and packet from the Office of the Dean.

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

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: Guidelines and Procedures. While the department is informed of the vote of the ad hoc committee and is invited to read the redacted report, it is not provided access to the letters collected by the ad hoc committee or the Office of the Dean.

The Committee on Tenure and the Committee on Promotion may invite a departmental delegation to appear on behalf of the candidate; the candidate's representative must be included in the delegation. The request for a delegation should be regarded as routine. It is an occasion for productive discussion with colleagues from other departments.

Normally, delegations will be provided with a set of questions the committee in question would like addressed. The department and/or delegation may also provide a letter addressing those questions or other issues that appeared in the ad hoc committee report.

S. CANDIDATES WHO DECLINE TO BE REVIEWED FOR TENURE

If faculty members in the final year of their probationary term decline to be reviewed for tenure, they will be offered a terminal year on the faculty at their current rank. Faculty members who are presenting themselves before the final year of their probationary term may halt the process, but normally this would only be permitted before January 1 of the year in which the case was to be reviewed by the Committee on Tenure.

T. DECISIONS AGAINST THE GRANT OF TENURE AND/OR PROMOTION

In the case of a negative decision by a department, the department must inform the candidate of the outcome. The candidate may then request reasons for the decision and a meeting with the chair.

The dean evaluates the departmental recommendation and the nature of the department's review process before deciding whether to uphold the departmental recommendation or – in exceptional circumstances – to proceed with a College-level review. In cases when the College-level review leads to nonrenewal of appointment or denial of promotion or tenure, the dean (or the dean's designee) will supply written reasons.

U. LETTERS FROM FACULTY MEMBERS AND MINORITY REPORTS

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 an individual letter (authored and signed by one faculty member) or a minority report (authored and signed by at least two members from the eligible voters on a tenure or promotion case). Individual letters and minority reports should be addressed to the dean and will normally be shared with the department chair and other departmental colleagues.

A minority report (as opposed to an individual letter) should only be submitted if more than two eligible voters on a case feel the department letter did not provide a faithful representation of the department's deliberation on a case, or if they feel that key aspects of the candidate's record were omitted in the department letter. Before a minority report on a case is submitted to the dean, it must be made available by the department to the members who voted on the case. The dean decides whether to add or withhold a minority report from a candidate's file. Any faculty member may write an individual letter (as opposed to a minority report) to the dean about any candidate's case. Such letters do not automatically become part of the formal dossier, but rather are seen as advisory to the dean. If the chair of the department wishes to submit such a letter about the case, they should make it clear that the letter does not represent the sentiment of the department or any fraction of it.

Individual letters or minority reports should not be addressed to the Committee on Tenure or Committee on Promotion, nor should any attempt be made by departments and/or department members to address members of these committees regarding cases before them.

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. They too have the authority to make negative decisions about tenure and promotion, as does the Board of Trustees.

1. DEPARTMENTAL RECOMMENDATION

When the department votes not to recommend a candidate for tenure in their final probationary year, the department must submit to the dean a letter explaining the basis of that evaluation and the nature of the departmental review. This letter 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, including an account of the department vote. Strengths and weaknesses are presented, and minority opinions are represented either in the text of the letter or in a minority report (a report is signed by at least two voting members). The department's letter is accompanied by the candidate's vita, personal statement, and the external referees' letters collected by the department.

The candidate wishing to appeal a negative recommendation by their 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).

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. The candidate 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 Panel (see the Northwestern University Faculty Handbook. The Faculty Appeals Panel 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; appeals should be submitted to the associate provost for faculty.

V. TEACHING-TRACK FACULTY

A. TEACHING-TRACK FACULTY

Members of the teaching-track faculty contribute to fulfilling the teaching mission of Weinberg College and Northwestern University. They engage in 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 (OUSA), 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 bylaws of those groups, although department and program statutes must themselves follow College guidelines on voting on appointments, reappointments, and promotions.

The teaching-track faculty were known as the continuing lecturer faculty (CLF) and 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 ranks of assistant professor of instruction and associate professor of instruction in addition to professor of instruction. The titles of assistant professor, associate professor of instruction, and professor of instruction are available to Weinberg College'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. 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 three or five years.

1. APPOINTMENT TERMS AND TIMING OF SUBSEQUENT APPOINTMENTS

Initial appointments at the rank of assistant, associate, or full professor of instruction will normally be for three academic years. Subsequent appointments require faculty members to maintain expected standards for performance and is contingent on the ongoing need for teaching.

Following initial appointments, subsequent appointment terms will normally follow this pattern:

Assistant professors of instruction	3 years
Associate professors of instruction	5 years
Professors of instruction	5 years

Successful promotion replaces the need for reappointment review and will result in a new appointment. Continuation in rank beyond the terms listed above is acceptable for assistant and associate professors of instruction.

2. TIMING OF PROMOTION REVIEWS

Assistant professors of instruction will normally be considered for promotion to associate professor of instruction in the sixth year of their appointment in rank. Departments and programs are expected to initiate a promotion review at this time. If the faculty member chooses not to be considered for promotion, a reappointment review will be carried out in its stead.

Associate professors of instruction may be considered for promotion to professor of instruction in the fifth year of their appointment in rank.

Early promotion is possible to ranks of both associate professor of instruction and professor of instruction; however, a minimum of six completed quarters (two academic years) in rank will be required before candidates may present themselves for promotion.

B. CRITERIA FOR APPOINTMENT AND PROMOTION

With the exception of a few especially selected candidates, members of the teaching-track faculty are hired by national search in which the same diversity requirements pertain as in searches for tenure-line faculty. Since the adoption of the current guidelines starting in September 2020, a PhD, MFA, or other appropriate terminal degree is required for initial appointment at all ranks. However, the guidelines allow for exceptions for faculty initially hired prior to the adoption of the current guidelines. The following criteria concern faculty advancement processes for faculty members holding the ranks of assistant professor, associate professor of instruction, and professor of instruction. In light of the diversity of intellectual activity within the College, departments and programs may vary somewhat in how they interpret these criteria. Chairs and directors should meet in advance with promotion candidates to clearly convey how the promotion criteria are interpreted in their unit so that clear, shared expectations can be developed that are consistent with the College-wide guidelines.

1. ASSISTANT PROFESSOR OF INSTRUCTION

- A PhD, MFA, or other appropriate terminal degree is required for initial appointment.
- Faculty must display a commitment to teaching and are normally appointed to an initial 3-year term as an assistant professor.
- Subsequent appointment to a three-year term as assistant professor follows successful College and departmental/program review in the third year that confirms the following:
- A record of effective teaching as measured by appropriate methods established by departments and programs, including student evaluations.[i] Within the context appropriate for both the field and nature of the appointment, effective teaching is demonstrated through some combination of classroom teaching, student advising, or College academic advising.[ii]
    - A record of service to the program/department, College, or University.

- A record of contribution to a mutually respectful, inclusive, and collaborative professional environment.
- Evidence of an emerging agenda of contributions to curricular development, pedagogical innovation and/or research, discipline-specific research, creative work, or professional development.

2. ASSOCIATE PROFESSOR OF INSTRUCTION

- A PhD, MFA, or other appropriate terminal degree is required for initial appointment. For promotion or reappointment cases, exceptions are made for faculty initially hired without such degrees prior to adoption of current guidelines.
- Candidates for promotion to associate professor of instruction must demonstrate the following:
  - A sustained record of effectiveness in teaching as measured by appropriate methods established by departments and programs, including student evaluations.[i] Within the context appropriate for both the field and nature of the appointment, sustained effective teaching is demonstrated through a combination of classroom teaching, student advising, or College academic advising.[ii]
  - A record of effective service to the program/department, College, or University.
  - A sustained record of contribution to a mutually respectful, inclusive, and collaborative professional environment.
  - Within the context appropriate for both the field and nature of the appointment, an emerging record of contributions to curricular development, pedagogical innovation and/or research, discipline-specific research, creative work, or professional development. Where appropriate, the candidate can also provide evidence of growing leadership or prominence within the university and/or in relevant professional activities beyond the University.[iii]

3. PROFESSOR OF INSTRUCTION

- A PhD, MFA, or other appropriate terminal degree is required for initial appointment. For promotion or reappointment cases, exceptions are made for faculty initially hired without such degrees prior to adoption of current guidelines.
- Candidates for promotion to professor of instruction must demonstrate the following:
  - Excellent teaching at the rank of associate professor of instruction as measured by appropriate methods established by departments and programs, including student evaluations.[i] Within the context appropriate for both the field and nature of the appointment, excellent teaching is demonstrated through a combination of classroom teaching, student advising, or College academic advising.[ii]
  - A record of leadership and/or excellent service to the program/department, College, or University.
  - A sustained record of contribution to a mutually respectful, inclusive, and collaborative professional environment.

- Within the context appropriate for both the field and nature of the appointment, a sustained record of significant contributions to curriculum, pedagogical innovation and/or research, discipline-specific research, creative work, or professional development that demonstrates evidence of leadership or prominence within the university and/or in relevant professional activities outside the University.[iii]

4. APPENDIX TO CRITERIA FOR APPOINTMENT AND PROMOTION

[i] Examples of "appropriate methods established by departments and programs, including student evaluations":

- Classroom observations/peer evaluations
- Review of syllabus and class materials created and/or taught by the candidate
- Departmental evaluation of TA training and feedback from TAs
- Student learning outcomes
- Course and Teacher Evaluations (CTECs)
- Student letters

[ii] Examples of "student advising, or College academic advising":

- Major advising
- Senior thesis advising
- Advising Independent Studies
- First-year-seminar linked advising
- Research mentoring
- Advising as Weinberg College adviser
- Advising/mentoring done in the context of study abroad, placement advising, and/or fellowship preparation

[iii] Evidence of leadership or prominence within the university and/or in relevant professional activities outside the university 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, innovative contributions to the College or University curriculum
- Contributing to the production of textbooks or other innovative instructional materials
- Serving as a primary research advisor to students who themselves can be shown to be competitive at a national level
- Receiving invitations to serve as an expert in one's field or to make presentations at other institutions of higher learning, national conferences or conventions
- Placing articles in disciplinary or pedagogical journals

- Publishing a monograph, a novel, a literary collection, etc.
- Establishing a substantial presence in other media (op-ed, online teaching)

C. REAPPOINTMENT AND NON-REAPPOINTMENT

Please consult the Reappointment for Teaching-Track Faculty website for information about the Reappointment Process and Timeline, including detailed instructions about the construction of the dossier.

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.

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.

D. PROMOTION

Please consult the Promotion for Teaching-Track Faculty website for information about:

- Appointment terms and timing of promotion reviews
- Criteria for Appointment and Promotion
- Teaching-Track Promotion Timeline
- Required Materials for Teaching-Track Promotion Dossier
- Promotion and Reappointment Committee
- Consideration by the dean
- Negative Decisions

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 according to the Criteria for Appointment and Promotion. Any exception for time in rank should be submitted in writing by the chair and included in the promotion consideration. Should a teaching-track faculty member be recommended for promotion and fail to be promoted, no rule or expectation holds that they 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 their record.

E. 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 Office of the Dean 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 their field. The department forwards to the Office of the Dean a short list of student referees recommended by the candidate. The chair or director 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 their 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/program director and two or three other members of the review committee and forwarded to the Office of the Dean who will seek students' confidential evaluations of the faculty member's teaching. The Office of the Dean reviews the dossier, including institutional teaching evaluations and any student and collegial evaluations gathered in confidence by the Office of the Dean, and prepares a report for the dean and informs the department chair or program director of the resulting assessment. The chair/director informs the faculty member in question.

F. 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-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.

Professional development funds, travel funds, and/or curricular enhancement funds may be available through the faculty member's department or program. There are also various College funding programs. Requests for College funding should be submitted first to the department chair or program director for possible funding and, if appropriate, submitted with the chair's endorsement to the Faculty Affairs Team using the online form. For professional travel funds, preference is given to faculty presenting papers or otherwise contributing to a conference. With the endorsement of the department chair or program director, a member of the teaching-track faculty may apply for curriculum-development funds from the College's Hewlett Fund for Curricular Innovation.

A teaching-track faculty member may apply for a one-quarter paid leave of absence from normal duties on an eight-year cycle in order to undertake scholarly investigation or educational research related to their teaching. The application must be endorsed by the chair/director 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, they may ask to extend the scheduled leave to two or three quarters. (See Weinberg College Faculty Leave of Absence Policy).

G. BENEFIT PLANS

Information related to medical leave, family leave, and leave in connection with long-term and related benefit plans, can be found in the Northwestern University's Faculty Handbook and on the supplemental Office of the Provost Faculty Leaves and the University's Benefits Division websites. Members of the full-time teaching-track faculty are eligible for the University's standard retirement plans.

H. NON-RENEWAL AND NOTICE

An appointment of one academic year or less expires without notice from the institution. An initial appointment to the teaching-track faculty may expire without the granting of a terminal year. Upon successful reappointment after the initial term, members of the teaching-track faculty will be provided with 12 months' notice of non-renewal.

I. 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. Please see the Buybacks and Release Time Policy website.

J. 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 or teaching-track faculty may either hold administrative appointments 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 as administrative staff or faculty. 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, the candidate's 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 they 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.

VI. NON-CONTINUING, SHORT-TERM TEACHING AND RESEARCH APPOINTMENTS

A. NON-CONTINUING/SHORT-TERM POSITIONS ON THE TEACHING FACULTY

The College offers non-continuing/short-term faculty appointments (non-tenure-line or teaching-track) to individuals who teach courses that would ordinarily be taught by continuing faculty members. When a continuing faculty member is on any form of approved leave, or has begun a phased retirement plan, arrangements must be made to replace those courses that are essential to the curriculum.

Occasionally, some non-continuing/short-term appointments are not matters of filling vacancies but are programmatic. Some practitioners affiliated with the Department of Psychology, for instance, hold short-term appointments but do not teach replacement courses vacated by continuing faculty. Rather, they make their own special contribution to the department's course offerings. The faculty who teach Professional Linkage Seminars are citizens from the professional community holding short-term appointments on the teaching faculty. Some of these programmatic appointments are unsalaried, but many are supported by University-allocated funds, gift funds, dedicated endowment monies, or other monies.

The Office of the Dean, using historical enrollment data and in keeping with the dean's priorities, each year allocates a certain amount of funding (expense authority) for each department or program to use to meet their unfilled teaching needs. The department or program may identify suitable non-continuing faculty and submit their proposal through the College's short-term appointment (STA) request system. The Office of the Dean relies on the judgment and discernment of the departments to properly vet their candidates; however, the STA also requires that units submit evidence of excellence in teaching along with the candidates' CV and other materials.

If a department determines that it has substantial unfilled teaching needs, the department might propose hiring a full-time visitor (or units may decide to split an instructor). Contingent faculty who are hired in a less than full-time capacity are employed at a per course rate determined by the Office of the Dean. Benefits eligibility for contingent faculty teaching less than 100% time is determined by the university rules on benefits eligibility (see https://www.northwestern.edu/hr/documents/work-essentials/myhr-transactions-manual.pdf).

1. POLICY AND PROCEDURES

The Office of the Dean requests proposed teaching schedules for the coming academic year from each department by late winter/early spring quarter. To this end, each unit is provided with and instructed to complete their unit's Teaching Resources Spreadsheet including a "Non-Continuing Faculty Hiring Plan" and to submit their full-year teaching plan through Course Leaf Section Scheduler (CLSS).

Proposed teaching schedules must be approved by the Office of the Dean prior to the Office of the registrar's fall deadline. Departments and programs do not have to receive specific approval from the Office of the Dean on how they spend their expense authority, assuming they follow the provided "per course rate" salary guidelines. The Office of the Dean will also expect the departments and programs to prioritize their essential courses, ensure their faculty are meeting their teaching obligations, and balance their offerings per the guidance listed below.

- Faculty should balance offering Monday/Wednesday/Friday, and Tuesday/Thursday courses;
- Courses are offered evenly across the three quarters, with an emphasis on more fall quarter offerings;
- Tenure-line faculty are teaching at different levels (from freshman to graduate students) to expose students in different points in their careers to experts in the field;
- Courses are spread Monday through Friday and from early in the day to later so that students have as many options as possible. Please note: the registrar requires that departments and programs comply with these course distribution guidelines.

Among additional topics that frequently arise in salary planning are the following:

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 it is 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. (College Seminars belong in the first of these two groups, incidentally, and are best taught by experienced regular faculty).

b. Replacing Courses of Faculty Members on Approved Leaves of Absence

Departments are expected to be able to absorb standard research leaves. Moreover, departmental expense authorities for non-continuing faculty hiring are based on historic information; therefore, leaves have been factored into the allocations. We expect the expense authority allocations will cover the teaching shortfall created by leaves. However, in the case of exceptional leave years, medical or family leave, and extended standard leaves, if a unit finds their allocation is not sufficient to meet demand, they should inform the Office of the Dean.

c. Appointments to Campus Research Centers, Institutes, or other Entities

A regular faculty member who accepts a limited-term part-time appointment in a University research center, institute, or other entity is not considered to be on a part-time leave of absence from their department; there is no automatic course replacement in such cases. Departments and programs 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 and directors should distribute course assignments accordingly. Similarly, if a chair believes the department or program must absolutely replace a course lost when a faculty member moves part-time to a center, replacement instruction costs should be already accounted for in the expense authority as it is based on historic information. But once again, if, for example, appointments to campus research centers have increased and a unit finds their allocation is not sufficient to meet demand, they should inform the Office of the Dean.

d. 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 Office of the Provost. (See https://www.northwestern.edu/hr/documents/work-essentials/myhr-transactions-manual.pdf).

e. Enrollment Minimums

Courses that are under-enrolled should be cancelled. Units should keep in mind that if they choose to deploy the resources to run an under-enrolled course, additional resources will not be provided. The department must receive approval from the Office of the Dean to run an under-enrolled course. The department has the responsibility for cancelling the course with the Office of the Registrar, working with those few students who had enrolled, and informing the contracted faculty of the course cancellation (being sure to copy the Office of the Dean). 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.)

f. Course, Candidate, and Salary

The department chair should identify suitable non-continuing faculty as likely candidates and review their credentials, paying particular attention to past teaching effectiveness. The candidate's prospective salaries must fit within the overall expense authority allocation and be in line with the per course rates provided with the unit's yearly course planning materials. The exact salary, proposed by the department and finalized by the Office of the Dean by way of their offer, 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 assessed 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.

g. Search and Offer for Appointment for Three Quarters or Fewer

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 typically employing the Faculty Recruitment System (FRS) and following our normal faculty search procedures. 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 the Office of the Dean for full-time positions or refer to the supplied per course rates for temporary positions. They 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.

For appointments that do not go through the FRS, when an interested and qualified candidate is identified, the department submits a request for a Short-Term Teaching Appointment (STA) through the online STA system. The system requires information such as a copy of the candidate's curriculum vitae and a brief summary of evaluations of the candidate's teaching (or other evidence of teaching effectiveness). The Faculty Affairs Team will review the submission and generate the offer on the following schedule. If one of the below dates fall on a weekend, the due date is the following Monday:

SHORT TERM APPOINTMENT DEADLINES			
QUARTER	STA SUBMISSIONS DUE BY	LETTERS GENERATED BY	
FALL	MAY 15	JULY 1 (NEW FACULTY)	7/15 (RETURNING FACULTY)
WINTER	OCTOBER 1	NOVEMBER 1	
SPRING	FEBRUARY 1	MARCH 1	

2. 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 Office of the Dean for a termed, secondary, unpaid appointment through the short-term appointment (STA) system.

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 they will require help from the department. Departments listed on Visa Processing Guide webpage should contact the Office of the Dean to alert them to the need for a visa as soon as the candidate accepts the offer. Departments not listed on the Visa Processing webpage "Departments Served" section should contact their respective department administrator for visa assistance. The Office of the Dean will work with the candidate and Office of International Students and Scholar Services to complete the necessary application. The Office of the Dean will cover the visa costs (not including Risk Management Health Insurance) for all short-term visitors for the departments listed under the "Departments Served" section.

Mathematics, Economics and the science departments should make initial contact with the University's Office of International Students and Scholar Services 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 Office of International Students and Scholar Services to provide more specific information about paperwork to be completed by the department and the individual or consult the Office of International Students and Scholar Services. 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.

The University's Office of International Students and Scholar Services 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 Office of International Students and Scholar Services. 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 also section VI.C.2.e.

The Office of International Students and Scholar Services 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 is distributed on the last working day of the month via direct deposit or paper check (see the information on the Human Resources' website for more information).

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 30th. Salary for a winter-quarter appointment is paid in three installments, the first on January 31st. Salary for a spring-quarter appointment is paid in three installments, the first on April 30th. 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. A fall and spring appointment is paid in seven monthly installments, September through December and April through June. Payroll is distributed on the last working day of the month via direct deposit or paper check (see the information on the Human Resources' website for more information).

5. PROGRAMMATIC APPOINTMENTS

Departments and programs are expected to invite as visitors individuals in whom they have the utmost confidence. While there is no formal review of the qualifications of such programmatic appointments at the College level, we expect department chairs and program directors to use good judgment in evaluating candidates for these positions.

Please consult with Faculty Affairs about the processes for making such appointments. For a comprehensive list of appointment types, please see this link. These programmatic appointment types include:

a. Visiting Professorships

Departments and programs bring many short-term visitors to Northwestern. In addition, every year the College invites individuals to take up visiting professorships. They join our faculty for approximately a month or longer to teach and engage with students and colleagues. College endowments and gifts (e.g., Kreeger Wolf, Roberta Buffett Visiting Professorship, etc.) permit this type of scholarly collaboration. Departments and programs interested in inviting such visitors to campus should contact the Office of the Dean with ideas and proposals at any time.

b. Professional Linkage Seminar Instructor

Professional linkage seminars 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.

c. Visiting Artist-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.

d. Boas Assistant Professors in the Department of Mathematics

The Department of Mathematics hosts 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 conduct research. Boas faculty hold full-time appointments usually of two or three years, at a rank equivalent to that of visiting assistant professor.

e. Professional Staff at Affiliate Institutions

The College offers term appointments and part-time teaching assignments to individuals with primary appointments at affiliate institutions such as Argonne National Laboratories, FermiLab, the Chicago Botanic Garden, and the Field Museum.

f. 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 grants or gifts.

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 should refer to the Search Procedures for Full-Time Temporary Faculty Positions for full instructions on this process.

A budget for advertising the search is determined at this point. A search committee is constituted, then approved by the Office of the Dean, 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 Office of the Dean cannot provide funds for a campus visit although a department may wish to use their funds to do so.

The department or program informs the Office of the Dean when it has a candidate to recommend and forwards the following materials for review:

- The department/program 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 Office of the Dean will contact the relevant department(s) for evaluation and approval.
- If the department proposes to make an offer to a non-historically underrepresented male candidate and if the list of finalists includes one or more historically underrepresented candidates, the department must submit the CVs and letters of recommendation of such finalists. If no members of historically underrepresented 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.

The initiative for filling the positions listed above may reside in the Office of the Dean or department. 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.

B. RESEARCH STAFF, RESEARCH FACULTY, POSTDOCTORAL FELLOWS AND VISITORS

1. APPOINTMENT CATEGORIES

Please refer to these policies and guidelines for the following categories of research staff and visitor. Information about other research appointment categories can be found on the Weinberg College Appointment Types page, and the Research Appointments page.

2. APPOINTMENT PROCESS

All proposed appointments must be reviewed and approved by the Office of the Dean. No member of the research staff may begin work before the appointment is finalized.

Please refer to the Weinberg College Research Appointment Process page for details on submission of hiring requests, documentation, and approval process. The hiring forms provide information on rank, source of funding, and health insurance. You can also review the Research Appointment Salary Guide page for details about proposing the salary for the appointment.

E. APPOINTMENT OF A NON-IMMIGRANT FOREIGN NATIONAL

The department must notify the Office of International Students and Scholar Services (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 Office of International Students and Scholar Services until it is 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 – Office of International Students and Scholar Services 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 Office of International Students and Scholar Services 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 Office of International Students and Scholar Services.

Procedures for filing for a J-1 or H-1B visa can be found at the Office of International Students and Scholar Services website. 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 the individual 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

Teaching, advising, and mentoring are central to the mission of the College, and the organization of a well-planned curriculum is one of our most important tasks. Our goal should be to provide an adequate number of courses of 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. Moreover, responsibilities in advising and mentoring of students should be shared among faculty members of any given academic unit and clearly described by the unit so as to assure students equitable access. The active cooperation of the faculty, departments, programs, and Office of the Dean is essential to achieving these goals.

A. EXCELLENCE IN TEACHING

Faculty members of any academic unit 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 and directors 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. ACADEMIC CULTURE

The academic culture of a department or program establishes for newcomers the relative importance of teaching and research. Established faculty should set powerful examples, by not only pursuing excellence in their teaching but also demonstrating a willingness to develop as pedagogues. In this way, they will have a strong foundation from which to advise newer colleagues about 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 by departments and programs, and how such evaluations are used in determining retention, promotion, and salary recommendations. New faculty members are expected to attend new faculty orientations in the fall, during which the basics of teaching in Weinberg College are reviewed.

2. RESOURCES FOR THE IMPROVEMENT OF TEACHING

Efforts to improve the quality of teaching most often take place within departments and programs. Formal mentoring arrangements may be instituted among faculty colleagues 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.

Please consult Weinberg College's Teaching and Curriculum website, which contains a great deal of helpful information and useful links. 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.

In addition, there are resources that help specifically with instructional technology. Northwestern IT's Teaching and Learning website is a great place to start. The College's Media and Design Studio also provides advice to and support of faculty who are using technology in teaching. The Office of the Provost has a number of Online Learning Initiatives related to online and/or blended learning.

3. EVALUATION OF TEACHING

Departments are encouraged to establish their own procedures for collegial evaluation, for example by scheduling 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 Office of the Dean strongly recommends adopting such practices and encourages outgoing chairs to include them when they brief their successors.

The Office of the Registrar also administers student evaluation of teaching performance via the Course and Teacher Evaluation Council, or CTECs. By Weinberg College faculty legislation (October 13th, 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 Office of the Dean monitors CTEC reports for compliance with this requirement. Faculty are also encouraged to have evaluated 400-level courses enrolling five or more students.

4. TEACHING AWARDS AND OTHER RECOGNITION

Weinberg College expects excellence in teaching. 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. Moreover, in review for reappointment and promotion, the evaluation of teaching plays a significant role.

Beyond this, there are several ways in which excellence in teaching is publicly recognized. Annually, Northwestern awards several University Teaching Awards. 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. Awards are presented at an annual ceremony.

The College also has several teaching professorships that rotate among outstanding teachers. Each chair carries a discretionary account.

B. DEPARTMENTAL TEACHING RESPONSIBILITIES

The number of courses taught annually by members of the faculty is determined by the dean in consultation with chairs and directors; only the dean can change this number. All tenure-track faculty members in a given department should normally share the same annual teaching commitment. The same is true of teaching-track faculty, who all should normally share the same formal teaching commitment. Adjunct and other appointments come with specified teaching commitments. There are some 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

When appropriate, two units, whether within the College or with another school, sometimes offer combined courses. 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 their annual teaching load unless that assignment has been approved by the chair and the Office of the Dean, following the protocols in place that govern such arrangements. Faculty members to whom the College has granted a teaching reduction for administrative service, to support research activities, or for any other reason in any given year (from September 1^{st} to August 30^{th}) normally may not take on additional teaching for pay during that academic year.

3. TEACHING ASSIGNMENTS FOR ASSISTANT PROFESSORS AND INSTRUCTORS

All new, entry-level tenure-track assistant professors and instructors 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 College Fellows, this policy takes effect following their fellowship year.

4. QUARTER FREE OF TEACHING

It is sometimes possible to arrange the teaching schedule so that in one quarter a faculty member has no formal classroom responsibilities. This faculty member will fulfill their annual teaching obligation in the other quarters. A quarter free of teaching is not a leave; there is no course reduction involved. 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.

Please note that because fall quarter has the greatest demand for courses, fall-quarter teaching reductions 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:

- 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.
- 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.
- 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.
- 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.
- 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 they are an affiliate, then it should not normally be redeemed by a course reduction in their home department.

We require the department chair or their designee to inform the Office of the Dean 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 under-enrolled courses. This information should be included in the department's teaching allocation report sent to the Office of the Dean each year.

7. 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 Office of the Dean. A faculty member whose administrative duties are particularly onerous and time-consuming may occasionally have their teaching assignment reduced by the chair with the approval of the Office of the Dean. Such reductions should be infrequent, since the most appropriate compensation 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.

In some departments, the Office of the Dean 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.

8. 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 to open up 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.

9. AUGMENTED AND REDUCED TEACHING DUTIES

Augmented or reduced teaching duties are arranged by the chair, who must notify the associate dean for faculty of all non-administrative departures from the department's normal teaching load. In some cases, these must be approved by the dean.

a. 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 Merit Review Comittee. Faculty Activity Reports/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.

b. Reduced Teaching Duties

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 their 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.

10. TEAM TEACHING

Please consult Weinberg College's Team Teaching Policy.

Our longstanding policy has been that the first time a course is team-taught by two faculty members, both faculty members will receive one full teaching credit for the course. This remains the default policy.

However, in recognition of the value of interdisciplinarity, including in our pedagogy, the Office of the Dean will entertain exceptional requests from faculty who would like to team-teach a course, and who believe it is appropriate receive "full teaching credit" for doing so, in accordance with the principles outlined below. (Here, "full teaching credit" means one full teaching credit for each of the faculty members who is doing the team teaching.)

To submit a request for full teaching credit for a team-taught course, each faculty member who plans to teach the course must submit an application in writing to their chair in the academic year prior to the offering of the anticipated course. The letter, which should identify all of the other faculty colleagues who are part of the team-teaching effort, must address the (intellectual, pedagogical, or logistical) justification for the need for the team-teaching format for the course. Once approved by the department chair, the application must be submitted to and reviewed by the associate dean for faculty.

11. 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 should be cancelled. When a course is cancelled due to under-enrollment, the faculty member is expected to teach the cancelled course or "make up" their course load at a later date. The department has the responsibility for cancelling the course with the Office of the Registrar, working with those few students who had enrolled, and informing the contracted faculty of the course cancellation (being sure to copy the Office of the Dean). Any exceptions to this rule must be cleared with the Office of the Dean. For example, an exception may be granted 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.

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.

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 Office of the Dean or other administrative body to simply suggest canceling 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 and that if they choose to deploy the resources to run an under-enrolled course, additional resources will not be provided.

12. ENROLLMENT CEILINGS

It is the responsibility of the department or program to establish a coherent policy about course ceilings – the point at which a course may be closed. Such ceilings should be approved by department chairs or program directors. The Office of the Dean 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.

13. ABSENCE FROM CLASS

Should instructors need to be absent, they should arrange to cover the missed class session either by making it up or asking a colleague to cover.

14. STUDENTS AS SUBJECTS OF RESEARCH

If a faculty members intend to use students as subjects in research, they must receive approval from the Institutional Review Board. For more information, see the Institutional Review Board website.

15. HUMAN SUBJECTS IN UNDERGRADUATE RESEARCH

This is an extremely sensitive area and one that is subject to 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 Institutional Review Board (IRB). 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, they must go through the normal process for human subjects. 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 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'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.

3. FEEDBACK EARLY IN QUARTER

Faculty members 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 members may 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 students' academic adviser in their school. Chairs and directors should bring this tool to their colleagues' attention and emphasize its importance in supporting struggling students.

4. READING PERIOD

The Weinberg College Reading Period falls between the end of classes and the start of final examinations and includes the Saturday and Sunday before the exam period. Exact dates for each quarter are included in the academic calendar on the registrar's website; see https://www.registrar.northwestern.edu/calendars/. 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 examinations may be given during the Reading Period, and no papers or other written projects may be due. Students are not prohibited, however, from turning in work during this period.

Other undergraduate schools at Northwestern do not observe a Reading Period; the observance of a Reading Period is a Weinberg College policy. Faculty members should keep in mind that students are often enrolled in a combination of College and non-College courses.

5. 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.

The College has a very clear Policy on Incompletes. Students who believe they have sufficient reason to obtain an incomplete must submit an Incomplete Grade Petition. The decision to grant a student an “incomplete” originates with the instructor but does not end there. Once a faculty member signs the incomplete petition, the Office of the Dean reviews the petition and the student’s academic record. If the request is consistent with College policy, the Office of the Dean will approve it. If not consistent with College policy, it will not be approved. If a faculty member would like advice about how to deny a student’s request, they should contact the assistant dean for academic standing. The faculty member should not sign the Petition for an Incomplete if they do not support the request and/or it does not meet College policy.

Students who have been making good progress in a course, but who miss the final exam or final assignment for reasons beyond their control, 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 reason 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 missing or incomplete work should have on the student’s grade.

Faculty members should communicate with AccessibleNU if students with documented disabilities request incompletes 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.

a. 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 an instructor assigns a student an X, that instructor should either (a) submit a Petition to Receive an Incomplete if the instructor wishes for the student to make-up the exam, or (b) submit a change of grade form to assign the student the grade they earned in the course if the make-up is not allowed.

Grades of Y are given to students who have not completed some 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 instructor 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 an instructor has specific questions about a student's status, they should contact the Weinberg College Advising or the Office of Undergraduate Studies and Advising.

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.

b. Completing missed assignments

Students in Weinberg courses have until *no later than the end of the following quarter* that the student is in residence, or a maximum of one calendar year if the student is not in residence, to finish work in a course where they earned an X or Y. After one calendar year, an X or Y grade will convert automatically to an F. Students planning to graduate before the standard grade change deadline (the following like term) must complete courses and receive grades before graduating. Incomplete grades remaining at the time of degree conferral will be changed to final grades of F (failure). Grade changes are not permitted after a degree has been conferred.

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 instructors to make exceptions to this policy.

6. SUBMITTING GRADES

Instructors are responsible for submitting grades to the registrar on time. The deadline for submitting grades for each quarter is published by the Office of the registrar on the Academic Calendar. New instructors should be apprised that this is an absolute deadline, and electronic submission through the grade roster is no longer available after the deadline. 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.

7. GRADE DISPUTES

The College is dedicated to the principle that the responsibility for assessing academic work and assigning grades remains solely with the instructor. The College requires transparency, fairness, and equity in grading. Chairs should advise faculty, current and new, that they should have their grading policies posted clearly on their syllabi. Students have the right to see graded work and to receive an explanation of their grades based on the grading policy in the syllabus. The College encourages students and instructors to resolve grade disagreements regarding an individual assignment or a completed course before taking any dispute to the chair.

Clerical or computational errors should be corrected by faculty by using the grade-change function in CAESAR. Students alleging erroneous, prejudiced, or capricious grading may petition the department chair to appeal a grade. The College recommends that the chair convene a grade-dispute committee made up of faculty colleagues to consider such appeals. The standard for appeals of grades used by the College is strict: a student must demonstrate that the professor graded students differently because of personal prejudice, manifestly disregarded the work completed by students in determining the grades issued, or disregarded subsequent errors in the reporting of grades. The chair shall decide if the evidence presented in the student's petition warrants the convening of a grade-dispute committee. If a grade-dispute committee recommends a change of grade, the department chair shall 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 the committee does not recommend a change of grade, the student may appeal the decision to the associate dean for Undergraduate Academic Affairs. If warranted, the associate dean will convene the Weinberg College Committee on Appeals. Such appeals will be allowed to proceed only when there is prima facie evidence of erroneous, capricious, or prejudicial grading. Nothing in this section 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.

8. 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.

If you post grades or any student assessments on your Canvas site (or anyplace else) be sure it is set up in a way that maintains complete student privacy.

Log in to 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.

9. 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; 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.

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. It is important for instructors 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, an instructor 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 instructor, the student, or the parent can download a Consent for Release of Personal Information form from the University registrar's website. The student must complete and sign the form and return it to the instructor before the latter is free to discuss the student's work.

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. The P/N is intended to allow students to explore new areas outside their usual sphere of interest without endangering their academic standing. Each Weinberg College 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 ninth week of the quarter. Instructors are not informed of which students have chosen the P/N option. Instructors 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 undergraduate and graduate students, from all schools, registered for Weinberg College courses. 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. Non-Weinberg students with a Weinberg major or minor are subject to this rule and also may not use courses taken P/N to fulfill requirements of their Weinberg majors and minors.

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

It is the responsibility of every student to familiarize themselves with their school's academic integrity policies. All students receive Academic Integrity: A Basic Guide, and are required to write an essay on the importance of and challenges to academic integrity. The College has developed a non-exhaustive list of violations and corresponding sanctions to achieve consistency and equity. Sanctions that may be imposed include, but are not limited to: reduced or failing grade (determined solely by the instructor, with conditions below), a letter of reprimand, disqualification for academic honors, one or more quarters of suspension (with or without the attachment of conditions), permanent exclusion from the University, notation on the official transcript, revocation of an awarded degree, or any combination of these sanctions. Suspension is considered the standard sanction. There is no assumption that a first offense will necessarily result a letter of reprimand; however, mitigating and aggravating circumstances are considered when applying sanctions.

1. PROCEDURES IN A CASE OF SUSPECTED DISHONESTY

Please consult the College's Academic Integrity website for contact information and other information.

In cases of suspected violations in the College, the associate dean for Undergraduate Academic Affairs and the assistant dean for academic integrity (ADAI) are delegated to act for the faculty. An instance of apparent violation of academic integrity must be reported to the ADAI as soon as it is noticed. This obligation stems from an instructor's responsibility to maintain equity in grading for all students. 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 integrity and its procedures for dealing with violations. It must be emphasized that instructors may not take personal action, but should involve the ADAI immediately. Faculty should take pains to preserve the privacy of students alleged to have violated academic integrity and not share identifying information with colleagues.

Allegations should be made via email, with supporting materials and evidence attached electronically whenever possible, copying WCASAcademicIntegrity@northwestern.edu. Evidence that cannot be scanned and emailed should be delivered by hand to the ADAI's attention at the Office of Undergraduate Studies at 1922 Sheridan Road. Intercampus mail should not be used.

Once an allegation has been referred to the ADAI, it may not be withdrawn without the ADAI's approval, nor may the referring instructor resolve an open case without the ADAI's approval. On receiving an allegation, ADAI determines if there is cause for further investigation. Instructors may not impose a grade sanction without first referring the allegation to the ADAI nor may they do so until a finding of violation has been issued by the ADAI. The ADAI is available to consult on suspected cases of academic integrity violations. Consultations will not necessarily result in an investigation. If the student is found to have violated academic integrity, the instructor has the sole discretion to determine the impact on the grade for the particular assignment and for the course as a whole. If the student is found not to have violated academic integrity or if the ADAI finds insufficient evidence for a finding of violation, the instructor must grade the assignment and the student's performance in the course without prejudice.

A student may appeal the assistant dean's finding, sanction, or both (and therefore the instructor's grade sanction) to the Weinberg College Committee on Appeals. Such an appeal is further subject to a procedural review by the Office of the Provost.

If circumstances prevent the alleging instructor from participating at any stage of these procedures (e.g., departure of a visiting instructor), the chair will act on the instructor's behalf.

2. MEASURES TO PREVENT ACADEMIC DISHONESTY

Instructors are expected to explain the specific standards of academic integrity in their classes in clear, explicit, and unambiguous language including how to properly cite scholarship in their discipline. All students receive Academic Integrity: A Basic Guide, and are required to write an essay on the importance of and challenges to academic integrity.

a. 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.

b. 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.

c. 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.

d. Notice of Academic Requirements

Instructors include, on all syllabi, the academic requirements of each course in clear, explicit, and unambiguous language. 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. Instructors 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 remain in the possession of students in the classroom, especially during examinations. Expectations should be explicitly announced.

Canvas, the official campus learning management system, includes plagiarism detection software called Turnitin. 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

Please consult Weinberg College's Advising website for information on this topic.

1. ADVISING FOR FIRST-YEAR STUDENTS

Every first-year student selects a College 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. Advisers are strongly encouraged to make use of Canvas to post greetings and/or announcements relating to their fall-quarter course. Weinberg College faculty members receive extra funds in their research account for this advising.

First-year students in a few special programs (MMSS, ISP, BA/BMUS) are advised by faculty associated with those programs, each of whom typically advises 20 students. The College provides departments and programs with extra funds to provide extra research funding to those faculty members serving in this capacity.

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 their 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. WEINBERG COLLEGE OFFICE OF UNDERGRADUATE STUDIES AND ADVISING

The Office of Undergraduate Studies and Advising (OUSA) is the branch of the Office of the Dean 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 between two buildings: 1908 Sheridan and 1922 Sheridan. See the OUSA Staff directory for locations of particular people and general phone numbers.

Faculty members should consult the College's Undergraduate Advising website for more information.

3. WENBERG COLLEGE ADVISING OFFICE

The Weinberg Advising Office (1908 and 1922 Sheridan) comprises college advisers and the assistant dean for academic advising.

Beginning in winter quarter, first-year students will be assigned a college adviser who will continue to work with them 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.

4. WEINBERG COLLEGE OFFICE OF STANDING

The assistant dean of academic standing oversees the probation and dismissal process and as such plays a key role in the network of advising in the College. Students placed on probation are required by the assistant dean to meet with their academic advisers. Conversely, college advisers refer students with serious challenges to the assistant dean. If a student has been made a Candidate for Dismissal (during the second of two terms of probation or in the case of especially low grades) that student is required to meet with the assistant dean of academic standing. A student returning from academic dismissal must meet with the assistant dean of academic standing and then regularly with the college adviser.

Please consult the College's Academic Standing Concerns website for further information.

5. 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 (DUS) who coordinates all aspects of the unit's undergraduate program, including advising. They 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.

6. ADVISING DURING SUMMER AND WILDCAT WELCOME

Incoming first-year students are required to provide information in an online dossier so that the College Seminar Advisers and Weinberg College advisers can familiarize themselves with their advisees before they arrive; information may include AP scores, academic interests, and a preliminary fall-quarter schedule. Students complete their dossiers before they can pick their top ten first-year seminars. Incoming students also may participate via 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 Wildcat Welcome.

It is essential that there are enough faculty members (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 director of Undergraduate Studies (DUS) makes plans to meet transfer majors individually or as a group.

7. OFFICE OF ACADEMIC SUPPORT AND LEARNING

Academic Support and Learning Advancement (ASLA) in the 2 North Tower of the Library provides consulting, coaching, and workshops on academic strategies across disciplines, as well as tutoring and organized study groups for 30+ STEM courses, including economics and statistics. Programs run in locations across campus.

8. STUDY ABROAD

The University's Global Learning Office advises students who wish to pursue foreign study for Northwestern credit. The office provides counsel concerning University criteria for receiving such credit and information about foreign study programs which provide good educational experiences. In addition, Northwestern also offers a number of programs itself. 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 programs and work closely with that office.

9. 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 advisers, call 491-7890.

c. Classes or Examinations Missed due to the Athletics

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.

10. HEALTH PROFESSIONS ADVISING (HPA)

Health Professions Advising provides pre-health professions (medical school, dentistry, nursing, osteopathy, physician assistant, pharmacy, physical therapy, public health, veterinary) advising for undergraduates.

11. COUNSELING AND PSYCHOLOGICAL SERVICES (CAPS)

The University's Counseling and Psychological 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 members 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.

12. ACCESSIBLE NU

Northwestern University and 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:

> 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.

13. THE DEAN OF STUDENTS OFFICE

Weinberg College 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 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 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.

2. TRAINING OF TEACHING ASSISTANTS

Teaching assistants play a vital role in the educational mission of the College. It is essential that departments and programs closely monitor the performance of its teaching assistants and that they assist and encourage graduate students' 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 and directors may obtain further information on available help from the Searle Center for Advancing Learning and Teaching. The center also 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.

Departments are urged to develop their own training programs. 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. Please consult the resources available through the English Language Programs.

Departments should also make sure that teaching assistants 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 their 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; and
- Temporary wages may not be used for purposes other than graders without the agreement of the Office of the Dean.

4. PEER ASSISTANTS

Departments may make 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; and
- 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

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 College 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

In spring quarter, 2019, the Weinberg faculty voted to approve a proposal to change a number of the Weinberg College degree requirements. Implementation of those changes is ongoing.

1. MAJORS AND MINORS

Academic departments and each permanent academic programs with a formal faculty governing committee typically offer one major and one minor, the principal title of which is, more often than not, 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 the major or minor 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. Ideally, majors should not require more than 15 courses. The majors offered by the programs in African Studies, Geography, Global Health Studies, 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. Optimally students 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.

The Rule of Three was approved by the Weinberg College faculty in 2009 and stipulates that a student's total number of majors plus minors may not typically exceed three. 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 their college adviser to discuss options and procedures.

While the College does not grant certificates that are registered on students' transcripts, other schools at Northwestern do. Please see the Minors, Certificates and Concentrations page on the Weinberg College website for further information.

The Holocaust Education Foundation of Northwestern offers a four-course Certificate of Achievement in Holocaust Studies. This is not recorded on a student's transcript.

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 above 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. Individual faculty members may not submit course proposals to the Office of the Dean. 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. Please consult the Proposing New Courses page on the Weinberg College website.

c. Proposing a New Major or Minor

Please consult Proposing New Majors and Minors on the Weinberg College website. Proposals for new minors or majors (either freestanding or adjunct) are considered by the Weinberg College Curricular Policies Committee (CPC). It is advised that any group wishing to propose a new major or minor meet with the associate dean for Undergraduate Academic Initiatives and, if necessary, the dean to discuss its feasibility before developing a formal proposal.

- Proposals
  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, including the University's guidelines on Aligning Assessment and Learning Objectives.
- Process
  If the CPC and dean approve a proposal, it is placed on the agenda of the next Weinberg College faculty meeting for its first reading. Subsequently, and with any issues raised in that first meeting addressed, the proposal is placed on the next faculty meeting for a second reading and vote.

d. Changing Majors and Minors

Please consult Changing Majors and Minors on the Weinberg College website. 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 (CRC). If changes result in any incremental teaching needs or other resources, the proposal may not go before the CRC without the dean's approval.

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. COLLEGE SEMINARS

All first-year students are required to take a College Seminar, so it is imperative that departments offer these courses. Instructors for fall-quarter advising-linked College 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 College Seminars only in unusual cases; chairs should consult the assistant dean for first-year programs. First-year College seminar instructors serve as their students' academic adviser during Wildcat Welcome and in the fall quarter; in winter quarter first-year students will be advised by their assigned Weinberg College adviser.

The purpose of the College Seminar is to introduce students to a wide range of methods and skills within the frame work of a thematic seminar.

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 College Seminar plans to enable the Office of Undergraduate Studies and Advising to be in touch with instructors in a timely fashion.

Chairs and directors should take extra care when inexperienced instructors are asked to teach a first-year seminar, called College 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. These courses, even though called "seminars," normally meet for the standard 3 hours each week that other courses do, and those hours should be distributed over 2 or 3 class sessions each week. Detailed guidelines for the teaching of College Seminars are sent to College 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.

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. COURSES AND DISTRIBUTION REQUIREMENTS

Please consult Courses and Distribution Credits on the Weinberg College website.

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 (CRC) and the associate dean for undergraduate academic affairs. Courses may be proposed to the CRC 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.

5. PROFESSIONAL LINKAGE SEMINARS

A small number of professional linkage seminars permit the College to offer teaching appointments to individuals who have distinguished themselves in areas that are untraditional in academia. These courses allow the College to strategically expand the curriculum.

6. INDEPENDENT STUDY AND UNDERGRADUATE RESEARCH SUPPORT

Please consult the Baker Program in Undergraduate Research on the College's website. Please consult the Office of Undergraduate Research website for information about the University's resources.

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.

7. HONORS

a. Use of the Term "Honors" in the College

Certain limited admissions programs in the College are designated honors programs: American Studies, the Integrated Science Program (ISP), Mathematical Experiences for Northwestern Undergraduates (MENU), Mathematical Methods in the Social Sciences (MMSS). The term "honors" may not be used to describe individual courses in the College curriculum.

b. Departmental and Program Honors

Seniors who have demonstrated 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 for work completed in a minor.

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 Office of the Dean 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. TIMETABLE OF CLASSES

Departments are required to follow the scheduling structure established by the Office of the Registrar. 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 are no longer equipped with computer; the room is set up for instructors to use their own laptops.

3. CLASSROOM RESERVATION

a. General Purpose Classroom Scheduling Guidelines

b. Department and Program Managed Conference/Seminar Rooms

   Departments and programs should use the University's Room and Event System (RES) to schedule classes taking place in non-registrar-managed classrooms. You must login ("Sign In" link in the upper right-hand corner) to access most rooms and system functionality.

C. READING PERIOD AND FINAL EXAMINATIONS

1. READING PERIOD

Other undergraduate schools at Northwestern do not observe a Reading Period; the observance of a Reading Period is a Weinberg College policy.

Reading Period falls between the end of classes and final examinations; inclusive dates appear in the Academic Calendar on the registrar's website. 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.

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.
- 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 EXAMINATIONS" 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 examination, 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 the syllabus. 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)

Please consult the listing of Courses A–Z on the registrar's website for an annually-updated description of courses offered. Please consult the Class Descriptions website, which lists all classes offered in any given quarter.

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 https://www.weinberg.northwestern.edu/undergraduate/degree/distribution-requirements/approved-courses.html. In addition, departments/programs provide the Office of the Registrar 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: https://www.weinberg.northwestern.edu/faculty/teaching-research-service/teaching-curriculum/curricular-committee-actions/

https://www.weinberg.northwestern.edu/faculty/teaching-research-service/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:

- New Courses and Revisions form (see https://www.weinberg.northwestern.edu/faculty/teaching-research-service/teaching-curriculum/new-courses/)
- New Courses and Revisions form (see https://www.weinberg.northwestern.edu/faculty/teaching-research-service/teaching-curriculum/new-courses/);
- official course description;
- course syllabus; and
- 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 last 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. Students who are interested in an *ad hoc* major should contact the assistant dean for academic integrity.

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. 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 https://www.weinberg.northwestern.edu/faculty/teaching-research-service/funding/hewlett-fund-for-curricular-innovation.html.

2. COURSE ENHANCEMENT GRANTS

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 $400 per faculty member, may be applied for at any time. Instructors should contact the associate dean for Undergraduate Academic Affairs.

3. 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, contact the Searle Center for Advancing Learning and Teaching.

4. INSTRUCTIONAL TECHNOLOGY SUPPORT

Weinberg Information Technology Solutions (WITS) is a service unit located within the Office of the Dean of Weinberg College. Their goal is to provide broad-based, high-impact solutions to the College that facilitate research, enhance teaching & learning, and improve administration & process . WITS works with faculty to facilitate academic computing for teaching and research either through Weinberg College resources or by working with other campus units. Please visit the "Teaching and Research Resources" on the WITS website for additional details and recommendations.

The Media and Design Studio (MADS, formerly known as the Multimedia Learning Center or MMLC) and is an extended part of the WITS team. The studio offers a wide variety of services to supported Weinberg College faculty, complementing their syllabi. Services include:

- Facilities – two computer laboratory classrooms, an editing suite, a voice over recording studio, and an activity space.
- Equipment – audio/video production, iPads, and other instructional equipment available for checkout and reservation.
- Media Services – a wide variety of skills and expertise handling and preparing media across several forms and formats; consultation or production assistance with special pedagogical or research needs.

- Course enhancement – wide array of technical support to courses, including web development, curricular design advice, and custom app development; help translate your content and vision for your course into a finished, working result; review what is possible and come up with realistic timelines of how to implement these enhancements in your classes.

Northwestern Information Technology (NUIT) is the central provider of IT services for the University. Three of its units direct support teaching and research:

- NUIT's Media and Technology Innovation unit provides for all classroom AV support accessible by calling **7-Room**. Additionally, they deliver learning space design and consultation services to support University schools and departments in making informed decisions regarding audio-visual technologies, digital signage, room-based videoconferencing solutions, and special event support.
- NUIT's Teaching and Learning Technologies team supports campus-wide initiatives for Northwestern faculty in instructional 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; and the development of faculty-based projects.
- NUIT's Research Computing Services team delivers high performance computing resources for conducting in-depth computational analysis. Services include research data storage, access to specialized software, and individual consultations regarding data visualizations, grant writing, data workflow, bioinformatics, and the use of national computing facilities.

IX. RESEARCH

A. EXTERNALLY SPONSORED RESEARCH: OVERVIEW AND CONTACT INFORMATION

Research lies at the heart of the College's mission. The Weinberg College Office of Research Administration supports the complete lifecycle of awards, from proposal submission to ensuring compliant award management.

All applications for external research support must be submitted to and approved by the department chair or designee, Weinberg College 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 information found on the website of the Office for Sponsored Research (OSR).

All proposals must be processed through InfoEd, the electronic proposal submission platform. Every department and program in Weinberg College has a designated research administrator, either within the department or in the Office of the Dean (please consult Department Research Contacts to find the appropriate research administrator). Faculty members should collaborate with their research administrator for assistance with this process.

The department chair or designee should review each proposal and, when appropriate, endorse it. The chair's endorsement signifies concurrence, to the best of their 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 Institute or Center the project should be multi-PI, interdisciplinary and cross school. In this case, Institute or Center staff will provide administrative support for the proposal and award, rather than departmental staff.

Resources and information regarding proposals and awards can be found on the OSR and Weinberg College Research websites.

Accounting Services for Research and Sponsored Programs (ASRSP) provides additional resources and information necessary to manage, report on, and close out grants.

B. EXTERNALLY SPONSORED RESEARCH: ADMINISTRATION

1. FUNDING SOURCES

There are resources available at Northwestern to assist faculty with finding funding for sponsored projects. For the most current information refer to: https://www.weinberg.northwestern.edu/staff/research-administration/funding-sources.html. There are specific resources for finding funding in the Sciences and the Social Sciences and Humanities.

2. PROPOSAL DEVELOPMENT

The first step a faculty member should take once they 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 five working days prior to the submission deadline and the complete proposal to OSR two working days prior to the submission deadline.

The Training Grant Support Office within the Graduate School provides assistance with the preparation of institutional training grants.

3. AWARD MANAGEMENT

Awards must be managed to ensure compliance with University and sponsor regulations. For detailed information refer to Weinberg College's Award Management website and to the Policies webpage of Accounting Services for Research and Sponsored Programs.

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.

The Northwestern Research Portal is also a useful tool for real-time financial information on both sponsored and non-sponsored projects.

5. POLICIES

Faculty must adhere to policies from external sponsors, the University and the Office of the Dean. A brief explanation of some of more frequently referenced policies is offered below. For detailed and current information on Office of the Dean policies, please consult our Policies webpage.

a. Academic Salary Recovery

Research grants may include support for academic year faculty salary. If this is the case, this expenditure may be directly 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 the Office of Cost Studies. Weinberg College supports the University requirement that all faculty must report on effort. Weinberg

College administrators are trained and ready to assist faculty with the technical aspects of effort reporting.

c. Summer Salary

Please consult Summer Quarter Research Salary Policy Statement for 9 Month Appointments, April 30, 2009, which governs how faculty members may draw summer salary. This policy leaves some details to the deans of the individual schools. The Weinberg College summer salary 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 or discretionary funds (excluding startup or retention funds). 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. For more information consult the Inventors webpage on INVO's website.

e. Responsible Conduct of Research (RCR)

The University must comply with the guidelines established by external sponsors for Responsible Conduct of Research (RCR). The RCR training requirements for undergraduate students, graduate students, post docs, faculty and staff are determined by the Office of Research Integrity.

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, consult the information on the Conflict of Interest Office website or contact the associate dean for Research.

C. UNIVERSITY SUPPORTED RESEARCH

1. FACULTY GRANTS

The Office of the Provost offers Research Support for faculty members.

2. GRADUATE STUDENT GRANTS

The Graduate School sponsors a number of internal Fellowships and Grants for students at all stages of their graduate experience.

3. UNDERGRADUATE STUDENT GRANTS

Weinberg College's Baker Program in Undergraduate Research offers grants to support undergraduate students in independent research, creative work, and presentations at academic conferences.

4. CONFERENCE FUNDING REQUESTS

Weinberg College has limited funds available to respond to Conference Funding Requests to support on-campus research conferences for faculty and graduate students. To request such funding, please complete a Weinberg College Conference Funding Request form.

5. OTHER RESOURCES

Other resources are available through the Buffett Institute, the Alice Kaplan Institute for the Humanities, and the Office of Research Development.

X. LEAVES OF ABSENCE, COURSE BUYOUTS, AND 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.

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 or program 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 and directors should work with faculty colleagues 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 chair/director, dean, and provost.
- A faculty member on leave must meet continuing responsibilities to their 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.

The Office of the Dean also seeks to empower departments to have control of faculty leaves of absence. The chair review and approval of the leave application should not be based solely on leave eligibility but should evaluate the department's teaching resources against teaching needs. A chairperson's endorsement of a leave signifies, among other things, confidence that the department's teaching mission can be carried out at a high level of quality. Chairs and directors should keep in mind that the College does not necessarily have the resources to provide leaves for all faculty who wants or are eligible for a leave in a given year, and thus the chair/director has the prerogative to recommend a leave be postponed.

1. LEAVES OF ABSENCE, INCLUDING RESEARCH LEAVES

Please consult the Weinberg College policies and procedures on Leaves of Absence.

2. MEDICAL, PARENTAL, AND PERSONAL LEAVES

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). 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.

The leave should, if possible, be discussed with the faculty member's department chair well before the time in question. Medical conditions are not required to be disclosed in those conversations. Applications for medical or parental leaves are handled through The Hartford, a company external to Northwestern.

Please consult the Weinberg College policies and procedures on Leaves of Absence. Please consult the Faculty Family Leaves and FMLA on the Office of the Provost's website.

a. Maternity, Adoption, and Childrearing Leaves

The University's policy on leaves for the birth, adoption and rearing of children may be found on the Office of the Provost's website at Faculty Family Leaves and FMLA.

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 Office of the Dean 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. The Hartford is not involved in tenure-clock extensions.

b. Unpaid Personal Leaves

The Northwestern 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." In such cases, 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 their 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. BUYBACKS AND RELEASE TIME POLICY

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.

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 their time so that they 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 their time that there will be a charge (note that a "replacement teaching policy" cap will be used for most internally funded buyouts) and discusses the buyout with their 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 institute or 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 about all internally funded buyouts.

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.

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 and Entertainment policies.

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 if such support. After a chair has approved the travel grant, a requisition should be prepared.

2. ADDITIONAL TRAVEL FUNDS

Limited additional Travel Funds are available through the Office of the Dean for the following purposes only. Except in truly unusual circumstances, faculty members are expected to secure the most economical fares. Discount ticketing normally requires early purchase; long-range travel plans are encouraged.

a. Faculty Recruitment

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. Teaching-Track Faculty Travel

Teaching-track faculty members should seek professional development funding, including funds for travel, from the departments and programs. If such funding is insufficient, teaching-track faculty members may submit a Teaching-Track Faculty Professional Development Funds Request.

This support depends on funding availability, which will be evaluated each year, and is limited to faculty who do not have other sources of support through grants or existing discretionary funds. The department is expected to contribute a share to such support.

c. International Travel

Tenure-line faculty in the humanities and humanistic social studies delivering papers at conferences outside North America may submit, with the endorsement of the chair, a Tenure Line Faculty International Travel Funds Request.

This support depends on funding availability, which will be evaluated each year, and is limited to faculty who do not have other sources of support through grants or existing discretionary funds. The department is expected to contribute a share to such support.

XI. STAFF

A. EXPECTATIONS OF CHAIRS AND DIRECTORS

The staff supports the faculty, students and University in support of the educational and research mission. department chairs and program directors supervise the lead staff person in their respective academic area and are responsible for:

- Providing staff colleagues with a clear picture of the area's priorities and plans;
- Ensuring that staff have the resources they need to accomplish their work; and
- Ensuring University policies are followed.

B. POLICIES

All supervisors and staff members should familiarize themselves with the Staff Handbook – the primary policy manual for staff and staff management – maintained by the University's Office of Human Resources.

C. STAFF STRUCTURE AND COMPENSATION

Most College departments and programs are assigned administrative staff, in addition to temporary employees such as Work Study students. Most of the College's administrative positions are centrally funded by the Office of the Dean.

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 to the associate director of administration. The Human Resources Compensation Division reviews all position descriptions to determine a position title and salary range.

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 associate director of administration to request a review. The Human Resources Compensation Division will conduct a final review and make a recommendation to the Office of the Dean. If the recommended action involves additional funds, those funds must be available before any reclassification can take effect.

When a new employee is hired, the Office of the Dean, 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.

D. PERFORMANCE MANAGEMENT AND EVALUATION

Managers and staff should set goals at the beginning of each academic year, based on the department or program's areas of priority. Managers and staff are encouraged to discuss progress toward goals throughout the year. A formal performance review is conducted in the spring, and the Office of the Dean notifies all chairs and program directors about the evaluation process, Performance Excellence, and relevant deadlines. During the annual evaluation, managers and staff discuss the staff member's accomplishments and areas for growth and managers assign a performance rating. The director of Administration and the associate director of administration in the Office of the Dean as well as staff in the Office of Human Resources are available to provide guidance on conducting performance evaluations.

E. ANNUAL SALARY PLANNING

Benefits-eligible nonexempt and exempt staff typically receive an annual merit increase effective September 1. The associate director of administration reviews staff evaluations and in consultation with the director of administration and associate dean for Finance and Business Operations, determines the appropriate increase for each staff member. Increases are distributed based on individual merit, the guidelines set by the Office of Human Resources, and the budget available for increases. All staff increases require final approval by the dean and the Office of Human Resources and become effective September 1st. Each staff member is notified of their new salary for the upcoming fiscal year. Employees hired after April of each year are not eligible for salary increases until the end of the following fiscal year, unless the employee worked elsewhere at Northwestern immediately before hire.

F. TERMINATION OF EMPLOYMENT

Any move toward involuntary termination of a staff member must first be discussed with the associate dean for Finance and Business Operations, as well as in the Office of Human Resources.

For terminations that are performance based, managers must demonstrate that the employee were 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 of employment.

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 or refer to the Staff Handbook.

G. TEMPORARY STAFF

The Office of the Dean typically provides funds to cover the salary of a temporary staff member in the event that a centrally-funded position is vacant or a staff member is on an approved medical leave. Departments should contact the associate director of administration with the request for hiring temporary staff. The Office of the Dean will assist in identifying temporary help through the University's Office of Human Resources.

H. WORK SCHEDULES AND TIME ENTRY

Scheduled work hours vary among departments, programs, centers, and in the Office of the Dean, 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 workday are 8:30am to 5:00pm, Monday through Friday. This does not imply that all staff must work on-site during those hours. Rather, there should be a staff presence during those hours (not including lunch or other break times). Offices that wish to set standard hours different than those noted above during the fall, winter, and spring quarters must inform the Office of the Dean as to the office's proposed alternative schedule and the means by which the office will ensure that service to students, faculty, and staff is not compromised.

For nonexempt staff, work schedules 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 staff members within the same office or department throughout the year, or they can be changed on a seasonal or other basis. The University's Alternative Work Strategies Policy outlines the ways in which staff schedules may be arranged. This policy also established a common framework for remote work. Within the College, one day per week of remote work is the recommended target for those whose jobs can be performed remotely. However, two days per week of remote work may be considered and implemented where scheduling makes it possible. Remote work scheduling is contingent on the needs of the unit, and whether coverage can be maintained for the scheduled office hours. Requests for work schedules with more than two days of remote work require Office of the Dean review.

It is the responsibility of managers to ensure staff work hours as scheduled and to respond to requests for time off. Timesheets must be approved in the Kronos Time System on a biweekly basis for all non-exempt (hourly) employees and monthly for exempt (salaried) staff members.

I. 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) staff members. 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.

J. PAID TIME OFF

Paid time off benefits provided to staff include vacation, sick, and personal floating holidays . Paid time off may also be taken for bereavement leave, voting, jury duty, and school visitation, as outlined in the Staff Include. Employees must schedule vacation and personal days in advance and in consultation with the supervisor. 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.

K. DISCRIMINATION AND HARASSMENT

Weinberg College subscribes to and promotes the University's commitment to fostering an environment in which all members of our community are free from discrimination and harassment—including sexual misconduct. Such conduct violates the values of our institution and disrupts the living, learning, and working environment for students, faculty, staff, and other community members.

The University prohibits discrimination and harassment on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making or any other classification protected by law in matters of admissions, employment, housing, or in the educational programs or activities it operates.

All members of our community should familiarize themselves with the relevant Policies and Procedures available through the Office of Equity. Also, please consult the Resources available through that office.

Supervisors should be alert to possible problems and help educate department members about appropriate behavior.

L. CONFLICT OF INTEREST POLICY

Staff members are required to complete a conflict of interest questionnaire on an annual basis, to be reviewed and approved by their supervisor or another designated individual in the department. Please consult the University's Policy on Conflict of Interest and Conflict of Commitment. More information about this can be found on the website of the Conflict of Interest Office.

XII. SPACE, FURNITURE, EQUIPMENT, AND SECURITY

A. SPACE

Weinberg College assigns space so that each department or program has appropriate and sufficient inventory to manage its own programs. As academic units 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 myHR.

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 vacant space reverts back to the dean for reassignment. This means the vacant space cannot automatically be reassigned by the department without consultation with the associate dean of Facilities and Planning. The dean will evaluate potential uses of any vacant 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 members may be hired creating a need for temporary workspace. 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 Weinberg College 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 Office of the Dean for advice and counsel. Any arrangement should be in effect for an agreed-upon period, usually no more than an academic year.

Departments and programs may not authorize any long-term or permanent space swaps with other units or schools. Any such arrangements must be reviewed and approved by the dean.

b. Recruiting Faculty

An important aspect of recruiting first-rate faculty members is Northwestern's assurance that they will have the adequate resources including office space and if needed, appropriately sized laboratory space to be a productive member of the department, College, and University. 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 final 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 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. Failure to coordinate space issues with the College beforehand may result in a delay in issuance of any offer letters.

c. Space Inventory

Each year Facilities Management (with the support of the Office of the Provost) requires an updated space inventory submitted by each department, program, or center through Facilities Connect**.** The academic unit is responsible for checking and confirming the data, and for submitting an updated and accurate space inventory. 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 desks.

a. Quality of Upkeep

If a chair or department assistant believes that routine work is not being done, they should speak to the custodian if possible. If this does not produce satisfactory results, an email explaining the issue should be sent to Facilities Management.

d. 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.

e. 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 Facilities Management and include a detailed description of the problem in order to receive prompt action. Facilities Management 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 should be entered via the University's Service Request portal so that progress can be monitored. All urgent repairs should be called in immediately (1-5201) and explained so that Facilities Management can respond appropriately. After hours urgent repairs or emergencies should be directed to University Police at 911 or 1-3456.

4. RENOVATIONS

As funds become available, the Office of the Dean may solicit advice and /or requests for renovations from the departments. Departmental requests for remodeling existing spaces will be prioritized based on the 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 are 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 Facilities Management 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 Office of the Dean 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 NU's office of equity 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 Office of the Dean may accept requests for non-research 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 Office of the Dean.

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 Facilities Management 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. If a department needs an additional desk, bookcase, etc., and would like to know if one is available, the Office of the Dean 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 Office of the Dean. Items purchased with grant funds may not be sold or transferred without the additional approval of the Office of Sponsored Research (OSR).

4. 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 but functional window air conditioners, broken desks, lightly 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 submitting a service request to Facilities Management describing the work to be done but without providing a chartstring. Most people underestimate the cost of a job, so obtaining a cost estimate from Facilities Management before ordering work is important.

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 Office of the Dean.

C. 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. Departments should use extreme caution in requesting master keys for all spaces. 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. 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. Loss of keys may result in a security issue and the department will be expected to fund the re-keying of all spaces.

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 Office of the Dean 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.

D. 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, are accounted for. The 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 they work by grace of an Employment Authorization Document.

Please note that the matters below may be handled differently when a long-serving colleague retires.

1. 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 a depreciated price for them. In making decisions about items purchased with grant monies (non-University funds), the Office of the Dean 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.

2. 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 subject protocols; and other matters.

3. KEYS

The department should make sure that it reclaims all keys to offices, labs, buildings, etc.

4. 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. GRADUATE EDUCATION

Graduate training is central to Weinberg College's mission and is overseen by the associate dean of graduate studies and the Weinberg College Office of Graduate Studies. Graduate students are matriculated into over 30 Graduate Programs, offering PhDs, Masters in Fine Arts, Masters of Arts, Masters of Science, and a host of certificates. Many programs are hosted by academic departments and programs, others are interdisciplinary intellectually and administratively. Weinberg College collaborates with Northwestern's Graduate School (TGS), especially on admissions.

A. GRADUATE FACULTY MEMBERSHIP

All faculty members who hold tenured or tenure-line appointments at the University will be automatically appointed to the Northwestern University Graduate Faculty on an annual basis. Graduate faculty are actively involved in graduate education (e.g. teaching, advising, serving on thesis, prospectus, and/or dissertation committees). The duties of the graduate faculty includes approval of the various programs of study leading to advanced non-professional degrees, the establishment of regulations governing the conferring of advanced non-professional degrees, the recommendation of candidates for advanced non-professional degrees, and the performance 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 may be nominated by the 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, complete the Ad-Hoc Graduate Faculty Appointment Request form found here. The form will require uploading a CV and a brief letter of support from the department chair. The form will be routed to the associate dean of graduate studies for approval prior to final approval by TGS. These appointments are normally made for a term of four years and may be renewed.

Refer to: https://www.tgs.northwestern.edu/about/for-faculty/graduate-faculty-membership.html

B. GRADUATE ADMISSIONS AND RECRUITMENT

1. 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.

The Graduate School offers additional assistance to departments in their efforts to recruit diverse candidates. Contact the associate dean for 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.

2. 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 of 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 and wcas-grad@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 Weinberg Office of Graduate Studies and TGS.

3. VISAS

The Office of International Student and Scholar Services assists international students with the process of acquiring and maintaining nonimmigrant visa status. Refer new students to the

International Office website (https://www.northwestern.edu/international/student-visas/index.html) for information on the entire process.

C. GRADUATE STUDENT ADVISING AND MENTORING

The student's dissertation advisor will act as the primary mentor, generally with the support of a faculty committee. Each graduate program appoints a director of graduate studies (DGS) who serves as further source of advice for students, especially during the pre-candidacy period.

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: https://www.tgs.northwestern.edu/about/for-faculty/training-grant-support/toolkit/mentor-training.html

D. PROGRAM AND CURRICULAR CHANGES

Weinberg College oversees advanced degree programs across the arts and sciences.

Any proposals for new master's or doctoral programs or curricular modifications to the degree requirements for these programs should be reviewed by the associate dean for graduate studies and, if appropriate, the dean before submission to TGS for review and approval. Similarly, any faculty members proposing a new cluster or certificate should also seek College-level approval before initiating any review by TGS.

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. This committee consists of Weinberg College faculty representatives plus the associate dean of graduate studies. All 300-level courses which are to bear graduate credit must also be approved by the Weinberg College Curricular Review Committee once they have been approved for undergraduate credit.

Refer to: https://www.weinberg.northwestern.edu/graduate/program-administration/graduate-level-course-proposals.html

E. TEACHING ASSISTANTS

1. TEACHING ASSIGNMENTS

Northwestern requires that all PhD students serve in some instructional capacity for at least one academic quarter during their graduate education at Northwestern. The assignment of graduate student instructors (or teaching assistants, TAs) 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 graduate student instructors) before making teaching assignments, it is fundamentally the task of the DGS to make the instructor assignments for the department. Individual instructors do not independently choose their own graduate student instructors.

When assigning graduate student instructors to specific courses, the DGS should take careful note of enrollment histories, so as not to assign too many or too few instructors to a course. In general, smaller courses (enrollment less than 25) are not granted graduate student instructors unless special attributes of a course provide a compelling reason to do so.

2. TRAINING OF GRADUATE STUDENT INSTRUCTORS

Graduate student instructors play a vital role in the educational mission of the College. It is essential that the department closely monitors the performance of its graduate student instructors and that it assists and encourages 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 graduate student instructors. Chairs may obtain further information on available help from the Searle Center. The Center also maintains a library of articles, books, and audio-visual materials 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.

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. Departments should also make sure that graduate student instructors, especially those coming from abroad, fully understand the norms of American academic life. Among the important issues are classroom management, sexual harassment policies, standards of grading, and policies and procedures concerning violations of academic integrity.

3. INTERNATIONAL STUDENTS: ENGLISH PROFICIENCY

All international PhD and MFA students whose primary language is not English are required to fulfill the Graduate School's spoken English proficiency requirement before being appointed as graduate student instructors/teaching assistants.

For specific requirements refer to:
https://www.tgs.northwestern.edu/funding/assistantships/graduate-and-teaching/requirements.html

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 department must complete the online Permission to Work Request form. The request must be submitted prior to the work being initiated and needs to 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 thesis advisor and department chair or DGS. 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 the Permission To Work policy: http://www.tgs.northwestern.edu/about/policies/financial-aid-policies.html#permission.

XIV. DEVELOPMENT AND FUNDRAISING

A. OVERVIEW

The Weinberg College Development Office is a resource available for all departments and individual faculty members to assist in fundraising, alumni relations and other related activities. Working within the Office of Alumni Relations and Development (ARD), 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 [Foundation Relations] and [Corporate Engagement] work closely with faculty members to raise money from private foundations and corporations.

B. WEINBERG COLLEGE DEVELOPMENT OFFICE STAFF

Please see https://weinberg.northwestern.edu/after-graduation/contact/index.html

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. Monthly gift reports are shared in a box folder. To be added to your unit's box folder please reach out to the Development Office.

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 appreciate 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 Street, 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 let them know if you have any plans to reach out to your donors and 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

Please see https://giving.northwestern.edu/s/1479/282-giving/grid-campaign.aspx?pgid=7407&gid=282

3. THE NORTHWESTERN LEADERSHIP CIRCLE (NULC)

Please see https://giving.northwestern.edu/s/1479/282-giving/grid-campaign.aspx?sid=1479&gid=282&pgid=7390&_ga=2.148406325.324035409.1639411650-496630962.1635368074

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.

All new gifts supporting work in the College, unless clearly otherwise stated in gift agreements or approved by the dean, come to the Office of the Dean for distribution to departments, programs, centers and other entities.

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. NEWSLETTERS AND COMMUNICATION TO ALUMNI

All email newsletters and communications to alumni need to be constructed and sent through Encompass (imodules), ARD's email marketing tool. In order to gain access to the email marketing tool a member of your team must complete the appropriate training course. Courses are conducted every three weeks in the training room at 1201 Davis Street. Register for ARD104 through myHR Learn. Once the training is completed, staff members must fill out the Our Northwestern Admin Access Request form and sent to the Development Office for sponsorship.

For sending newsletters in the mail please request a mailing list of alumni from catracksreports@northwestern.edu using the report request form. Please be aware that the average turnaround time for mailing lists is 10 business days. Additionally please send copies of your newsletters to the Development Office.

2. 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 497-1902.

3. 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.

For more information, please see: https://www.northwestern.edu/financial-operations/policies-procedures/deposits/depositshandlegifts.html

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 note 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 is 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. https://corporate.northwestern.edu/about/for-faculty-staff-and-students/report-a-gift-in-kind/index.html.

RESOURCE APPENDIX

COMPUTER USE AND SUPPORT

Weinberg College Information Technology Solutions (WITS)

WITS home page https://weinberg.northwestern.edu/wits/

Requesting IT Support https://weinberg.northwestern.edu/wits/support/index.html

Staff contact information https://weinberg.northwestern.edu/wits/about/weinberg-it-staff.html

Purchasing Computer Hardware and Software
https://weinberg.northwestern.edu/wits/purchasing/index.html

Teach and Research Technology Resources https://weinberg.northwestern.edu/wits/teaching-research/index.html

Information Security Resources https://weinberg.northwestern.edu/wits/security/index.html

IT Support Policies https://weinberg.northwestern.edu/wits/support/support-policies.html

Northwestern IT Policies https://www.it.northwestern.edu/policies/index.html

BUDGETS AND ACCOUNTING

Weinberg Finance

Weinberg Finance Homepage: https://weinberg.northwestern.edu/staff/finance-budget-payroll/index.html

Finance staff contact information/who to contact: https://weinberg.northwestern.edu/staff/finance-budget-payroll/contact/index.html

Financial Management information: https://weinberg.northwestern.edu/staff/finance-budget-payroll/financial-management/index.html

Payroll and myHR resources: https://weinberg.northwestern.edu/staff/finance-budget-payroll/payroll-and-myhr/index.html

Frequently referenced policies and procedures: https://weinberg.northwestern.edu/staff/finance-budget-payroll/policies/index.html

Financial resources and job aids: https://weinberg.northwestern.edu/staff/finance-budget-payroll/resources-and-job-aids/index.html

Position Management Process (University site): https://www.northwestern.edu/hr/for-managers/hiring/hiring-process/open-a-position/position-management-process/index.html

PUBLICATIONS, WEBSITES, AND OTHER EXTERNAL MATTERS

Weinberg College Marketing and Communications

Marketing and Communication Homepage
https://weinberg.northwestern.edu/communications/index.html

Staff contact information https://weinberg.northwestern.edu/communications/contact.html

Weinberg College Branding Resources
https://weinberg.northwestern.edu/communications/weinberg-branding.html

Resources and documentation
https://weinberg.northwestern.edu/communications/resources/index.html

Northwestern Office for Global Marketing and Communications
https://www.northwestern.edu/global-marketing-communications/our-team/