

# **NORTHWESTERN UNIVERSITY FACULTY HANDBOOK**

Last Updated October 12, 2018  
Approved by the Faculty Senate October 17, 2018

Northwestern

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

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

As used in this Handbook, the term non-tenure-eligible includes all faculty who are not eligible for tenure, who are benefits-eligible, and who are not considered “Regular Faculty,” including clinical faculty, adjunct faculty, visiting faculty, lecturer faculty with the ranks of professor, associate professor, assistant professor, and instructor.

Students serving as teaching assistants and postdoctoral fellows serving in teaching roles are officers of instruction but are not considered faculty members for the purposes of this handbook. Clinical associates (in Feinberg School of Medicine), on the other hand, are members of the faculty, but are not officers of instruction, as they are not engaged in either the teaching or research activities of the University. Likewise, research faculty (assistant research professor, associate professor, professor, and senior professor) are members of the faculty but are not officers of instruction.

rules for voting.

## Powers

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



## Faculty Governance

The 2010-2011 Northwestern University Shared Governance initiative, approved by faculty, administration and trustees, created two new bodies: a Faculty Assembly and a Faculty Senate. The Senate is empowered to consider, make recommendations, and pass resolutions concerning matters of general university interest including all educational and research endeavors, policies governing faculty hiring, tenure, promotion and appeals, and campus life. Detailed information concerning Shared Governance, including Assembly and Senate Bylaws, is available from the [Faculty Senate website](#). Faculty Senate membership and activities will be considered as participation in the business of the University.

### **Responsibilities of the Faculty**

The faculty of the University are responsible for transmitting accumulated knowledge. Faculty whose appointments entail research expectations are also responsible for discovering new knowledge. In addition, faculty members are responsible for participating in the business of the University, as well as its schools and departments, thro



is in session, faculty members should observe the policies of their department or school. Affected students should be informed promptly.

Faculty members should hold regular office hours, although in exceptional circumstances faculty members may, instead, with the approval of the department

making arrangements for academic advising duri

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



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

### Research Safety

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

### Copyrights

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

### Patents and Inventions

Patentable discoveries or inventions may result from research or educational activities performed at the University. Northwestern wants to ensure that all ideas and discoveries are properly disclosed and used for the greatest possible public benefit. The University also wants to protect the patent rights of the University faculty, staff (including postdoctoral fellows), and undergraduate and graduate students, as well as those of the institution itself, and to abide by any patent regulations of agencies providing funds for sponsored programs. All faculty members are subject to the University's Intellectual Property Policy. For more information, please contact the Office of Technology Commercialization at (773) 492-1100 or visit our website at [http://www.northwestern.edu/technology-commercialization](#).





including termination of faculty appointment.

## Trademark Licensing

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

## Responsibilities to the University Community

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

## Discrimination and Harassment

Northwestern does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, services, or in the educational programs or activities it operates. Further prohibited by law is discrimination against any employee or job applicant who chooses to inquire about, discuss, or disclose his or her own compensation or the compensation of another employee or applicant.

Harassment, whether verbal, physical, or through written communication, that is based on any of these characteristics is a form of discrimination. This includes harassing conduct affecting tangible job benefits, interfering unreasonably with an individual's academic or work performance, or creating what a reasonable person would perceive to be an intimidating, hostile, or offensive environment.

All members of the Northwestern community – faculty, staff (including postdoctoral fellows), undergraduate and graduate students

assault, sexual exploitation, stalking, dating or domestic violence, and sexual harassment. Such conduct violates the community values and principles of the institution and disrupts the living, learning, and working environment for undergraduate and graduate students, postdoctoral fellows, faculty, staff, and other community members. The University strictly prohibits retaliation against any community member for reporting an incident of sexual misconduct or for

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Services as well as to notify the Office of Risk Management and the Office of Compliance, Audit, and Advisory Services in writing that a report has been made (see [Minors at Northwestern Policy](#))



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

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

Certain individuals in programs such as the Center for Public Safety, the Department of Athletics and Recreation, and the Reserve Officer Training Corps and certain administrators elsewhere in the University may be given courtesy faculty appointments that are coterminous with, and secondary to, their primary administrative appointments and do not lead to tenure. In most matters, administrators holding these coterminous appointments are covered by the provisions for exempt personnel in the Staff Handbook.

## Promotion and Tenure Procedures

Although procedures concerning promotion and tenure vary somewhat from school to school, the University's goal is to ensure that faculty approved for promotion and,rr , 8 0 Td(,1 0 040.94 0 Td(r)T,1 0



Appeal Procedurese

dean, or other appropriate administrative officer, depending on the nature of the grievance. If the faculty member is still dissatisfied, the faculty member may raise the grievance with the Associate Provost for Faculty, who may recommend resources to assist in the informal resolution of the matter.

Faculty members may also submit a formal written complaint to their chair, dean, or to the Associate Provost for Faculty, who will respond to the faculty member and decide whether to take action. Any faculty member who mediates a faculty grievance may not later sit on a fact-finding, sanctioning, or appeals panel in connection with the same dispute.

#### **Petition or Report to the Board of Trustees**

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

#### **Accommodation of Disabilities and Pregnancy**

Northwestern reasonably accommodates faculty with disabilities and faculty who are pregnant. Faculty (and applicants for a faculty position) with a disability (as defined under t







# Summer Medical Leaves for Untenured Tenure-Track Faculty

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other protections of tenure continue to apply. During phased retirement, faculty members may supplement their income by withdrawals from a retirement account; such withdrawals while faculty remain in service to the University can occur only if the faculty member is 59 and one-half years of age or older. Faculty members who are considering [phased retirement](#) should consult the dean of their school or the Office of the Provost.

Provided that they do not take other employment where they would be eligible for such coverage, faculty members with at least 10 years of continuous full-time service who participate in a University health or dental plan as of the date of retirement are eligible to continue such coverage through Northwestern retiree health and/or dental insurance programs — including family coverage — beginning at ~~age~~





[Students](#) were violated by a faculty member, the Office of Equity will make a recommendation regarding whether the policy violation warrants considering termination or suspension.

## The Investigation

Each party has the opportunity to meet with investigators, identify witnesses, and suggest questions. The investigators complete witness interviews and the gathering of evidence, and the investigators prepare a preliminary report. The preliminary report will include the information provided by the complainant, the respondent, and each witness, and either a copy or written summary of all relevant evidence collected during the investigation. The preliminary report will not contain any findings.

The parties will be provided with an opportunity to review the preliminary report and respond. The parties may each submit comments, feedback, additional evidence, requests for additional steps in the investigation, names of additional witnesses, or any other information they deem relevant to the investigators, up to twenty (20) pages, within five (5) calendar days after it is made available for review. The Title IX Coordinator or designee may, at their discretion, waive or adjust the page or time limit for the feedback.

In the event new, relevant information is provided or identified by one of the parties, the information will be incorporated into the preliminary report and the parties will be provided a second and final opportunity to review and provide feedback regarding the new information before the investigators proceed with finalizing the report.

After receiving any comments or after the comment period has lapsed without comment, the investigators will make a determination of whether the preponderance of the evidence shows the respondent has violated the Policy on Sexual Misconduct or other identified policies. The complainant and the respondent will both be notified simultaneously in writing of the outcome of the investigation.

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

## Sanctioning Recommendations

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

Sanctions and other corrective actions for violations of these policies may include a

In most cases, the University investigates and resolves complaints of sexual misconduct, discrimination, or harassment, including determining what sanctions and/or corrective action will be taken, within 60 days. This time period may vary depending the availability of the parties and witnesses, the scope of the investigation and/or the sanctioning process, or unforeseen circumstances. Extensions of time beyond this 60-day time period may occur for good cause. The Office of Equity or the Office of the Provost will inform the parties if the findings and any initial sanction decision cannot be completed within the 60-day time period. Nothing in this policy shall limit or interfere with the Office of Equity's ability to take interim measures before the outcome of an investigation or the sanctioning process, as set forth in Section I.F.4 of the University [Policy on Sexual Misconduct](#).

### Sanctioning Panel

The Sanctioning Panel shall be composed of the faculty member's dean,<sup>3</sup> the Associate Provost for Faculty,<sup>4</sup> and two faculty rete





decision and/or a meeting with the provost. The provost's decision is final.

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## **University Disciplinary Procedures for Other than Sexual Misconduct, Discrimination, and Harassment or Research Misconduct Procedures**

### **Applicability**

The University Disciplinary Procedures outlined in this section apply to all tenured, tenure-track, and non-tenure-eligible faculty members.

The procedures in this section do not apply to cases involving allegations or findings le



section below.



the sanctioning process;

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

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

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Committee on Cause, the faculty member, and other administrators where appropriate. The provost will provide written reasons for their decision to the Chair of the Committee on Cause and, if requested, meet with the Committee on Cause to discuss their decision. The provost's decision will generally be made within 15 calendar days of receipt of recommendations from the Committee on Cause panel.

A sanction of termination may be appealed to the Board of Trustees; otherwise, the decision of the provost to uphold or overturn a sanction is final.

### Appeals of Termination Sanctions to the Board of Trustees

If a faculty member appeals a sanction of termination to the Board committee, it will be reviewed by a Board committee assigned by the Chair of the Board. The Board committee will base its review on the written reasons for the provost's decision; the reports of the *ad hoc* committee and the Committee on Cause panel (except in research misconduct cases, when review will be based on the Report of the Investigation Committee); and such other evidence that the Board committee chooses to consider. The provost's decision either will be sustained or returned to the provost with specific objections. The provost will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the provost's reconsideration.

### Appeals of Sanctions Other than Termination or Suspension

#### Applicability

The appeal procedures outlined in this section provide for the review of faculty disciplinary sanctions other than termination or suspension to determine whether the sanctions violate University policies, University procedures, or principles of academic freedom.

#### Informal Resolution

A faculty member who has received a written notice of a sanction other than termination or suspension and wishes to appeal it ("appellant") should first make a good faith effort to resolve the appeal with the faculty member's dean. The dean and the faculty member should seek to resolve the matter by mutual resolution at any time during the proceedings, either through discussions or through the intervention of a professional mediator or other individual mutually agreed upon by the parties.

#### Appeals to the Commid



time to submit a formal appeal if the dean has not responded to the appellant's request for informal resolution within a reasonable time frame.

The dean will submit a written response to the notice of appeal to the Associate Provost for Faculty, who will convey the response and any supporting documents to the Committee on Cause Chair and the appellant. The response will be due 15 calendar days after receipt of the notice of appeal, provided, however, that if the notice of appeal is received between June 1 and September 1, the response will be due on the second Friday of the month of September. If requested, the Associate Provost for Faculty may grant the dean additional time to submit a response.

The Chair of the Committee on Cause oversees the appeals process and serves as a point of contact to parties regarding the appeals procedure. In carrying out these responsibilities, the Chair works in consultation with the Associate Provost for Faculty.

A five-member panel of the Committee on Cause will be established to handle each formal appeal filed by a faculty member. The panel will be appointed pursuant to established [procedures](#) of the Faculty Senate and in consultation with the Associate Provost for Faculty. To the extent possible, a majority of the panel should be selected from units or schools other than the appellant's unit or school. When the appellant is a non-tenure-eligible faculty member, at least two of the panel members will be non-tenure-eligible faculty. Each party will have a reasonable opportunity to disqualify potential panel members for reasons of possible bias or prior involvement in the case. One of the appointed panel members will serve as chair of the panel. The panel will be appointed within 15 days after the Committee on Cause Chair receives notice of the formal appeal and the response.

The Associate Provost for Faculty handles communications regarding appeals, assists in coordinating the training of panel members, and generally supports the work of the Committee on Cause but does not participate in any aspect of the substance of the appeals.

Once the five-member panel of the Committee on Cause has been established, the panel will promptly convene to determine whether the appeal presents a timely, appealable, and well-founded claim of breach of obligation by the University or its representatives. The appeal may be dismissed at this stage if the panel determines, on the basis of the notice of appeal, the response, and any supporting documentation, that (1) the notice of appeal is not timely, (2) the notice of appeal does not sufficiently allege a ground for appeal, or (3) even assuming all facts stated in the notice of appeal are true, there are no grounds for deciding the case in appellant's favor. Within 15 calendar days after the panel's initial meeting, the chair of the panel will inform the Associate Provost for Faculty in writing whether the panel will dismiss the appeal or establish a process for further investigation; the Associate Provost for Faculty will forward the communication to the appellant, the dean, and the Committee on Cause Chair. If the panel decides to dismiss the appeal, it will state its reasons in writing. If the panel decides to proceed with the appeal, it will outline the panel's plan of action for additional investigation.

If the panel proceeds with the appeal, it will allow each party to submit evidence or appear before the panel to add to or explain the written record in the case. Additionally, the panel may on its own initiative request that either party appear to answer questions or request meetings with

any other individual with relevant information. To the extent possible, the panel will provide each party against whom adverse information has been submitted an opportunity to respond to this information. The panel may ask the appellant, the dean, or others to produce any relevant documents not previously submitted with the notice of appeal or the response. Once the panel's investigation is complete, it will convene to deliberate and prepare its written report and recommendations.

At any meeting the panel holds with the appellant, the appellant will be permitted to have present a non-attorney adviser of his or her choice. Although attorneys may not appear with or on behalf of the appellant, the dean, or any individuals requested to meet with the panel, as these meetings are not considered legal proceedings, it is understood that parties may rely on legal representation in the preparation of their materials.

The panel's report should include a statement of agreed facts, the panel's resolution of disputed facts, the panel's conclusions on the issues raised by the a , 0 Td(a)4(r)3 (i)e2 5n,y,(nt)h ( on )TJ0 Tc 0 Tw 5.



To qualify a same gender or opposite gender civil union partner for coverage under University-sponsored benefit plans, an employee and his/her/their civil union partner must submit to the Benefits Division of the Office of Human Resources a civil union certificate prior to enrolling in any Northwestern plans.

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total household income. Faculty members must re-enroll each year during the annual Open Enrollment period.

### Social Security

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

### Medical Leave

Faculty members with benefits eligible, half-time or greater appointments who are unable to work as a result of a medically certified disability become eligible for paid sick leave. Such faculty members may receive up to six consecutive months (including summer) at budgeted salary.

available from the Office of the Provost website.

Instructional faculty members who do not meet the eligibility requirements described above may be eligible for paid medical leave for the period of time medically necessary for a faculty member to recover from childbirth. Additionally, faculty who meet the eligibility requirements of the Family and Medical Leave Act (FMLA) may have 12 weeks of unpaid FMLA leave for the birth and care of a newborn child or for placement of a child for adoption or foster care. Faculty family leaves for childbirth, adoption, or childrearing are counted towards the maximum entitlement of 12 weeks of FMLA leave in a 12-month period.

If a medically-certified disability arises as a result of pregnancy or childbearing that renders the faculty member unable to work before or after the academic term in which the faculty member takes childbearing leave, the faculty member

## Contributory Plans

The University offers several optional programs through which faculty members may obtain coverage by paying at least part of the premiums. All faculty contributions toward premiums are deducted from the participating faculty member's paycheck. Faculty members who, at the initial opportunity, do not elect to participate in optional insurance programs must present evidence of a qualifying change in family or employment status within 31 days of the event if coverage is desired at a later date.

Family members and their dependent children through age 25 are eligible for 9j0.28 0 ngf(dw)Tj1.22 0 T002 T





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## Childcare Services

Through the Office of Work/Life & Family Resources, part of the Office of Human Resources, many resources are offered to assist faculty with their childcare search, including: a childcare referral specialist, information about day care and nursery school options, fee assistance, special needs, in-home care, [self-search options](#), back-up care, [lactation spaces](#) and [adoption assistance](#). Personalized consultations are available by phone or in person. Additional information is available on the [Office of Work/Life & Family Resources website](#), or email [worklife@northwestern.edu](mailto:worklife@northwestern.edu).

The University provides faculty with [childcare referral services](#), including individual consultation, parenting educational materials, a guidebook with detailed information on choosing and evaluating childcare, and up-to-date information on childcare credits and related tax laws. Based on selection criteria specified by the faculty member, the childcare referral specialist provides the names of at least three childcare providers with vacancies. The specialist can also provide information about childcare centers that offer a discount and priority enrollment to Northwestern faculty.

The University offers faculty members access through myHR to a University-paid membership with Care.com. The Care.com website provides detailed childcare provider profiles, access to background check options, and reviews of caregivers.

## School Tuition Discounts

There are a number of private schools in Evanston and Chicago that offer discounted tuition to children of Northwestern faculty; a list of schools is available on the [Childcare page](#) of the Office of Human Resources website.

## Senior/Adult Care Services

Through a relationship with a firm specializing in senior care, the University offers faculty members expert assistance with senior and adult care planning. The service includes access to master's-level social workers experienced in senior care. These senior care advisers provide in-depth individual and family consultations, customized care/action plans and referrals to local, vetted providers across the United States. In addition, on-site caregiver support groups meet monthly and adult back-up care is available. For additional information, visit the [Senior and Adult Care page](#) of the Office of Human Resources web

Professional counselors located close to either campus and throughout the Chicago area are available; these counselors are affiliated with a provider and vetted and selected by Northwestern. For additional information and contact information, visit the [Employee Assistance Program page](#) of the Office of Human Resources website.