Consult the Economics Faculty/Staff Intranet Page for:

- The electronic version of this document: http://www.economics.northwestern.edu/faculty/docs/faculty-manual.pdf
- Policy documents
- Downloads of electronic template of Departmental letterhead and logos
- Other practical information

Follow the “Faculty Intranet” link at the top right of the Department’s web page to:

http://www.economics.northwestern.edu/faculty/

You will be prompted for:

username: econ-faculty
Password: 2001sheridan

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**NEW THIS YEAR**

- General update to reflect move to the new building
- Time slot for faculty meetings (section 4)
- Policy on use of conference rooms (section 13)
- Updated “Staff whom to see” guide (section 15)
1. INTRODUCTION

Each year we are joined by several new faculty members. Traditionally, new faculty had to learn about the customs, rules, and procedures of a department by soaking up corridor gossip. This Introduction attempts to reduce the transaction costs of acquiring information. We also hope that this Introduction will be useful as a reference tool for continuing faculty members. The Introduction is updated and reissued each summer. We welcome suggestions for added topics. Except for situations that are noted explicitly, the term faculty is used by the document to include both the tenure-line faculty (tenured and untenured) and members of the teaching-track faculty.

2. DEPARTMENTAL ORGANIZATION

The department has eight main leadership positions:

- **Chair**: Lawrence Christiano
- **Associate Chair**: Ian Savage
- **Director of Graduate Studies**: Wojciech Olszewski
- **Director of Undergraduate Studies**: Mark Witte
- **Chair of the Undergraduate Studies Committee**: Robert Gordon
- **Directors of Graduate Admissions**: Marciano Siniscalchi and Giorgio Primiceri
- **Director of Graduate Placement**: Matthias Doepke
- **Chair of the Junior Recruiting Committee**: Ivan Canay

Responsibilities of these positions are summarized here. Responsibilities of staff members are discussed below in sections 13 and 15.

The **Chair** has ultimate responsibility for the financial and intellectual direction of the department, subject to constraints imposed by higher levels of the university administration. The Chair typically serves for three years with the current Chair holding the post for 2016-2019. The Chair negotiates with the Weinberg College of Arts and Sciences (WCAS) on almost everything having to do with budgets, faculty size, recruiting, research accounts and other aspects of working conditions, office space and facilities, salaries, and support staff. He is a communication funnel, bringing faculty complaints and concerns to the attention of higher authorities and communicating administrative decisions and edicts to the faculty. He chairs faculty meetings, appoints faculty members to departmental committees, coordinates the promotion and tenure process, and handles faculty office assignments. While the Associate Chair does the initial matching of teaching needs and faculty teaching requests, the Chair is responsible for final decisions on the teaching schedule, appointment of visitors, and resolution of conflicts. He is responsible for providing feedback to junior faculty on their progress. He also works with the Director of Graduate Studies and Director of Graduate Admissions in their interaction with The Graduate School. He also has ultimate responsibility, along with the Business Administrator, for the department's support staff.

The current **Associate Chair** is the first to serve in this position and has held the position since 1989. As a general rule, while the Chair deals with the department's external relations with WCAS and the central administration, the Associate Chair is the first point of contact on matters relating to the everyday internal business of the department. The main exception is all matters involving faculty terms of employment, promotion, and hiring, which is the sole preserve of the Chair. The Associate Chair has primary responsibilities for the physical infrastructure of the building and office space. In association with the Chair, he is responsible for faculty office assignments. He coordinates the annual teaching schedule and the time schedules for each
quarter, under the supervision of the Chair who decides policy and resolves conflicts. The Associate Chair assigns carrel space for graduate students, and coordinates the training and allocation of Teaching Assistants. In coordination with the Director of Graduate Studies, he oversees the department records on graduate students. He is available to the Business Administrator for advice on the assignment of duties to the support staff. He is the editor of the *Graduate Connection*, a quarterly newsletter for economics graduate students.

The **Director of Graduate Studies** is the main advisor to currently enrolled graduate students on matters such as the interpretation of university requirements for graduate degrees. He is the chair of the Graduate Studies Committee and has the responsibility for overseeing the graduate curriculum and the administration of Preliminary Examinations. He decides on the allocation of departmental financial aid to graduate students in their second year and beyond.

The **Director of Undergraduate Studies** and a team of Undergraduate Advisors provide advice to undergraduate students and can sign petitions to graduate. He and his colleagues are the sole arbiters of certain undergraduate issues, such as recognition of course credits gained at other institutions. He produces a separate document, *Essential Information for Regular and Visiting Faculty about the Northwestern Undergraduate Economics Program*, which provides faculty members with a comprehensive introduction to the undergraduate component of our teaching responsibilities.

The **Chair of the Undergraduate Studies Committee** oversees our undergraduate program and curriculum and makes recommendations for changes to the faculty.

The **Director(s) of Graduate Admissions** handle all applications to our graduate program. They make decisions on whom to admit, and which students should be granted financial aid in their initial year in the department.

The **Director of Graduate Placement** advises students on the job market, coordinates practice job market presentations and interviews, provides advice on the content of student’s vita, and ensures that student’s materials are prepared on time, and posted on our website. He makes and receives phone calls and e-mails with recruiting committees at other departments; advises students about how to handle the ASSA interviews and subsequent “fly-outs;” and, hopefully, advises students with multiple job offers on which one to accept. An important aspect of the placement process is the faculty meeting at the end of October, where faculty members discuss the quality and placement potential of each candidate on the job market.

The **Chair of the Junior Recruiting Committee** chairs a committee of three or four faculty members who coordinate the recruiting of new Assistant Professors. Duties include: identifying qualified candidates, reviewing material sent by candidates, conducting interviews at the annual ASSA meetings, choosing candidates for on-campus visits, coordinating their visits, soliciting faculty feedback, and presenting recruiting recommendations for faculty discussion.

### 3. COMMITTEES

#### 3.1. Introduction

Some of the department’s work is done by committees. For many years the department has reduced the time drain of committees by turning over such tasks as running our graduate and undergraduate programs, as well as graduate admissions, to single all-powerful czars who rule their fiefdoms with the blessing and gratitude of the rest of the department. Nevertheless, committees still perform vital departmental functions.

#### 3.2. Permanent Committees

A list of the members of permanent committees is circulated by the Chair each September, and available on our website:

[http://www.economics.northwestern.edu/faculty/docs/committees.pdf](http://www.economics.northwestern.edu/faculty/docs/committees.pdf)
The permanent committees are:

- **Planning.** A vote at a faculty meeting on March 16, 2001, formalized the role of this committee, which had existed in various forms since the early 1990s. “The [Department] Chair will appoint a Senior Advisory Committee [since renamed the “Planning Committee”] of (at least) four full professors, intended to be a balanced representation of the tenured faculty. The Chair will meet with this committee regularly to discuss department matters, and consult, as much as is reasonable in view of timing and confidentiality considerations, with them on all matters that are important and of broad concern. In addition, the [Planning] Committee will function as the senior recruiting committee, and will advise the Chair on courtesy and senior or long-term visiting and staff appointments.”

- **Graduate Studies.** This eight-member committee is chaired by the Director of Graduate Studies and includes five faculty members and three elected graduate students. It is designed to provide a forum for feedback from graduate students to the faculty on the overall graduate program, and it is responsible for discussing and proposing changes in the graduate curriculum.

- **Preliminary Examinations.** Three sub-committees are formed each July to administer and grade the Preliminary Examinations for first year graduate students in each of the subjects of macroeconomics, microeconomics, and econometrics. Typically the sub-committees are formed of the faculty teaching the first-year courses. (Students who have achieved a 3.60 grade point average in the first year courses in an area are presumed to have demonstrated competence in that area and need not take the preliminary exam in that area.)

  After the grading of the examinations, a committee of four members (the Director of Graduate Studies and one representative from each of the three preliminary exam area sub-committees) will decide, based on a student’s performance on the preliminary exam(s) and their grades in their first-year courses, whether or not a student has demonstrated competence in all three areas. The full text of the department’s policy on *Requirements for Entry into the Second Year of Northwestern’s Economics Ph.D. Program* is posted on-line at:
  
  [http://www.economics.northwestern.edu/faculty/docs/core-area-competence.pdf](http://www.economics.northwestern.edu/faculty/docs/core-area-competence.pdf)

- **Undergraduate Studies.** This committee comprises about five faculty members (including the Director of Undergraduate Studies *ex officio*). It meets at least twice a quarter to consider changes in our undergraduate curriculum and such issues as requirements for the major. The committee recently deliberated on credit for on-line courses and admission to our honors program.

- **Undergraduate Advisers.** Typically junior non-tenured faculty are designated each year as undergraduate advisers and are specially prepared to assist majors and non-majors in planning their studies in economics. The advisers schedule office hours so that at least one is available every day of the week.

- **Junior Recruiting.** This committee (of either three or four members at the discretion of its Chair) carries out all the functions involved in recruiting new non-tenured faculty members. The Department Chair is responsible for intermediating between the committee and
WCAS regarding the number and terms of offers. The junior recruiting committee solicits help from other faculty members in serving as host to junior faculty candidates who visit the department, usually in January and February.

3.3. Ad Hoc Committees. These committees are set up for a specific one-time purpose. Examples include:

- **Reappointment and Promotion.** Each year a three-member committee is formed to report to the relevant subset of the faculty (see below under faculty meetings) for each case involving reappointment or promotion.

- **Search Committee for Teaching-Track Faculty.** When a vacancy occurs for a member of the teaching-track faculty, the Chair will appoint an ad hoc search committee. This committee usually consists a senior faculty member as chair, the Chair of the Undergraduate Studies Committee, the Director of Undergraduate Studies and the Associate Chair all ex-officio, and one other member of the tenure-line or teaching-track faculty. The committee makes recommendations to the Chair and the Dean.

3.4. Committee Assignments. Department committee assignments are made by the Chair. This department operates with a fine spirit of cooperation; faculty members almost always agree to serve when asked, and the Chair reciprocates by spreading the burden as fairly as possible. Where possible, those chairing the major ongoing committees are spared service on ad hoc renewal and promotion committees, unless the field specialization of those being considered requires their participation. Undergraduate advisers and members of the Undergraduate Studies Committee are appointed with the advice of the Director of Undergraduate Studies and the Chair of the committee, and similarly members of the Graduate Studies Committee are appointed with the advice of the Director of Graduate Studies.

4. FACULTY MEETINGS

4.1. Open Meetings of the Entire Faculty. In recent times, general faculty meetings have been held during the regular Tuesday faculty lunch from noon to 1:20pm in room 3301. Regular business at these meetings includes:

- Each year in mid-September as necessary to vote on any faculty-requested review of the decisions of Preliminary Examination committee (faculty will initially request a review directly to the committee, and the further review and decision by the committee can only be overturned by a majority vote by those present at a meeting of the tenure-line faculty.)

- Each year in late October for the purpose of discussing the quality of each individual Ph.D. job market candidate.

- As necessary to approve recommendations of the Graduate or Undergraduate Studies Committees on changes to degree requirements, the curriculum and additions or subtractions of individual courses.

Faculty with items to bring before the entire faculty should discuss these with the Chair, who may then consult with the Planning Committee. Except as otherwise indicated, matters requiring a vote at a faculty meeting are decided by a simple majority vote of the faculty in attendance.
4.2. Recruiting, Reappointment and Promotion Meetings. While these meetings could be held during the Tuesday faculty lunch, more typically they will be held as necessary on Fridays from 11am to 1pm in room 3301 during the Fall and Spring Quarters, and from 3:30pm to 5:30pm on any day in room 1410 during the Winter Quarter. The subject of these meetings includes:

- Each year in late January or February to vote on recommendations from the Junior Recruiting Committee on offers to potential junior tenure-line faculty candidates (see Section 4.3 below). Often the department is uncertain as to the total number of offers the Dean of WCAS will be willing to make, and so the faculty generally establishes a rank preference of candidates.
- As necessary during the Winter Quarter to vote on recommendations from an ad-hoc search committee on offers to potential junior teaching-track faculty candidates (see Section 4.4 below).
- As necessary to vote on recommendations from the Planning Committee on offers to potential senior faculty candidates (see Section 4.3 below).
- As necessary to vote on recommendations from an ad hoc Committee on reappointment and promotion. These meetings are open only to those faculty having a rank above that of the individual being considered (see Sections 4.5 and 7.2 below).

4.3. Recruiting Meetings for Tenure-Line Faculty. All regular members of the tenure-line faculty are eligible to participate in recruiting meetings, although a separate vote is taken of the faculty at the same grade or higher than the position for which the candidate(s) are being considered.

4.4. Recruiting Meetings for Teaching-Track Faculty Recruiting meetings for candidates to join the teaching-track faculty are similar to those for junior tenure-line faculty. The discussion of each candidate is based on a report from the ad hoc search committee. All members of the tenure-line and teaching track faculty are eligible to participate in the meetings. Eligibility to vote is as follows:

- Recruitment as Assistant Professor of Instruction: All existing tenure-line and teaching track faculty
- Recruitment as Associate Professor of Instruction: Tenure–line faculty excluding College Fellows and junior tenure-line faculty prior to their 3rd year review, Associate Professors of Instruction, Professors of Instruction.
- Recruitment as Professor of Instruction: Tenured Associate and Full Professors, Professors of Instruction.

4.5. Reappointment and Promotion Meetings. These are open only to those faculty having a rank above that of the individual being considered. For the teaching track faculty the following apply:

- Promotion to Associate Professor of Instruction: Tenure–line faculty excluding College Fellows and junior tenure-line faculty prior to their 3rd year review, Associate Professors of Instruction, Professors of Instruction.
- Promotion to Professor of Instruction: Tenured Associate and Full Professors, Professors of Instruction.

The discussion of reappointment (of tenure-line faculty) or promotion (of both tenure-line and teaching-track faculty) is based on the report of an ad hoc committee appointed for the purpose. For the tenure-line faculty, the committee reads the candidate's work in detail and, in the case of a promotion decision, solicits letters from senior specialists in the relevant field. For the teaching-track faculty the committee reviews the candidate's record of teaching, service and professional activities.
4.6. **The Two-Meeting System.** By a vote of the department on May 12, 1995, two rules were established for the conduct of promotion and senior recruiting meetings for tenure-line faculty:

- There will normally be two meetings for both internal promotion cases and external hiring decisions. At the first the committee report is presented, followed by discussion. At the second meeting there is further discussion, followed by the votes. At the end of the first meeting, any faculty member may propose to skip the second meeting and have the vote immediately. This proposal must be seconded and approved unanimously by paper ballot;
- There is a straw vote, and a final vote on each case. Only cases that pass on the final vote with at least a two-thirds majority (including votes that are exactly two-thirds) will be moved forward.

By a vote of the department on January 28, 1998, if two meetings are held, a voting member of the faculty who attends the first meeting but is unable to attend the second one, has the option to cast an absentee vote by communicating it to the Department Chair before the second meeting. The absentee vote will have the following form: (a) Vote yes/no/abstain on all votes (straw and final votes); OR (b) vote no/abstain in a straw vote but willing to change to a “yes” vote to make the decision unanimous. If an absentee elects this option it will only be turned into a “yes” vote if all of the people present vote “yes” and all absentees vote either “yes” or elect this option. Absentees also have the option of putting down a short statement explaining their vote and requesting that it be read aloud by the Chair at the meeting.

5. **CITIZENSHIP**

5.1. **Service.** The functioning of the department requires participation by all faculty members. Fortunately we have a cooperative spirit here, and it is unusual for a faculty member to turn down a request from the Chair to perform a committee task. While the Chair attempts to distribute the burden fairly, faculty members can opt out of service tasks for reasons that may not be self-evident to the Chair, e.g., heavy committee responsibilities outside the department, deadline for an important piece of research, or unusual teaching or advising responsibilities.

5.2. **Attendance at Meetings.** Attendance at faculty meetings is expected, unless faculty members are away from the Chicago area. This is a relatively small burden, as our department has relatively few meetings and delegates much of its work to committees and individuals.

5.3. “**Spirit.**” Deliberations over promotions, hiring, or other departmental issues are always conducted on the level of ideas and policies. Our department has been fortunate in avoiding squabbling. Sometimes discussion over a particularly contentious promotion or hiring decision will be heated, but people manage to remain friends afterwards, mindful that there are sometimes legitimate intellectual reasons for differences over research quality or department priorities.

5.4. **Confidentiality.** The highest level of tension within the department is likely to develop over a promotion decision that is not clear cut, leading to a split vote. It is extremely important that faculty members take care to maintain confidentiality about the issues discussed and particularly about the identity of people holding particular positions.

5.5. **Time in Residence.** During the academic year faculty members must be in residence even in those quarters when they are not teaching. This is essential to allow committee assignments to be distributed fairly. The academic year extends from “Wildcat Welcome” (the week prior to the start of classes in the fall quarter) to Commencement in June. While faculty members are
encouraged to attend academic meetings and conferences that may require them to be away for a few days, absences during the academic year lasting a week or more must be approved by the Chair and more than two weeks must be approved by the WCAS Associate Dean.

5.6. Dissertation Advising and Placement. An important responsibility of faculty members is to serve on the dissertation committee of graduate students when asked. Part of good citizenship involves reading dissertation drafts promptly and making helpful comments. The chair of the dissertation committee has the added responsibility of helping the Director of Graduate Placement to “sell” the student in the job market; often it will be appropriate for a dissertation chair to take the initiative to send out unsolicited recommendation letters to suitable institutions.

5.7. Attendance at Convocation. Some years ago the department was asked to establish a rolling five-year program for faculty to attend WCAS convocation. The schedule can be found online at:

http://www.economics.northwestern.edu/faculty/docs/convocation.pdf
(you will be prompted for username: econ-faculty, password: 2001sheridan).

Each December, the people on the list are given advanced notification by the Associate Chair. A reminder is sent by the Associate Chair in April. If you are not available on the day of convocation, it is your responsibility to arrange a substitute. WCAS Convocation is usually held at 11:30am on the third Saturday in June in Ryan Field (the football stadium). You will need an academic gown. You can rent these free of charge. The attendance requirement is solely for the Saturday morning WCAS convocation. Whether the nominated people, or indeed any other member of the faculty, attends the university-wide Friday morning Commencement is a matter of personal preference. In addition The Graduate School has a “hooding ceremony” for Ph.D.s held on the Thursday afternoon before Commencement. The chair of each student’s committee (or a designated member of the committee) is expected to be present in academic dress to place the hood on their advisee. The department also holds a lunch on the Friday immediately after Commencement for graduating undergraduate seniors who major or minor in Economics. Awards are given out, and students who achieve honors are recognized. All faculty members are encouraged to attend. Formal academic dress is not necessary for this event.

5.8. Seminars. The department regularly organizes seminar series during the fall and spring quarters. In addition, research centers allied with the department and the Kellogg School of Management organize further seminar series. At some point, all faculty members can expect to be the principal organizer for a series for a quarter. However, all faculty will be asked to suggest possible external speakers, and to be their host on campus. Section 10 of this document contains information to help you, and our financial guidelines.

5.9. Lunch. It has become customary for some of the faculty to take lunch together in room 3417, during the hour from about 12:15pm to 1:15pm. Some faculty pack their own lunch (a refrigerator and microwave oven are available in room 3380), while others buy from the café on the first floor. Lunches are catered on each Tuesday when classes are in session, and the lunch is moved to the larger seminar room 3301.

5.10. Mentoring. Each year the Chair asks tenured faculty members to volunteer as “mentors” for non-tenured faculty members. Mentors provide general advice on research quality and progress and specific advice on submitting articles to journals and submitting grant applications. Mentors may also be helpful in bringing younger faculty members to the attention of outside organizations and helping them to win invitations to conferences and seminar appearances. Mentors provide a progress report to the Chair in February; at about the time that Vita
Supplements are due (see section 8.2 below). The chair will make similar arrangements for senior members of the teaching-track faculty to mentor new teaching-track faculty members.

6. PROMOTION AND TENURE FOR ASSISTANT PROFESSORS

6.1. Reappointment. New junior faculty who have just received their Ph.D. are usually appointed as a College Fellow for their initial year at Northwestern. This is then followed by two three-year appointments as an Assistant Professor. During the fall quarter of the fourth year, the Chair appoints an ad hoc committee to consider the reappointment of each Assistant Professor for the second three-year term. While reappointment usually is approved by the faculty, the committee's report is made with a greater or lesser degree of enthusiasm. The Chair provides feedback to the individual to help him/her improve their research and/or teaching record over the next term.

6.2. The Tenure Process. The deliberations on tenure occur during the seventh year at Northwestern (presuming that the candidate served one year as a College Fellow). Extensions to the tenure clock for faculty who become parents are described on the Provost's website: www.northwestern.edu/provost/policies/faculty-promotion-and-tenure/probationary-period-for-tenure-track-faculty.html

Typically candidates prepare a set of materials during the summer at the end of their sixth year that will include their vitae, their publications, and evaluations of their teaching. As discussed above, the Chair will convene an ad hoc committee to read the candidate's work in detail and solicit letters from senior specialists in the relevant field. This committee will then report to a meeting of the tenured faculty (see sections 4.2 and 4.5 above). The ad hoc committee report and the vote of the faculty are then reported by the Chair to the Dean’s office. For details of the subsequent tenure decision process in the Dean’s and Provost’s offices, you should consult the Northwestern Faculty Handbook and supporting documents. These are posted on the web site of the Provost: http://www.northwestern.edu/provost/policies/faculty-promotion-and-tenure/index.html

6.3. Basis of Decisions: Research. Unlike history or the humanities, where a published book is the customary path to tenure, publication in economics typically takes the form of articles. However, in some sub-fields the normal career path involves authorship of one or more books.

It is impossible to provide any guidelines about the number of articles required for tenure in this department, because quality is so important. While co-authorships are common, it is desirable for assistant professors to co-author with a variety of individuals. Questions are invariably raised when all a candidate's work is done with a single co-author, particularly with a person who already has tenure or has previously served as the candidate's thesis adviser. Even if co-authorship is carried out with several different people, the question always arises “what was the candidate’s own contribution?” These guidelines are not definitive, and there are several prominent economists who have never written a sole-authored paper.

Publication is necessary but not sufficient for tenure. The second and more ephemeral criterion is that by the time the tenure decision is made the candidate must have emerged as one of the “top X” people in his/her cohort in the relevant sub-field. “Cohort” is often interpreted as including people who received their Ph.D. from two or three years prior to the year of the candidate's Ph.D. to a year or two after. “X” is a number from 2 to 5 depending on the size of the sub-field. To qualify by this criterion, the top experts in the sub-field (who are contacted by phone and letter during the review process) must be sufficiently familiar with the work of the candidate to assess it favorably in comparison with other leading scholars in the same cohort. Assistant
Professors should start thinking about this criterion from the beginning, by taking the following steps:

- Sending papers to everyone whose work is cited or who has done important prior research on the topic of a particular paper.
- Giving seminar presentations at other universities.
- Trying to obtain affiliation with the main networking organizations in a sub-field, e.g., the NBER.
- Trying to obtain invitations to give papers or act as discussants at conferences. (Mentors may be helpful in this regard; see the section on “mentoring” above in section 5.10).

6.4. Basis of Decisions: Teaching. The department demands a high quality of conscientious teaching from its faculty and attaches considerable weight to teaching in promotion and tenure decisions. In line with College policy we solicit and assess such information as is available, notably CTEC evaluations and course materials such as syllabi. CTEC ratings are scored on a scale of 1 (“negative”) to 6 (“positive”) for the responses to 17 questions, including “an overall rating of the instruction” and “how well prepared was the instructor for the class.” Median scores vary by question but fall in the range of 4.3 to 5.1 for Economics undergraduate classes, with an overall department median across all questions of 4.6. The equivalent numbers for graduate courses are a range of 4.8 to 5.4, and an overall median across all questions of 5.1. The College and the department require that evaluations are conducted for all undergraduate and graduate classes that enroll more than five students. The department conducts an analysis each quarter of the rating for each class. Faculty members with poor teaching evaluations are encouraged to seek help. Within the department we have several superb teachers who are willing to offer counsel. Outside the department is the Searle Center for Advancing Learning and Teaching, which offers a wide range of resources, from publications to counseling to videotaping of individual classes.

6.5. Basis of Decisions: Service. Since the Chair attempts to spread the load of committee assignments fairly across faculty members, it is rare to find that an Assistant Professor up for tenure has done an unusually large or small amount of service. However, since an excessive number of committee assignments can interfere with research and teaching, any faculty member is encouraged to consult the Chair when the service burden seems unusually heavy. Occasionally the Chair is able to have a faculty member released from a WCAS or university committee when s/he is needed for important departmental service.

7. REAPPOINTMENT AND PROMOTION FOR TEACHING-TRACK FACULTY

7.1. Initial Reappointment. New members of the teaching-track faculty are typically appointed for a two-year term. At the conclusion of the spring quarter at the end of the first year, the Chair will convene an ad hoc reappointment committee. This committee will review the course syllabi, sample problem sets and examinations, and student evaluations for their courses (see section 6.4 for more information on course evaluations). The committee will also consider other academic activities including, and not limited to: departmental citizenship, any administrative appointments, and advising students undertaking senior theses. The committee will report to the Chair and the Dean prior to Labor Day. The Dean will then advise on whether Northwestern will have an ongoing relationship with the member of the teaching-track faculty, or whether the appointment will cease at the end of the initial two-year term. During the first year, it is customary for the Chair
to informally review student evaluations with the faculty member as soon as they become available at the end of each quarter.

7.2 Promotion. The ranks for the teaching-track faculty are: Assistant Professor of Instruction, Associate Professor of Instruction, and Professor of Instruction. Typically promotion will be considered after six years in a rank. At a department level, the Chair will appoint an ad hoc committee to review the record of teaching and service of the candidate. This committee will then report to a faculty meeting or meeting. Eligibility to vote for specific promotions are listed in section 4.5. The ad hoc committee report and the vote of the eligible faculty are then reported by the Chair to the Dean's office.

7.3 Subsequent Reappointment. Contracts of employment vary from three to five years depending on rank. If a teaching-track faculty member is due for reappointment, but not for simultaneous promotion, the Chair will appoint an ad hoc committee to review the record of teaching and service of a candidate for reappointment. This committee will then report to the Chair. The ad hoc committee report and the Chair's recommendation are then reported by the Chair to the Dean's office.

8. TERMS OF EMPLOYMENT

8.1 Salaries. Salaries and other terms of employment are set by the WCAS Dean, in consultation with the Associate Deans, the WCAS Budget Committees, and Department Chairs. As a private university (currently) unconstrained by unions or legislated pay scales, Northwestern has considerable latitude to pay salaries that differ considerably among faculty members of the same rank. Performance on research and teaching, as well as potential or actual outside offers, are the primary determinants of salary increases. Faculty members concerned about their own salary standing are encouraged to consult with the Chair.

8.2. Vita Supplements. The key document used each year in the salary determination process is the “vita supplement” (VS), which you are asked each year to turn in to the department around February 1. Your latest CV is not sufficient for this purpose (albeit, that you may be asked to provide a CV as well). The set of questions to be answered on the VS goes well beyond the normal contents of a CV, including specifics of seminar presentations outside the university, old and new courses taught, dissertation students advised, etc. Also, the format of the VS allows an examination of what has been done within the past year, whereas the CV does not lend itself to highlighting achievements over a particular one-year time interval.

8.3. External Research Grants. All faculty members are encouraged to apply for research grants from the NSF or elsewhere. Research grants usually provide summer salary support and funding for research assistants. The University also has an incentive program whereby your regular teaching load may be reduced (see section 8.5 below). Receipt of a research grant is also a major professional accomplishment, indicating approval of a research program in a tough competition judged by peer review. The Business Administrator can provide general guidelines about the research grant process. The university's agency for handling the details of the application process is the Office of Sponsored Research.

If your research will collect information (or use an existing data base) on individual identifiable people, then your research may have to receive prior approval by Northwestern's Institutional Review Board (IRB). Please check the Frequently Asked Questions section of the
IRB web site to see if this applies to your research, and – if necessary – the steps you have to follow:
http://irb.northwestern.edu/
Also, if you are seeking National Institutes of Health funding, and in some other circumstances, you will have to pass an online course before you begin. The social sciences version of the course is much simpler than the one for medical research, so be sure you find the correct version before beginning. You can read more at:
https://irb.northwestern.edu/policies/human-research-policies-guidance-oversight

8.4. Internal Research Grants. Small research grants, intended to provide seed money for future larger grants, may be obtained from the University Research Committee and from the Office of Sponsored Research.

8.5. Incentives for Obtaining Grants. In June 2004, the WCAS Dean’s Office approved a new policy for tenure-track faculty who receive external grant support from NSF, NIH and similar agencies. Grants are only eligible for this program if they are administered by Northwestern, bear at least the full federal indirect cost recovery rate, and pay at least one-ninth or up to the agency’s cap of summer salary each summer. This policy was initially approved for a three-year trial (until June 2007), and subsequently extended for another three years to August 31, 2010. In the spring of 2010 the Dean's office and the department entered into discussions regarding whether or not the policy should be renewed for another three year period. A resolution has yet to be reached. The Dean's office announced that this policy will continue in the interim until these discussions reach a conclusion. Starting with the 2013-14 academic year, the restriction that faculty with a one-course teaching reduction from a Northwestern research center had to hold two grants was removed from this policy.

1. Earning Teaching Reduction Credits
   1.1 For each eligible grant (up to a maximum of two) a faculty member will earn a one-half course teaching reduction in each year in which the grant is in effect (and meets the indirect cost and summer salary requirements). The Dean’s office has clarified that, for example, an eligible three-year grant starting on September 1, 2017 will earn a one-half credit in each of 2017-18, 2018-19, and 2019-20; and not a lump-sum credit of 1.5 credits at the commencement of the grant.
   1.2 However, faculty cannot earn any credits in a year in which they have a half-time teaching reduction from a Northwestern research center.

   Note that in addition to the course relief plan described above, faculty always have the option of charging academic year salary to a grant, with those released funds used for course buyouts. In that case, the regular course buyout formula applies.

2. Restrictions on Spending Teaching Reduction Credits
   2.1 Courses banked under this policy must be redeemed in a manner consistent with the WCAS course banking policy. In particular, at most one course reduction from a faculty member's bank can be used in any academic year without permission of the WCAS Associate Dean for Faculty Affairs.
   2.2 The Dean’s office has clarified that faculty must have sufficient credits “in the bank” prior to the start of the academic year in which they are spending a teaching credit. For example, the holder of the three-year grant described in section 1.1 will only be able to spend a full-course credit in, at the earliest, 2019-20.
   2.3 The annual teaching load of faculty in full-time residence will not be less than two courses offered within WCAS in any given year. Specifically, other course reductions and buybacks may not be used to reduce the teaching load below two courses. For a two-course teaching load, normally one of the courses will be at
the undergraduate level. For faculty with an approved one- or two-quarter leave, the minimum teaching load will be one course.

2.4 Course reductions attributable to grants are bankable indefinitely, as long as the faculty member is research active. These teaching reductions are in addition to those for departmental service (for example, for serving as Director of Graduate or Undergraduate Studies). In all cases, the two-course minimum teaching load applies. The course reductions have no cash value if a person leaves or retires, and these reductions are not transferable. These course reductions may not be combined with phased retirement because this would lower the teaching load below two courses.

So that both WCAS and the department know the current status of all teaching reductions, each year the Chair of Economics submits to the Dean a detailed report for each faculty member on grants received, the number of teaching reductions consumed, and the number of banked teaching reductions. Each September the Associate Chair will circulate a personalized statement to faculty members showing their balance of credits in this program.

8.6. Leaves of Absence. WCAS grants the possibility of a one-quarter “routine” leave of absence with pay every four years for tenure-line faculty, and every eight years for the teaching-track faculty. Faculty have to apply to the Dean's office to obtain these leaves of absence. While faculty can apply at any point between September and January of the preceding academic year, the usual sequence of events is that faculty complete an on-line form posted on the WCAS web site in late January to request leave for the following academic year. A copy of the application is then automatically sent to the Department chair for endorsement. Faculty contemplating leave without pay (such as a paid visiting appointment at another university) should apply at the same time and on the same on-line form as those applying for routine leave, but in this case it is recommended that the faculty member should meet with the Chair to discuss the circumstances of the leave.

Faculty who have a special need to receive earlier notification of whether or not their leave will be approved by the Dean's office may submit their leave application prior to January. The Chair will make every effort to investigate the likely leave plans of other faculty in the same field to determine whether or not it appears that there would potentially be any problem in covering any courses that need to be taught. It is expected that in most cases it would be possible for the Chair to endorse the leave application very soon after it is received. To speed this process along, faculty submitting a leave application for early decision should consider informally consulting with their colleagues in the same field regarding their leave plans, so that the entire group of people in the field can jointly determine if there is likely to be some problem in covering required courses for the following year. The group can then communicate their findings to the Chair.

The University also has a faculty family leave policy offering paid childbearing, adoption and childrearing leaves for both female and male eligible faculty. This is in addition to maternity leave available to female faculty. Details of these policies are contained in the Faculty Handbook, available on the web site of the Provost’s office. The Provost’s website also contains information on requesting leaves of absence due to medical conditions.

9. THE DANGERS OF MODESTY

One of the Chair's jobs is to keep the administration informed about the achievements of each member of the department. As indicated above, the basic document for advertising one's achievements is the annual Vita Supplement. But there are certain achievements that one would
not include on his/her vita supplement that are nevertheless useful to the Chair. Any kind of honor or recognition would fall into this category. If there is a newspaper or magazine article in which your name appears, be sure to forward a link. If a referee report on one of your papers describes it as the best thing since the Bible, or at least as the best thing since Samuelson's *Foundations*, be sure to give a copy to the Chair.

Perhaps most important, be sure to inform him of any inquiry, feeler, or offer from another institution. If it comes in writing, please provide a copy of the letter or e-mail, as this is an essential ingredient in obtaining better terms of employment for you at NU. If you receive any recognition of teaching achievements, or if you attempt any innovation in your teaching, be sure to inform the Chair in writing. The essential point is not to let your own inbred modesty guide you in this matter; no matter how trivial the recognition, the innovation, etc., may seem, inform the Chair and let him decide whether or how he can use it.

10. SEMINARS

Invitations to external speakers to appear in regular seminar series are the lifeblood of a successful department. While it is a false economy to sacrifice the richness of our seminar program to the cause of fiscal stringency, we do have to act with prudence and financial accountability. This set of guidelines provides practical information to assist in organizing seminars and lays out some limits on acceptable financial expenditures. Section 15 contains information on which staff members have specific responsibilities to assist with seminars.

10.1. Available Rooms. The department has two rooms suitable for seminars, 1410 and 3301. See sections 13.18 and 13.19 for information on the facilities available in these rooms.

10.2. Entering Information on Upcoming Seminars. The department uses a web-based interface to provide information on forthcoming seminars. The information is entered into a University wide events calendar system called “PlanItPurple.” The department’s website receives an information feed from this system. The staff seminar coordinator will enter all information and updates in PlanIt Purple.

This system allows the seminar coordinator to build a list of seminars for the coming quarter. The coordinator can update the listing as a seminar speaker is confirmed, as the title of the talk is known, and as a URL of the PDF of the paper is known.

At 2pm each Friday during term time, the staff in our main office will confirm all the seminar information for the coming week. This information will be posted on an LCD screen that is to be installed opposite room 3301.

10.3. Distribution of Papers. Many of the seminar series have gone electronic and post PDF versions of papers either in addition to, or as a replacement for, paper copies. For seminar series that wish to also distribute hard copies to a subset of faculty and graduate students, please see the main office staff to arrange duplication and distribution.

10.4. Water for the Speaker. The main office has a supply of bottled water for visiting speakers.

10.5. Hotel and Travel Arrangements. The department’s Seminar Coordinator is responsible for making hotel reservations for speakers. The department is charged directly for the room (at a special rate) and tax. The visitor must settle the bill for other items such as dining, telephone calls, drinks, mini-bar expenses and movies when checking out.
Speakers should obtain their own airline ticket and then claim it as an expense from Northwestern (see the next section). Directions for getting to the department from O'Hare, Midway and downtown Chicago are posted on our departmental web site, as are maps of the campus. See: http://www.economics.northwestern.edu/about/contact/directions.html

10.6. Reimbursements to Speakers. The Seminar Coordinator will contact the speaker by e-mail with instructions and all the necessary forms for expense reimbursement. All speakers must complete the following:

- The standard University Visitor’s Travel Expense Report form on which they detail their expenses.
- Their receipts including air e-tickets, boarding passes, taxi receipts, and itemized meal receipts.
- In some cases, the speaker may have to complete an Internal Revenue Service W-9 Request for Taxpayer Identification Number and Certification form.

Speakers can scan and e-mail these forms to the accounts staff member at econ-financial@northwestern.edu Northwestern University requires expense submissions within 90 days of the seminar.


- When organizing the seminar schedule, consider the locations of the various speakers. We cannot support more than **three speakers per seminar series per quarter who will have large airline bills**. In the past we have made efforts to share the costs of airfare with other institutions by encouraging the speaker to make a “lecture tour.”
- **Any speaker whose Northwestern portion of the airfare is likely to exceed $400 will require pre-approval from the Business Administrator.**
- Some savings in airfare can be made by longer stays in Chicago that include a Saturday night. However, bear in mind that an additional hotel night costs us $160. Figure out the costs and savings before agreeing for a speaker to stay additional nights. **You should also contact the Business Administrator and explain why stays of greater than one night are necessary before you approach the staff in the main office to make a reservation.**
- Any seminar series that overspends in a particular quarter will, at the discretion of the Department Chair, be subject to spending limits in subsequent quarters.
- **At lunch, the department will provide reimbursement for no more than four people total, including the speaker.**
- **At dinner we will provide reimbursement for no more than four people total, including the speaker. We will not reimburse more than $50 per diner from departmental funds.** Hosts who want to take speakers to better places should expect to present the bill and be reimbursed for no more than $50 per person, to a maximum of $200 total, accepting liability for the difference themselves, or charge the difference to their discretionary accounts. Note that the University has an absolute limit of $65 per person paid from any combination of University accounts. Also note that the University requires a copy of the itemized check and not just a credit card receipt.
- Faculty should claim reimbursement promptly so that the staff can monitor the true state of our budget as the year progresses. Faculty should also note that the university will not normally reimburse for expenses incurred more than 90 days before the time of submission.
- **Organizers should remind visitors about the availability of flat-rate cab fares from O’Hare airport. Many speakers have taken meter-rate Chicago cabs from the taxi stand at a much**
higher cost to us. Ride-hailing services such as Uber are reimbursable expenses, but sometimes the surge pricing is such that the cost exceeds the price of a traditional taxi. The University will not reimburse for limousines or equivalent services such as Uber Black and Uber XL.

10.8. Student Registrations for Research Seminars. While it is not part of the formal degree requirements, attending research seminars is probably one of the most valuable aspects of a graduate education. The department suggests that starting in their second year, graduate students should attend regularly one or more of our seminar series. As a signaling and commitment device students can formally register for one or more of these series. The department suggests that students just register for series (Econ 5XX) in which they have a genuine interest. Students register for seminars using the P/N (pass/fail) registration. At the end of each quarter, the faculty member designated as the instructor for a particular seminar series must record a Pass or Fail grade in CAESAR.

11. VISITORS

11.1. Visiting Faculty or Post-doctoral Scholars. Hosting visitors has all sorts of benefits and we would like to accommodate requests to the degree possible within our space constraints. In the interest of efficiency of allocation and equity across the various groups in the department, the following guidelines apply:

- Long Term visitors (more than one month): We will be able to consider allocation of an office for a long-term visitor only when the visit would bring very substantial research and/or teaching benefit to the department. Requests for long-term office space in the following academic year and the following summer (that is to say, September 1 to August 31 of the following year) should be sent to the Department Chair by February 15. We will aim to decide what is feasible by the end of winter quarter, when we should know how many new faculty we will hire and who among the present faculty will be on leave. In practice we probably will find it infeasible to accommodate more than two long-term visitors each quarter.

- Medium Term visitors (one week to one month): We will use a less stringent but still substantive version of the procedure for long-term visitors. Requests should be received by March 31.

- Short Term visitors (less than one week): We will try to keep flexible, preserving some office capacity to handle requests as they arise. However, it will still be in your interest to place the request as early as possible to be sure that it can be met.

Visitors who will be paid or require a visa should work with the Assistant Director of Administration when the visitor has been approved by the Department Chair. She will begin the process of contacting the scholar for information, checking for or obtaining health insurance, and requesting an appointment from WCAS and the Vice President for Research. She will also file to obtain any payroll forms, obtain a NetID and initiate all required U.S. visa documents. It is the responsibility of the host to initiate these actions with the Assistant Director of Administration. You should start early as visa requirements can take months.
11.2. Visiting Pre-doctoral Scholars. Occasionally a member of our faculty will receive a request from a student working on his/her Ph.D. at another institution, or from the student's advisor, to allow the student to visit Northwestern for a period of time to attend seminars, audit classes, and participate in other ways in the intellectual life of the department. Although students from other institutions in the United States sometimes informally visit for short periods of time with no official status, a foreign student will generally need to receive official status as a "visiting pre-doctoral student" in order to obtain a visa. This section briefly describes the practices followed by the department for inviting and accommodating visiting pre-doctoral students and the steps that a faculty member will need to take in order to sponsor such a visit.

As a leading department of economics, we expect to be a hub for intellectual exchange between scholars from all over the world, and as part of this exchange, we both expect and welcome our faculty to invite pre-doctoral students to visit when they have a strong interest in working with such students. However, inviting students to visit who then feel largely ignored or neglected may well detract from, rather than enhance the department's and your own international professional standing. Therefore we urge you to please only sponsor a visiting pre-doctoral student when you have a strong interest in working with the student and believe that the visit will be of significant benefit to both the student and the department.

Once you have determined that you would like to sponsor a visiting pre-doctoral student, you should write a brief memo to the Chair providing details about the prospective visitor, when he/she would like to visit, and a brief explanation of why you believe the visit would be of value to both the department and the prospective visitor. The Chair should give permission before proceeding.

We do have some carrels available for visiting graduate students, but the number is limited and depends on the number of students in our program in any given year. It is important that you make a prospective visiting student aware of this prior to the visit to avoid creating expectations that cannot be fulfilled.

Be aware that the University requires that visitors either demonstrate that they have health insurance that meets a certain set of minimum requirements or that they purchase health insurance through Northwestern that meets these requirements. The University also requires that visitors have sufficient funding to support themselves while they are here.

For foreign visitors it takes approximately 2 months for all of the internal paperwork at Northwestern to be processed. Then the person has to make an appointment at the American embassy in his/her country of residence to obtain a visa stamp. Therefore it is essential that you initiate the process of requesting official visitor status for a student at least 3 months before the proposed start date of the visit. Ideally, you should initiate the process of requesting visitor status a full two quarters before the start date of the intended visit. For example, for a visit beginning in the fall quarter you should ideally initiate the process of requesting visitor status by the beginning of the preceding spring quarter.

If a visa is necessary, the NU International Office will charge a fee ($230 in FY17) to issue the forms to obtain a visa. Partially to help screen out less serious requests and partially because the department has very limited funds, the sponsoring faculty member will be required to pay for this charge using his/her own discretionary funds or the funds of a research center willing to sponsor the visit.

12. HIRING RESEARCH ASSISTANTS

12.1. Hiring Full-Time Research Assistants for a Quarter (Tuition and/or Stipend) The Graduate Program Coordinator sends an e-mail prior to each quarter requesting faculty to provide
information about the graduate student(s) they would like to hire. These appointments include tuition and stipend for one or more quarters.

**Tuition**
- If paid from a grant, tuition is $3,603 per quarter for students at all levels.
- If you are funding a student using non-sponsored funds, a tuition scholarship/waiver can be requested through TGS.

**Stipend and Fringe**
- Regardless of level, the stipend is $2,643 per month and fringe is $74.00 per month.
- Sponsored and non-sponsored funds can be used to fund Research Assistants.

**Deadlines**
- Fall Quarter (pay period September 1 to November 30): August 15
- Winter Quarter (pay period December 1 to February 28/29): November 15
- Spring Quarter (pay period March 1 to May 30): February 15
- Summer Quarter (pay period June 1 to August 31): May 15

**Whom to Notify**
Send your request to the Graduate Coordinator with copies to the Business Administrator and the Associate Chair. The latter needs to know if the student has previously been appointed as a Teaching Assistant. The department reserves the right not to release a student from TA duties if it will result in insufficient TAs to meet our classroom needs.

**What Information to Send**
- Student’s first and last name
- Quarter(s) you are hiring the student
- Account you will pay the stipend from
- Whether tuition will be charged to the account or whether a tuition scholarship should be requested

**12.2. Hiring Research Assistants by the Hour**
Please notify the Business Administrator in advance if you plan to hire an hourly Research Assistant. In some cases, TGS must approve the arrangement. Depending on the arrangement, the student will either be hired as a temporary employee or be paid through the add pay process.

- The typical rate for graduate students is $25 per hour and most students do not exceed 10 hours per week or 100 hours total per quarter. The typical rate for undergraduate students is $10-12 per hour.
- Once approved, the student needs to track his/her hours and report the hours through Kronos or to the Business Administrator.
- Sponsored and non-sponsored funds can be used to fund hourly Research Assistants.

**13. ASPECTS OF DEPARTMENTAL OPERATION**

**13.1. Department Offices.** The department's staff members are located in five offices:
- Main Office: 3317
- Business Administrator: 3319
- Graduate Studies Office: 3210
• Undergraduate Studies Office: 3293
• Accounts: 3291

13.2. Staff. The department has seven staff members:
• John Affrunti: Accounts (expense reports, P-card, accounts payable, purchasing)
• Jane Kim: Program Assistant (main office coverage, rooms, copies, supports undergraduate program, alumni relations and events)
• Sarah Muir Ferrer: Assistant Director of Administration (undergraduate program, events, visitors, junior faculty recruitment, website)
• Michelle Obuhanich: Business Administrator/Director of Finance and Administration (finances, staff management, faculty affairs)
• Heather Petrie: Events Coordinator/Faculty Administrator (seminars, conferences, special events, centers, administrative support to faculty)
• Rita Savakis: Assists Graduate Program Coordinator (part-time seasonal position)
• Mercedes Thomas: Graduate Program Coordinator (admissions, student services, job market, graduate student funding)

Phone numbers and e-mail addresses can be found at:
http://www.economics.northwestern.edu/people/staff.html
Additional staff members work for individual Centers. Section 15 provides a more detailed guide of whom to see on particular matters.

13.3. Mail. Each faculty member has a mail box in the main office. There are slots for outgoing mail. Mail is collected and delivered once a day in the early afternoon at about 1:45 pm. Please note that it is University policy that departmental funds are not used to pay for couriers. If you need to use Federal Express, you must charge it to a grant, discretionary account, or pay with a personal check. Faculty members’ Wildcards open both the north and south doors to the main office to permit access to their mail outside of regular business hours. University policy is that personal, stamped, first class mail will not be collected and mailed by NU mail services.

13.4. Telephones. A reference guide for the features of your desk telephone can be found at:
http://www.economics.northwestern.edu/docs/people/faculty/phone-guide.pdf

Dialing instructions are:
• For an Evanston campus number with a 491 prefix, dial 1 + four digit number.
• For an Evanston campus number with a 467 prefix, dial 7 + four digit number.
• For an Evanston campus student residence number with a 332 prefix, dial 2 + four digit number.
• For a Chicago campus number, dial 3 + four digit number.
• For external domestic numbers dial 9 + 1 + area code + seven digit number (you need to do this even if you are calling another number in the 847 area code)
• For an international call dial 9 + 011 + country code + number

If you use another University phone in a public area or in another department, and wish to make an external call to outside the Chicago area (area codes 224/312/331/630/708/773/847), you will need a six-digit authorization code. The department will request an authorization code for new faculty members. You may use this code from any university telephone.

13.5. Fax Machine. The department has a fax machine located in the main office. The number is (847) 491-7001. Ask the main office staff if you need help. Incoming messages will be placed in your mailbox, and you will be notified of their arrival by e-mail.
13.6. **E-mail.** Electronic mail is used for the majority of correspondence within the department. The department has four mailing lists: <econ-faculty@northwestern.edu> sends mail to all regular faculty, <econ-staff@northwestern.edu> sends mail to all staff, and <econ-grads@northwestern.edu> mails to all graduate students. There is a sublist of econ-grads called <econ1stys@northwestern.edu> which sends mail to the first-year graduate students. The mailing lists are “closed” to prevent spam postings, so you should use your Northwestern e-mail address to mail to these lists. E-mails from other accounts (such as gmail accounts) will be automatically rejected.

13.7. **Website.** The department’s website can be accessed at:

http://www.economics.northwestern.edu/

It contains full directory information on faculty, staff and students, seminar schedules, class schedules, all official documents including requirements for degrees, and departmental policies. At the top right hand corner of the site is a link to a password protected page for faculty that contains copies of policy documents, and links to practical information. The username is <econ-faculty> and the password is <2001sheridan>.

13.8. **Personal Home Page.** Each faculty member can have a web site set up on a University server. Faculty who joined the University before 2013 typically have their site on the WCAS faculty server. The department has prepared a handout *Information for Creating Your Web Site* that provides information on how to access and edit sites on this server. You can access this document at:

http://www.economics.northwestern.edu/docs/people/faculty/website-instructions.pdf

The document also describes some templates that you may wish to use for your personal site. In addition, you should post a copy of your CV in the top level of your personal site with the file name <vita.pdf>.

New faculty should establish a site on http://sites.northwestern.edu which is a web-based application that does not require knowledge of html. Eventually all faculty individual websites will migrate to http://sites.northwestern.edu.

13.9. **Photocopying/Network Printing/Scanning.** The department leases two photocopiers, which are in room 3320. If you have a choice, please use the larger machine on the right, as the marginal cost to the department is lower than the other machine. An access code is needed to use the copiers. The same code operates both machines. The Business Administrator will give you a personal four-digit code. This should be used for all university business including teaching, administration, and personal research. Multiple copies, such as class materials and seminar papers, will be made for you by the main office staff.

Both machines are also connected to the University network. They can be used as networked printers by installing drivers on your computer. The department has prepared a document describing how you can obtain and configure the necessary print drivers. You can access this document at:

http://www.economics.northwestern.edu/docs/people/faculty/printing-instructions.pdf

Your photocopy code also acts as your validation code to send prints to the machines. You need to come to the machine and manually start the printing. The machines are also scanners and your e-mail address is already stored in the machine for your convenience.

13.10. **Course Packets.** WCAS requires that any packets or readings for your courses must be *sold* to students. Packets are sold to students in room 3317. The department has some rules to ensure that materials are prepared in a timely manner. These rules are contained in the *Essential Information for Regular and Visiting Faculty about the Northwestern Undergraduate Economics Program* document.
13.11. **Supplies.** The department makes available pens, pencils, notepads, chalk etc., in conservative quantities in the main office. If you are newly appointed we can also arrange to special order staplers and the like. It has become the custom that the department does not pay for computer supplies and toner cartridges for printers. Orders for special supplies and larger orders, such as computer hardware, are handled by the accounts staff member.

13.12. **Office Computers.** WCAS has a policy by which it will supply departments with a limited annual amount of funds to provide for replacement of each full-time faculty member’s main computer (the one that faculty member primarily uses in their office) on a four year cycle. The department has formulated a policy whereby faculty accumulate their allocation in “virtual accounts” that can be used to keep their computers up to date. Full details and the logistics of the virtual accounts can be found in the policy statement at: [http://www.economics.northwestern.edu/faculty/docs/computer-funding.pdf](http://www.economics.northwestern.edu/faculty/docs/computer-funding.pdf)

13.13. **Computing.** Weinberg IT provides computer support including setting up computers and troubleshooting hardware and software. General information on WCAS computing policies can be found at: [http://www.weinberg.northwestern.edu/weinbergit/](http://www.weinberg.northwestern.edu/weinbergit/)

   The University has an arrangement with Box.com for cloud storage of your files, and you can use this to file share with collaborators. Read more about this at: [http://www.weinberg.northwestern.edu/weinbergit/about/projects/file-sharing.html](http://www.weinberg.northwestern.edu/weinbergit/about/projects/file-sharing.html)

   WCAS also provides automatic backup of your computer to guard against crashes: [http://www.weinberg.northwestern.edu/weinbergit/guides/crashplan/](http://www.weinberg.northwestern.edu/weinbergit/guides/crashplan/)

13.14. **Social Activities.** Information about the daily faculty lunches is in section 5.9 above. The graduate students organize a TGIF on Fridays at 5pm in the light court lounge, room 3322. You are encouraged to attend and mix informally with other faculty members and the graduate students. Just after the start of fall classes the department organizes a start of year lunch and reception on a weekend afternoon to recognize our new faculty and graduate students, and present awards to our best teaching assistants. Faculty usually attend and are welcome to bring their families. In the early spring we hold a similar reception, usually in conjunction with the visit day for prospective graduate students.

13.15. **Staff Gifts.** It has become traditional for the members of the faculty to show their appreciation for the efforts of our hard-working staff by making a collection in December. Just after Thanksgiving the Chair circulates a letter containing the suggested contribution by rank. Faculty contributions are fully distributed to staff in the form of cash gifts. In addition, this collection provides for a staff lunch during Administrative Professionals’ week in April.

13.16. **Emergencies.** If an emergency arises during regular business hours, it is best to contact the Business Administrator or Associate Chair, who will probably know who to contact. In the event of immediate assistance being required from fire, police or ambulance, these calls are dealt with by Evanston Police and Fire Departments, with the assistance of University Police, by dialing 911 from a campus phone.

   If you are here after hours or on weekends, please be attentive and vigilant about things that can and inevitably will one day go wrong. Since there are usually relatively few people around, please be attentive to see if there is anything irregular.

   - If you see a crime in progress or suspect that there is a risk of flood or fire or structural damage, call the emergency services on their emergency number (911) immediately. You
should then notify the Department Chair (847-877-4594), or the Associate Chair (847-475-0574) or Business Administrator (734-395-2632) in that order.

- If you see a building problem, such as clogged bathrooms, which are not an immediate threat, contact a janitor if one is on duty. Otherwise call University Police on their non-emergency number (1-3456) and they will alert Facilities Management. Then send a follow up e-mail to the Department Chair (l-christiano@northwestern.edu), the Associate Chair (ipsavage@northwestern.edu) and the Business Administrator (m-obuhanich@northwestern.edu).

- In other cases, if there may be just a suspicion or a minor infraction, such as doors that are open and should not be, and very loud music, please check around, but do not endanger your personal safety. If your suspicions are warranted, you should either call the emergency services (911) or for lesser janitorial matters call the University Police on their non-emergency number (1-3456) and they will alert Facilities Management.

- In some situations where there is no immediate threat but something is unusual, you should call the Department Chair (847-877-4594), Associate Chair (847-475-0574) or Business Administrator (734-395-2632) in that order. All have master keys to all offices and can hurry to the building to help any investigation. In other cases they may be able to advise you on which University agency is to be contacted.

13.17. Building Access and Security. The front door of the building, the stairwells and the doors from the balconies to each wing are locked before 8am, after 7pm and all day on the weekends. Your wildcard will unlock these doors for entry, and there are buttons to release for exit. You will also need to use your Wildcard to allow the elevators to go above the second floor during these hours.

Thefts are not uncommon in campus buildings, even during regular business hours. Lock your office door when you step out, even if you are just going to the bathroom, to prevent thefts of computers, wallets and purses.

13.18. Lecture Room. The department's lecture room is in room 1410. It is a tiered classroom seating 70. The room is equipped with white boards, electronically-controlled screen, a ceiling-mounted projector unit, and a podium with a built-in computer, and a connection for a user-provided laptop computer. The room is also configured for lecture capture and video conferencing. The room is in heavy use for graduate field courses and seminars from 9am to 6pm or 7pm on Mondays to Fridays. Faculty members can reserve the room outside of these hours by seeing the main office staff. If you find the room locked, your Wildcard will release the southernmost door.

13.19. Seminar Room. The department’s seminar room is in room 3301. The room can seat 24 at tables, and another 6 on folding chairs. The room is equipped with a whiteboard, retractable screen, a ceiling-mounted projector unit, and a built-in computer, and a connection for a user-provided laptop computer. The room is also configured for lecture capture and video conferencing. A podium for the front of the room is on order. The room is in use for graduate field courses from 9am to 11am and from 1:30pm to 3:30pm on Monday to Thursdays, a faculty lunch on Tuesdays from noon to 1:30pm, and for a seminar on Thursdays from 4:30pm to 6pm. Faculty members can reserve the room outside of these hours by seeing the main office staff.

13.20. Conference Rooms. If you want to hold a meeting that exceeds the capacity of your office, you can reserve one of our five conference rooms. Rooms 3343, 3413 and 3441 have a capacity of 6, and 3417 and 3420 a capacity of 10. The rooms are all equipped with presentation screens, speaker telephones and glass boards. The two larger rooms have facilities for video conferencing. Staff in the main office can make reservations using an “Outlook” calendar.
Department rules are that only faculty can reserve the two corner conference rooms, 3343 and 3441. Both PhD students and faculty can reserve the other three conference rooms. Faculty (but not PhD students) may use any of the five conference rooms to hold office hours. However, in the case of rooms 3343 or 3441 faculty must not allow line-ups of students to form in the hallways.

For all five conference rooms the agreed-upon department norm is that people will attempt to conduct their meetings, conversations, or telephone calls with the door closed to minimize the amount of noise that drifts into the hallway.

13.21. Pantry and Light Court Lounge. The department has a pantry in room 3380 and an adjacent light court lounge in room 3322. The pantry has a sink, hot and cold filtered water dispenser, refrigerator and microwave oven. An espresso machine is also available. The machine also brews “tall” coffee. Users have to purchase a box of capsules to brew individual cups of coffee. The capsules cost about 65 cents each and are sold by the coffee machine company in boxes of 50. You will receive a monthly e-mail about ordering coffee.

13.22. Other Public Rooms. Teaching Assistants can meet with their students for office hours in one of three rooms: 3198, 3411 and 3496. There is a graduate student computer laboratory in room 3418. Access to all four is by a keypad with code 4-1-7-*. 

14. FINANCIAL MANAGEMENT

14.1. University Policies. The University, the Internal Revenue Service, and grant-giving agencies all have financial policies and procedures. These policies apply irrespective of whether you are claiming reimbursement from the department (such as for entertaining a seminar speaker), from your discretionary account, or from a grant. Reimbursements that are not in compliance may be rejected or delayed, and transactions are randomly audited. The best advice is to consult beforehand with the Business Administrator and/or the accounts staff member if you have any unusual transactions.

The full Northwestern policies can be found at:
for goods and services: [http://www.northwestern.edu/uservices/purchasing/policy.pdf](http://www.northwestern.edu/uservices/purchasing/policy.pdf)

14.2. Reimbursement Process. To obtain reimbursement, submit itemized receipt(s) to the accounts staff member and indicate the account from where you want to be reimbursed. You can either drop off hardcopies of the receipts or submit the information and scanned receipts by e-mail. Please note that you are not required to fill out an expense form.

14.3. Reimbursement for Non-Travel Related Items. Northwestern University is exempt from sales tax. All items purchased through NU's preferred vendors via iBuy are tax free. The department also has a business account through Amazon where all purchases are tax free. Our accounts staff member can place iBuy and Amazon orders on your behalf. Please note that if you purchase items at stores like Best Buy or through your own Amazon account, the tax cannot be reimbursed. (Illinois sales tax only applies to goods not services. The University will reimburse for sales tax paid on hotel stays and restaurant meals.)
14.4. **Reimbursement for Local Meals with a Speaker.** If you are requesting to be reimbursed for a group meal, you must include the type of meal (breakfast, lunch or dinner) and full names and affiliations of the guests (this is an IRS rule). Please note the financial restrictions imposed by the department and the university listed in section 10.7. Restaurant receipts must show an itemized list of items. A credit card receipt is not sufficient.

14.5. **Reimbursement for Travel.** Please include the following information with your receipts:

- The account from where you want to be reimbursed
- Travel dates
- Destination(s)
- Purpose of the trip and proof that the trip was on university business. This can be in the form of a seminar notice, the relevant page(s) from a conference schedule, or an invitation letter.
- If you’re requesting per diem
- Any other pertinent information about the trip that will assist the accounts staff member with the reimbursement (i.e. provide dates on taxi receipts if not listed, provide an explanation for foreign receipts if not clear, etc.)

When the reimbursement has been entered into the financial system, you will receive an e-mail prompting you to electronically approve it.

There are also some common issues and problems that you should be aware of:

- Reimbursements have to be processed and paid within 90 days. Therefore, you should submit items for reimbursement as soon after they are incurred as is possible.
- Note that you can only claim reimbursement for airline tickets or conference fees after the travel has been completed, unless you purchase tickets through the University-approved travel agencies using a Northwestern account number. Egencia is Northwestern’s preferred travel vendor. You can book flights using your chart string via Egencia: http://www.northwestern.edu/auxiliary-services/travel/make-reservation/egencia/
- You must include receipts, airline tickets (or electronic confirmation) and, if available, boarding pass stubs (to prove that you made the trip). Make sure online ticket receipts show the amount paid, date paid, and method of payment. If these are not shown, please attach a copy of your credit card statement if applicable.
- NU will only reimburse economy class tickets for flights less than 12 hours. Upgrades to the premium economy cabin are possible but must be paid from a faculty member’s discretionary account. Faculty must include an exception request form with their reimbursement materials. Approval will depend on whether the price of the upgrade is considered “reasonable” relative to the cost of the ticket and duration of the flight. Here are a few examples:
  - For a 3-hour flight to the west coast, an upgrade of around $50 would be considered reasonable
  - For an 8-hour flight to Europe, an upgrade around $200 would be considered reasonable
  - For a 1-hour flight, an upgrade costing around $50 would NOT be reasonable
- However, if the total flight (including stopovers and change of plane) is more than 12 hours, NU will reimburse for premium economy class or business class. Proof that the flight is more than 12 hours must be provided and should be approved ahead of time. NU does not reimburse for first class fares. If you have a reward program and receive a free first class upgrade, proof of that free upgrade must be submitted.
- Uber, Lyft and other similar transportation services are permitted options, and may include surcharges and fees. Surcharges and fees may be reimbursable if the total cost is
comparable to other ground transportation options, and must be clearly documented to substantiate reimbursement.

- The University will not reimburse for limousines or equivalent services such as Uber Black and Uber XL.
- Hotel bills and restaurant receipts must show an itemized list of items. A credit card receipt is not sufficient. You should also provide an itemization of room service orders, and meals taken in hotel restaurants.
- Indicate on meal receipts whether it was for breakfast, lunch, dinner or a snack.
- The University allows the option of claiming a per diem rather than submitting individual receipts for meal expenses. Please see the University travel policy page for details. The per-diem does not apply to hotels. You must submit receipts for the actual expense.
- If you are only requesting a per diem, and say for example another institution paid for your airfare and hotel, we will need a copy of the airfare and/or hotel receipts in order to reimburse the meal per diem.
- Hotel receipts should show itemized charges, and ensure that it also indicates the date of arrival and departure, total amount, payment date and the method of payment.
- Meal expenses are restricted to faculty only. Your family members are not allowed to be reimbursed.
- If it is not clear from the receipt that you personally paid, then include a copy of your bank or credit card statement (with any personal information blacked out).
- For payments in foreign currencies, there are two options: (a) include a bank or credit card statement showing the actual U.S. Dollar amount charged to you, or (b) our accounts staff member will use the exchange rates posted on www.oanda.com for the specific day the expense was incurred.

14.6. Payments to Individuals. Small payments for services to bookkeepers, students or human subjects in experimental economics trials cannot be handled in an informal way. In many cases these persons will be independent contractors to the University, and income is reported to the IRS. The accounts staff member can let you know about the simple forms needed to ensure that any such payments are made legally.

15. STAFF WHOM TO SEE GUIDE

Michelle Obuhanich:

- Staff manager
- Special projects for Department Chair
- Management of all financial accounts (department, centers, grants)
- Distribution of financial reports and statements to faculty and centers
- Financial policies and procedures
- Interfaces with research administrators in Dean’s office regarding post-award grant management
- Interfaces with Dean’s office regarding policies and procedures (i.e. human resources, faculty leaves, etc.)
- Building maintenance issues
- Senior faculty recruitment
- Summer salary
- Promotion and tenure dossiers
• Graduate student research assistant funding
• Hiring, payroll and approval of time entry for all temporary and work study students
• Monthly copier readings and user management

Sarah Muir Ferrer:
• Supervises main office staff
• Oversees undergraduate program and initiatives
• Assists with undergraduate course scheduling, registration and grading issues (CAESAR / Canvas / CLSS)
• Oversees all department events including seminars, conferences and special events
• Junior faculty recruitment
• Visitor coordination
• Appointments and visas for faculty and post-doctoral visitors
• Marketing and promotion of department (annual newsletter, website, LinkedIn, Our NU)

Mercedes Thomas (assisted by Rita Savakis):
• Graduate student services: coordinates funding, maintains files, manages graduate student listservs and directory, tracks milestones, grade issues for graduate courses
• Admissions: communicates with prospective students, coordinates student applications, administers acceptances, arranges visas, organization of visit day for prospective graduate students
• Job market: job market website, recommendation letters, coordinates mock interviews and job talk presentations, coordinates company visits
• Preliminary examinations
• Coordinates fall buffet and awards ceremony
• Content manager for graduate student section of department website and graduate student listing
• Manages Responsible Conduct of Research (RCR) process for graduate students
• Manages key ordering and distribution

Heather Petrie:
• Manages seminars (coordinates with speakers, makes travel arrangements, manages schedules) in fall and spring quarters
• Assists with junior faculty recruitment in winter quarter
• Coordinates all department events (conferences, lectures and special events)
• Manages center websites
• Provides administrative support to faculty (travel arrangements, submission of external expense reports, faculty website updates, meeting scheduling, document editing)
• Provides main office back-up when Jane Kim is out of the office
• P-card holder and expense report back-up

Jane Kim:
• Supports undergraduate program (assists with course descriptions, textbook orders, course packs, course and exam schedules in Outlook room calendars, weekly digest, bulletin boards, recommendation letter submissions)
• Lunch coordination (weekly faculty lunch and others)
• Provides event support
• Maintains copiers
• All copy jobs including seminar papers
• All matters relating to mail
• Department room reservations and associated technology (classroom, seminar room, conference rooms, TA rooms). Jane Kim has primary responsibility, but Michelle Obuhanich, Sarah Muir Ferrer and Heather Petrie also have access to the reservation system if she is unavailable.
• Compiles weekly listing of department events
• Orders office supplies
• Orders coffee capsules and collects payments
• Sends monthly letters to donors
• Prepares annual faculty/staff directory
• Telephone repairs and issues
• Maintains department mailboxes
• Wildcard access issues
• LCD monitor postings
• All other main office customer service requests

John Affrunti:

• Expense reports for faculty, staff, students and visitors
• Distribution of monthly financial reports and statements to faculty
• Orders and maintains account for computer/equipment purchases
• Purchase orders
• Accounts payable
• Requester for items purchased through iBuy
• Graduate student copy payment statements
• Graduate student travel and research grants reimbursements
• Special payments and additional payments
• P-card holder