

NORTHWESTERN UNIVERSITY

Henry and Leigh Bienen School of Music

FACULTY HANDBOOK



The *Bienen School of Music Faculty Handbook* is supplementary to the *Northwestern University Faculty Handbook*, which is available on the provost's webpage. Faculty members should also consult the provost's webpage for current policy statements and amendments to the *Northwestern University Faculty Handbook*. The information contained in this handbook is current as of September 1, 2012. Information concerning—but not limited to—such matters as the conditions of faculty employment, benefit plans, and University policies is subject to change from time to time. Notices of such changes are promulgated to all members of the faculty. Faculty members are encouraged to confirm that information in this edition of the *Faculty Handbook* is current by consulting the office of the dean and the web sites of the Bienen School of Music, Office of the Provost or the Department of Human Resources, as appropriate. The text of this handbook is available online at www.music.northwestern.edu.

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FACULTY ROLES AND RESPONSIBILITIES

Faculty Roles Faculty members in the Bienen School of Music have multiple responsibilities. They are expected to teach, and to do so at a high level of excellence. They are expected to be available to students and faculty colleagues. They are expected to be professionally active, whether such activity takes the form of research or creative activity. They are expected to be available to contribute to the governance of the Bienen School and to be involved in the recruitment of students, including the admission and audition process, and service.

Presence on Campus Full-time members of the faculty must be in residence during the academic year. This policy excludes faculty members who have been granted formal leaves of absence but includes those who are not teaching regularly scheduled courses during a given quarter. Those in the latter category are expected to maintain all educational and service responsibilities, such as advising, departmental administration, committee assignments, and other forms of service.

In the Bienen School of Music, the nine-month academic year begins at the start of Wildcat Welcome in September. It ends in June with the University's Commencement ceremonies and the School's Convocation. (This June gathering is smaller than the University's Commencement ceremony, permitting each graduating student to receive public recognition. Faculty presence is essential to the occasion and affords graduates the opportunity to introduce their professors to family and friends. Members of the faculty are urged to attend each year.)

Professional activity away from campus—musical performances, participation in symposia, delivery of conference papers, etc.—is integral to the work of faculty members in the Bienen School of Music. While the Bienen School values such work, the School's responsibility to its students takes precedence over the desire to encourage such external activity. Thus, the Bienen School administration must carefully control this activity to ensure that it does not compromise the fulfillment of the School's teaching mission. A faculty member who, for professional reasons, proposes an absence from scheduled teaching obligations must notify the appropriate department chair/co-chairs by e-mail (or some other written form) before (s)he enters into any agreements/contracts. Notification should be provided as early as possible but no later than one month before the proposed absence (except in cases of emergency). When such absences are of a week's duration (or longer) in a given quarter, written permission must also be obtained from the dean. Permission will rarely be granted for an absence longer than a week. Department chair/co-chairs are expected to bring any unexplained absence, frequent short absences, or lengthy absence to the dean's attention.

Outside Activities The University's Faculty Conflict of Commitment and Conflict of Interest Policy requires each faculty member to submit an annual report detailing outside activities that may pose a conflict of interest or conflict of commitment. This report is reviewed by the dean. For more information, please navigate to this URL: http://www.research.northwestern.edu/coi/policy/core_coi_policy.pdf.

University policy requires that faculty members with full-time appointments secure the approval of the dean before engaging in most activities for additional compensation. The sorts of activities for which approval need not be obtained include occasional private instruction (not offered in University facilities or at another educational institution), accepting an honorarium or a fee for giving a visiting lecture or a performance in a concert venue. The dean generally approves such requests provided that the proposed work does not interfere with normal responsibilities, is not carried out either directly or implicitly in the name of the University, and will be reasonably short-term. The combination of all such work must be accomplished in no more than one day per week of the academic year, on or off campus. The dean should be consulted before a faculty member enters into an employment agreement with any outside group. A missed lesson must be made up at a time mutually satisfactory to both teacher and student.

Applications for External Funding Faculty are encouraged to apply for grant funding from Northwestern and external agencies. Prior to submitting any grant application, faculty members should consult the department chair/co-chairs and the associate dean for administration and finance. Before applying for grant funding that may involve a leave of absence or reduction in teaching load, faculty members must receive written approval from the dean.

Fundraising Fundraising efforts of the Bienen School of Music must be carefully coordinated. Thus, members of the faculty may not solicit charitable contributions to the University without prior permission of the dean, who will consult with the University Office of Development.

Teaching Loads The dean of the Bienen School of Music has responsibility for determining teaching loads. In making assignments, the dean, in consultation with the department chair/co-chairs, attempts to balance faculty interests and expertise against the instructional needs of the School and each department. As a general rule, a full teaching load for tenured or tenure-track performance faculty is 18 scheduled contact hours per week; the teaching load for non-tenure-eligible performance faculty is 20-22 scheduled contact hours. A full teaching load for tenure-eligible faculty in music studies is six courses per year; the teaching load for non-tenure-eligible faculty in music studies is 7-8 courses per year. Appropriate arrangements are made for faculty engaged in both classes and private instruction. These teaching loads are projections based on the assumption that faculty members are professionally active as a performer or scholar. Teaching loads may be reduced by the dean in recognition of such factors as research, creative activity, or administrative responsibilities to the School.

Provisions for Tenure-Track Assistant Professors University policy provides that untenured, tenure-track faculty have somewhat reduced teaching loads during their probationary period. This policy, as set forth in the *Northwestern University Faculty Handbook*, has been modified for performance faculty. Rather than having “teaching free” quarters, performance faculty in the Bienen School of Music have reduced teaching responsibilities distributed across multiple years as specified in their letters of appointment. Details are available from the office of the dean. Faculty members covered by this policy should ensure that they have access to appropriate reductions.

Faculty Contact Information To assist the University in maintaining updated records, faculty members must notify the office of the associate dean for administration and finance regarding any address or phone changes; that office also collects information regarding emergency contacts. By the end of the second week of each quarter, faculty members must notify their department administrative assistant of their teaching schedule and, if appropriate, office hours. It is sometimes necessary to reach a faculty member unexpectedly. Faculty members leaving campus for any length of time (including the summer) must provide their department administrative assistant with updated contact information. Responses to queries concerning Bienen School of Music faculty and staff members are generally limited to publicly available information (as in the published phone directory or the materials available online).

Conflict Resolution The *Northwestern University Faculty Handbook* states: “Faculty are members of a community including students, staff, and faculty colleagues. Members of the Northwestern community are expected to deal with each other with respect and consideration.” Faculty members who are involved in conflicts with other members of the community are encouraged to seek the assistance of the dean (for conflicts with other faculty members); the director of graduate music studies or director of music performance graduate studies (for conflicts with graduate students); the assistant dean for student affairs (for conflicts with undergraduate students); and the associate dean for administration and finance (for conflicts with staff).

Harassment and Discrimination Two important and related University policies are those on “Sexual Harassment” and “Discrimination and Harassment.” The former can be found at <http://www.northwestern.edu/sexual-harassment/policyindex.html> and the latter at <http://www.northwestern.edu/provost/policies/statements/discrimination.html>. The one-on-one studio instruction of many faculty in the Bienen School of Music makes it especially important that faculty be sensitive to the requirements of these statements. In particular, it should be noted that the policy focuses on the perception of the alleged victim, not the intention of the person alleged to have committed the violation. Faculty must take special care to ensure that their comments and actions adhere to these policies.

Employee Assistance Program The University has contracted with an independent local firm, Perspectives, Ltd., to provide counseling to members of the faculty and staff and to their families about a variety of personal problems. Counseling takes place in an off-campus Evanston location and is entirely confidential. Unless the faculty member gives written permission, Perspectives may not share any information with Northwestern administrators. Information can be found at <http://www.perspectivesltd.com/home.aspx>.

THE FACULTY APPOINTMENT

The Work of Search Committees Membership on a search committee is one of the most important services a faculty member can render to the Bienen School of Music. The quality of the School’s faculty depends in large part on the energy, imagination, and high standards committee members—who are appointed by the dean—bring to this

important work. Search committees are expected to conduct vigorous national searches when filling vacancies, especially for tenure-track positions. Advice from the Office of the Provost on conducting searches can be found in “The Quest for Excellence: Reflections on the Faculty Search Process” available at this URL:

<http://www.northwestern.edu/provost/faculty/hiring/guidedefacsearch.pdf>. The University requires that every search be conducted in a manner consistent with its commitment to affirmative action and expects search committees to take special steps to ensure that members of under-represented minority groups and women are considered for openings. Search committee members are urged to consult a publication of the provost, “Recruiting and Retaining Minority and Female Faculty - Some Suggested Best Practices,” available at the following URL:

http://www.northwestern.edu/provost/faculty/hiring/best_practices.pdf. Any questions regarding search procedures should be directed to the dean.

Reappointment, Tenure and Promotion The Bienen School of Music understands that the members of the faculty are the core assets of the School. The School’s reputation rests in large part on the reputation of the women and men who constitute the faculty. The quality of the instruction we offer our students likewise depends upon the quality of the faculty members providing that instruction, particularly their mastery of their fields and their skill in and commitment to communicating that knowledge to a new generation of artists and scholars. Thus, in making faculty appointments and in considering colleagues for reappointment and/or promotion, the Bienen School of Music aspires to the highest standards.

On the provost’s webpage, general terms are set forth regarding the University’s criteria for tenure:

The award of tenure is, of course, an immensely important decision—both for the faculty member in question and for the long-term academic quality of the University. As Provost, I have the responsibility to review recommendations from the schools for promotion and/or tenure from a University-wide (rather than school-specific) perspective.

In considering the award of tenure, Northwestern seeks to apply the highest standards with respect to professional achievement in the areas of scholarship/creative work and teaching. Each case is evaluated on its own merits. Northwestern aims at the superlative in both teaching and research; and, when making a recommendation for tenure, a department and school must feel able to affirm that the candidate in question constitutes as good a permanent appointment in his or her area as we are capable of making, now or in the foreseeable future, given both the candidate's accomplishments to date and reasonable expectations as to future accomplishments.

In evaluating the scholarly or creative work, attention should be paid to the quantity, but above all, the quality, importance, and creativity of such work; it is important to consider not merely what has been accomplished but also the promise for future achievement. A positive recommendation to confer tenure should offer strong evidence supporting claims about the high quality of a candidate's work, the distinctiveness of his or her voice, and the degree of influence on the field.

The quality of a candidate's teaching and future potential as a teacher are also major factors affecting the decision to grant tenure to a faculty member. Information regarding a candidate's teaching must be included in any such recommendation. As with scholarly or creative work, the nature of the teaching enterprise may differ among the schools. Nonetheless, given the University's dual commitment to excellence in teaching as well as research, it is important that the quality of teaching be fully considered in these decisions.

In considering promotion to the rank of professor, departments and schools will pay particular attention to the candidate's accomplishments since the award of tenure. Promotion to this rank is appropriate when the faculty member has achieved a high level of distinction in his or her field and has attained a level of excellence as a teacher. Time served in the rank of associate professor is not sufficient cause for promotion. Rather, the standard should be fulfillment to a large degree of the promise forecast at the earlier time of awarding tenure.

Although the statement above speaks to tenure-track faculty, its aspirations also apply to Bienen School of Music faculty who are not on the tenure-track.

Bienen School of Music procedures for promotion and tenure are summarized in a timeline available from the office of the dean.

Because the reappointment of untenured, tenure-track faculty and non-tenure-track faculty is not an entitlement, faculty members should not assume that their appointments will automatically be renewed. Reappointment decisions are made following careful consideration of the Bienen School's needs and the accomplishments of the faculty members under review. In compliance with the provisions of the *Northwestern University Faculty Handbook*, the Bienen School provides full-time faculty members on multi-year appointments (not including faculty who receive a series of one-year appointments) with 12 months' notice if their appointment is not to be renewed. Faculty members who hold part-time appointments or full-time appointments of one year or less do not receive such advance notice of non-reappointment.

Extension of the Probationary Period When circumstances interfere substantially with the ongoing research or artistic record that a faculty member intends to submit as part of his or her tenure review, the faculty member may request that a year be exempted from his or her probationary term. A successful petition delays by one year the time at which the candidate must be reviewed for tenure. Relevant circumstances include parental responsibilities relating to the birth, adoption, or rearing of a child; personal or family emergencies such as chronic illness of the faculty member or an immediate family member; or the failure of the University to meet a commitment regarding research facilities (e.g., the inadequate provision of promised research space). A year's leave of absence to pursue research or accept employment elsewhere is not generally exempted from a probationary term. To request an extension, faculty members must provide a written explanation justifying the exemption of a year from the probationary period. This request should be submitted as early as possible but before September 1 of the year designated for mandatory tenure review. Petitions must explicitly acknowledge the faculty member's recognition that he or she "will not enjoy an entitlement or stronger claim to tenure by virtue of continued membership on the faculty beyond the customary probationary period." To initiate a request for extension, faculty members must submit their materials to the dean, who in turn forwards his or her recommendation to the provost. Faculty members should understand that such requests cannot always be granted.

Salary Adjustments Faculty members are responsible for maintaining and making available to their department chair/co-chairs accurate and up-to-date records of their professional activities and accomplishments. The "Faculty Activity Report" is requested

annually, and the completed documents are evaluated by the appropriate department chair/co-chairs in three areas: teaching and advising, professional achievement, and service. The dean then reviews the reports and recommendations provided by the chair/co-chairs. The dean's final recommendations are forwarded to the provost for review. With the provost's approval, the dean and/or the associate dean for administration and finance notify faculty members of his or her salary for the coming year.

University Policy on Evaluative Authority over Faculty and Staff No faculty member may have evaluative authority in such matters as employment, compensation, promotion, or termination over another faculty member or an employee who is the faculty member's spouse, domestic partner, relative or an individual with whom the faculty member is having or has recently concluded a sexual relationship. For purposes of this policy, a relative is a blood relation, in-law, step or adoptive relative, as close as or closer than nephew or niece. When a potential violation of this policy occurs, the faculty member with evaluative authority must report the relationship to his or her department chair/co-chairs, dean, the Department of Human Resources, or the University provost. If the person to whom the relationship is reported determines that such action is necessary, it is the responsibility of both the faculty member with the evaluative authority and the individual to whom the relationship is reported to ensure that the evaluative authority is reassigned. If this is not feasible in a particular instance, the faculty member and the individual to whom the relationship is reported must bring the matter to the attention of the Provost or the associate vice president of human resources. Failure to report a relationship is a violation of University policy.

Cross-School Collaboration Faculty are encouraged to participate actively in interdisciplinary work. Participation of music faculty in cross-school collaboration has resulted in requests by music faculty to be released from all or part of their Bienen School teaching obligations so they can teach courses offered by other schools at Northwestern. The Bienen School of Music appreciates the value of cross-school collaboration in teaching and performance but also recognizes the importance of serving its own programmatic needs. Before entering into any agreement that involves teaching a course for another unit (whether as the sole instructor or part of a team-teaching arrangement), faculty members must obtain the permission of the music dean. Ordinarily, such requests will not be granted unless there is an exchange of services or a payment from the other school to enable the Bienen School of Music to hire replacement teaching.

Multi-School/Department Appointments Northwestern strongly encourages collaboration across departments and schools, and many faculty members hold non-budgetary appointments which are variously called "joint" or "courtesy" or "secondary." In such faculty personnel matters as salary review and consideration for promotion and/or tenure, participation is generally limited to those schools or departments that provide continuing support for the base salary of the relevant faculty member.

Mentoring The Bienen School of Music does not have a formal mentoring program. Nonetheless, the School recognizes the value of mentoring for new faculty and strongly urges them to seek the counsel of senior colleagues or members of the Bienen School

administration. Faculty members who believe they could profit from formal mentorship are encouraged to request such an arrangement by contacting the dean, who will take action on this matter.

Academic Leaves of Absence To support the professional development of its faculty, the Bienen School of Music endeavors to grant paid leaves for the purpose of advancing the research, teaching, and creative activities of the faculty. The number of leaves which can be granted in any given year is necessarily limited by the resources available to the School for replacement teaching, the need to staff courses and provide continuity of instruction for students, and other considerations. Academic leaves are generally granted only to tenured and tenure-track faculty. Meritorious proposals for quarter-length leaves will be eligible for consideration by the dean and the department chair/co-chairs if they are consistent with the existing research agenda of the faculty member. Faculty members seeking an academic leave should make application, through their department chair/co-chairs, no later than **February 1** of the academic year prior to the year in which the proposed leave would take place. The chair/co-chairs should forward their recommendation (pro or con) regarding academic leave of absence requests to the dean no later than **February 15**.

In accordance with the *Northwestern University Faculty Handbook*, the granting of faculty leaves should take into account:

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

Applying: Action by the Faculty Member

a) The Formal Leave Request

To formally request a leave of absence, faculty members must supply the following to their department chair/co-chairs:

- A substantive description of the research or creative project to be carried out, including a summary of work accomplished to date; expected results to be achieved during the leave; and the likely date by which the project will be completed.
- The period for which the leave is requested.
- The sources and amounts of proposed support during the leave, if such support is essential to the completion of the project. If the leave is contingent on receiving external funds, the request should address the likelihood of obtaining these funds and the approximate date of the confirmation for such outside support.
- The dates of the applicant's recent leaves of absence and the nature of support received during these leaves.
- Relevant supporting materials (such as sample book chapters, accepted grant proposals, examples of prior work, commissions, scheduled concerts, tours, or

master classes). The inclusion of supporting materials will strengthen the proposal.

b) Deadlines

Requests for leaves during all or part of the next academic year must reach the appropriate chair/co-chairs no later than **February 1**.

Action by Chair/Co-Chairs

Criteria. The department chair/co-chairs assess requests for academic leaves of absence on the basis of these criteria:

- The merits of the proposal.
- The potential of the proposed research/creative activity to advance the faculty member's professional achievement and reflect credit on the School and University.
- The timing of the leave relative to the faculty member's leave history and to current departmental priorities.
- The likelihood that the research/creative activity will be carried out in the time specified; or, if the proposed research/creative activity is part of a larger project, the probability that the project as a whole will be successfully brought to completion.
- The ability of the department to offer needed courses of a quality comparable to that of regular offerings in the absence of this faculty member and of others who might be on leave at the same time. Note that the granting of an academic leave does not necessarily imply a reduction in a faculty member's teaching obligations; in some cases, teaching obligations remain unchanged, but the distribution of those responsibilities is adjusted to accommodate the leave.

Faculty leaves of absence are governed by the University leave policy statement in the *Northwestern University Faculty Handbook*. The granting of paid leaves to faculty members presupposes that those on leave will return to the University at the conclusion of the leave for a period at least as long as the leave. All requests for academic leaves must be approved by the provost. After completion of a leave of absence for professional development, a faculty member must submit to the dean a brief report of activities and accomplishments.

Personal and Medical Leaves of Absence: According to University policy, a faculty member may request a leave of absence of specified length for personal reasons such as childbearing, adoption, childrearing, personal or family emergencies, illness, required military service, or the exploration of career alternatives (see the *Northwestern University Faculty Handbook*). Information on the University policy regarding leaves for childbearing, adoption, and childrearing can be found on the Provost's webpage. Personal leaves are generally unpaid. Requests for personal leaves may be made at any time. All requests for personal and medical leaves must be approved by the provost.

Retirement: Faculty members are encouraged to talk confidentially with the dean regarding arrangements that might be available to facilitate retirement. University and Bienen School of Music policy is governed by two considerations: the faculty member's judgment as to what is personally best for him or her, and Northwestern's responsibility to maintain superior programs of teaching and research. The goal is to provide maximum flexibility to faculty considering retirement while maintaining the quality of programs. Plans for each retirement are drawn up individually. In some cases, faculty members may be eligible for the University's Phased Retirement Program, as set forth in the *Northwestern University Faculty Handbook*. Usually, discussion is initiated by individual faculty members, who may work with their department chair/co-chairs and the dean to make arrangements that benefit the faculty member and allow the School to plan for future faculty hires. To ensure that they are properly prepared for their separation from the university, faculty members should give careful thought to retirement finances well ahead of their projected retirement dates. Information about the individual's likely retirement income and medical benefits can be obtained from the benefits division of Human Resources. See the following URL for more information: <http://www.northwestern.edu/hr/benefits/transitions/retiring.html>.

TEACHING AND ADVISING

Teaching — Evaluation and Improvement Teaching is a core responsibility of Northwestern University faculty. University policy directs instructors to have 100-, 200-, 300-, and 400-level courses with an enrollment of five or more students evaluated by the survey instrument of the University's Course and Teacher Evaluation Council (CTEC). The results of these surveys are made available to course instructors and the School's administration. Numerical results and summary responses are published online so that future students may examine them for guidance. Instructors have the right to decide in advance whether the summary responses will be published. CTEC results are considered in determining salaries and eligibility for reappointment and/or promotion and/or tenure. Further details are available on the Registrar's Office website at http://www.registrar.northwestern.edu/courses/CTEC_Guidelines.html.

Faculty are encouraged to seek the assistance of Northwestern's Searle Center for Teaching Excellence, which provides both remedial assistance (for faculty who are facing challenges in their teaching) and assistance in exploring new pedagogies. Staff of the Searle Center will videotape classes or lessons and meet with the instructor to discuss the tape. All consultations with the Searle Center are confidential; the School is not notified that a faculty member has availed him/herself of the Center's resources.

Academic Advising Academic advising in the Bienen School of Music is overseen by the assistant dean for student affairs (for undergraduate students) and the director of graduate music studies or director of music performance graduate studies (for graduate students). Nonetheless, advising is an extension of the School's teaching mission, and all members of the faculty are expected to be receptive to requests by students for advice about educational issues and professional ambitions. At the same time, faculty members are not therapists and are urged to refer students with personal problems to offices that can assist them directly. For assistance with referrals, faculty should contact

the office of the vice president for student affairs. See <http://www.northwestern.edu/studentaffairs>.

Confidentiality of Student Records The Family Educational Rights and Privacy Act of 1974 makes possible the viewing of official education records by students under certain conditions. The University has issued guidelines for these conditions, which can be found at: http://www.registrar.northwestern.edu/academic_records/FERPA_policy.html. In general, student records or information about students cannot be shared with anyone external to the University (including the student's parents) without the student's written permission and cannot be shared internally unless such sharing is integral to the University's functioning. For FERPA purposes, official student records are only those records maintained by the assistant dean for student affairs (undergraduate students) and the coordinator of graduate services and financial aid (graduate students). Faculty members who keep their own records of student performance and do not make those documents accessible to others may treat them as confidential. Should students request an opportunity to review their records, they should be referred to the appropriate office referenced above.

Student Academic Integrity Violation If a faculty member suspects that a student is guilty of a violation of the academic integrity policy, the allegation should be brought to the assistant dean for student affairs (for undergraduate students) or the director of graduate music studies or director of music performance graduate studies (graduate students). It is important that the faculty member not attempt to handle the matter unilaterally. The faculty member will review the evidence with the appropriate assistant dean or director, and if in his/her opinion there is evidence to merit a charge, the assistant dean or director will initiate established procedures for handling such matters. A full statement of procedures in cases of alleged academic integrity violations is available in the offices mentioned above.

University Policy on Evaluative Authority over Students No faculty member may have evaluative or supervisory authority (including the assignment of grades, the supervision of dissertations, or decisions relating to employment or financial support) over a student who is a relative or with whom the faculty member is having or has recently had a romantic or sexual relationship. If such a relationship exists or has existed between a faculty member and a student over whom the faculty member has evaluative or supervisory authority, the faculty member must report the relationship to his or her department chair/co-chairs, dean, or the University provost. For purposes of this policy, a relative is a blood relation, in-law, step or adoptive relative, as close as or closer than nephew or niece. If the person to whom the relationship is reported determines that such action is necessary, it is the responsibility of both the faculty member with the evaluative or supervisory authority and the individual to whom the relationship is reported to ensure that the evaluative or supervisory authority is reassigned. If this is not feasible in a particular instance, the faculty member and the individual to whom the relationship is reported must bring the matter to the attention of the provost. Failure to report a relationship is a violation of the policy.

Physical Contact with Students In the course of music applied instruction, it is occasionally necessary for a faculty member to have physical contact with a student in

order to teach or assess a student's mastery of a technique. Bienen School of Music policy requires that any such contact be preceded by a request for the student's permission to engage in such contact. No such contact may take place without the student's express permission.

Scheduling of Classes The scheduling of classes is the responsibility of the assistant dean for student affairs in collaboration with the department administrative assistants. The department chair and co-chairs make recommendations regarding scheduling, and any conflicts in desired times and/or rooms must be resolved by the assistant dean and department administrative assistants. Faculty members are required to hold classes and lessons, including those on the first and last days of a quarter, as scheduled. Classes are scheduled during a five-day workweek encompassing Monday through Friday. While faculty members may request that their classes take place on specific days, classroom space and scheduling conflicts are major considerations in determining whether such requests can be accommodated. Any rehearsals outside of the regular class schedule must be announced in the syllabus distributed at the beginning of the term. The scheduling of extra rehearsals, class tutorials, exams, or make-up lessons must not conflict with other classes or regularly scheduled activities.

Minimal Course Enrollments Undergraduate courses with small enrollments can be less than effective pedagogically because they may lack a sufficient number of students and diversity of viewpoints to result in fruitful discussion. Moreover, such courses are not an effective use of faculty members' time. Yet in a curriculum characterized by a broad array of offerings, some courses will attract relatively few students. The Bienen School of Music seeks to minimize the number of under-enrolled and otherwise very small courses while maintaining the strength of instructional programs. Courses should be offered only in exceptional circumstances if they enroll fewer than 8 students at the 100 and 200 level, 5 students at the 300 level, or 4 students at the 400 and 500 level. Courses with smaller enrollments than those will generally be cancelled. If an instructor has been appointed specifically to teach a course that is cancelled due to low enrollment, the appointment will be withdrawn. For full-time faculty, such courses do not count towards his or her annual teaching load. Consequently, faculty members whose courses are cancelled as a result of insufficient enrollment are expected to compensate for the cancellation by adding a course later in the academic year or the next year. If the case can be made that an under-enrolled course is crucial to the academic offerings of the School and is taught at appropriate intervals, the dean may consider an exception to this rule.

Access to Scheduled Classes Northwestern University classes normally are open only to students who have formally registered for them. The authority to grant or deny the participation of unregistered individuals in a class meeting rests with the course instructor. Instructors are urged to exercise flexibility in this matter for prospective students (and their families), participants in "Family Weekend" each fall, and other such events. Instructors may also establish limits concerning the extent to which class proceedings may be recorded and distributed, and may regulate the use of electronic recording devices.

Student Absences “Students are expected to attend all sessions of the courses for which they are registered. Excessive absence is cause for failure in the course.” This University policy is printed in the *Northwestern University Undergraduate Catalog* and in the *Northwestern University Student Handbook*. A student who is frequently or continually absent without explanation should be reported to the office of the assistant dean for student affairs (undergraduate students) or the director of music performance graduate studies (graduate students) as soon as the pattern is noticed and as early in the quarter as possible. Occasionally an error appears in the registrar's class lists, or the student is registered for the wrong course or the wrong section of a course.

Final Examinations A final examination is given in most Music Studies courses unless the instructor has settled upon another acceptable method of evaluating students' work. Examinations are almost without exception given at the time and place assigned for the examination by the registrar. An instructor may not unilaterally change the time of a final examination. Either the examination must be given at the time assigned in the quarter's Class Schedule or the change must conform to both of the following conditions: First, the examination must be held during examination week. Second, the change of time must have the unanimous consent of the students and the instructor in the course (To reduce potential pressure, any vote to reschedule a final examination must be by paper ballot of all members of the course.). Even if there appears to be a consensus to change the date of the examination, any student or the instructor may submit a request to the assistant dean for student affairs that the date of the final examination (or the due date of a final paper serving in lieu of the examination) correspond exactly with the time specified in the Class Schedule published by the registrar. The assistant dean will enforce the published examination time without revealing the identity of the requester. A student who asks an instructor for an individual exception to take an examination before the assigned time should be referred to the assistant dean for student affairs (undergraduate students) and director of graduate music studies or director of music performance graduate studies (graduate students). Such permission is rarely granted.

Grades of P and N (Pass and No Credit) The option of allowing students to register for a course on a Pass/No credit basis is at the discretion of the instructor. P encompasses all grades of D or better; an instructor who would prefer not to award a P to a student who does D-quality work should prohibit P/N registrations in his or her courses. The grades P and N are ignored in computing a student's grade-point average.

The K Notation This notation is reserved for students in a class that is understood from the outset to extend beyond one quarter. At the end of a quarter when the class remains in progress, its students receive the K notation, which is replaced by a grade at the end of the course. This interim notation is ignored when the student's grade-point average is calculated.

The X Notation This notation is reserved for the student who is absent from a final examination. The instructor should not give an X to a student who is merely unprepared to take the final examination; such a student receives whatever grades he or she earns on the examination and in the course. If a student misses a final exam, the instructor gives a grade of X; and the student and faculty member arrange for the administration of a make-up exam. If there is a conflict between the student and the faculty member

regarding the make-up exam, the assistant dean for student affairs (undergraduate students) and the director of music performance graduate studies (graduate students) will work to resolve the situation. The assistant dean or director's decision in this matter is binding on the faculty member. A student who is ill but who nevertheless elects to take a final examination must accept the results of that examination whatever the outcome; reexamination is forbidden. Faculty should submit a new grade to replace the X notation following completion of the final exam. If a student is denied permission to take a make-up examination, either the X stands or the student requests a grade in the course. If the student requests a grade, the instructor must weigh both the work the student has completed and the work remaining to be done, and assign the student a final grade. The X notation is numerically equivalent to 0, and that value is included when the student's grade-point average is calculated.

The Y Notation This notation indicates an "incomplete." If a student has not completed all assigned work in a course, the instructor may give a grade of Y; the instructor and student must then decide on a means of completing the assigned work. If there is a conflict between the student and the faculty member regarding the removal of the Y, the assistant dean for student affairs (undergraduate students) and the director of graduate studies (graduate students) will work to resolve the situation. The assistant dean or director's decision in this matter is binding on the faculty member. If the student's work is incomplete because of negligence, the Y should not be assigned and the instructor should weigh completed work with incomplete work and assign the student a grade in the course. The Y notation is numerically equivalent to 0, and that value is included when the student's grade-point average is calculated. Faculty should submit a new grade to replace the Y notation following completion of the final exam. All such changes must be made within one year of the end of the course. The Y notation is replaced by a grade when the registrar receives the change-of-grade form.

Deadline for Reporting Course Grades Instructors must meet the deadlines established by the registrar for submission of course grades. Grades that are reported after the deadline do not appear on a student's quarterly grade report.

Student Access to Graded Work Students rightly expect their work to be carefully marked, conscientiously graded, and returned promptly so that they have an early opportunity to learn from their shortcomings and can discuss them with their instructors. When returning work, instructors should not disclose information about the quality of any student's work to others. Graded work should not be left in a box for students to hunt through to find their own papers. Grades should not be posted alphabetically (even without names), nor with identifiers like full Social Security numbers. Reasonable opportunity shall be provided for students to review final examinations and papers with their instructors during a period of at least two weeks at the beginning of the subsequent term. In order to verify grades recorded by the registrar and to answer possible inquiries, instructors should retain their grade books for at least one year.

Grade Disputes Students have the right to dispute any grades, including final grades, given by faculty instructors. Any grade disputes must be initiated by the student within six weeks of the posting of the grade in question, and all grade disputes must be resolved within the following quarter after the posting of the original grade. The

complete grade dispute procedures are available in the office of the assistant dean for student affairs (undergraduate students) and the office of the director of music performance graduate studies (graduate students) as well as the *Northwestern University Student Handbook* and the *Bienen School of Music Student Handbook*.

Grade Changes Faculty must ensure that the grades they turn in are accurate and complete. By faculty policy, an instructor may request a change of grade only to correct a clerical or computational error. Grade changes requested for the following reasons are not appropriate: a student's revision of work or submission of extra work; reexamination of a student; or reevaluation of a student's work after the grades of others in the class have been submitted to the registrar. To effect a change of grade, an instructor completes a form available in the office of the assistant dean for student affairs (undergraduate students) and the director of music performance graduate studies (graduate students). The appropriate administrator must approve any such changes.

Observance of Religious Holidays The provost has issued the following statement regarding accommodations for religious holidays:

“Although Northwestern University does not as an institution observe religious holidays, the academic calendar is designed to avoid conflicts with observed holidays, such as July 4, Memorial Day, Thanksgiving, New Year's Day, and Christmas. As the diversity of our community has increased, additional religious holidays now affect a significant number of students and faculty. Consistent with our commitment of creating an academic community that is respectful of and welcoming to persons of differing backgrounds, we believe that every reasonable effort should be made to allow members of the university community to observe their religious holidays without jeopardizing the fulfillment of their religious obligations.

In particular, we believe that: 1) Faculty should provide course syllabi at the beginning of each term that specify dates of exams and due dates of assignments. Every effort should be made to avoid scheduling exams on religious holidays. (A calendar of religious holidays will be maintained on the Office of the University Chaplain web site.) It is the responsibility of students to review these syllabi as soon as they are distributed and to consult the faculty member promptly regarding any possible conflicts. Upon the timely request of students, faculty members should, whenever possible, reschedule exams and assignment deadlines that fall on religious holidays. In some cases, it may be advisable for the student to change sections or courses. 2) Students should not be penalized for class absences because of religious holidays. Students should notify the faculty member of conflicts due to religious holidays well in advance of any anticipated absence. If asked, the student should provide accurate information about the obligations entailed in the observance of that particular holiday. 3) Faculty should be permitted to reschedule class meetings that conflict with their observance of a religious holiday, assuring that appropriate advance notice is provided to both students and the department chairperson and/or dean.

In the past, issues such as those raised in this statement have been successfully handled by informal discussions among students, faculty, and administrators, when necessary. We hope and expect that such accommodations will continue to be made in the future. In the event, however, that agreement can not be reached through informal means, the student or faculty member should bring the issue to the office of the relevant school dean or, if necessary, to the Provost's Office. In the event that advice in resolving the issue is needed, the Provost may seek the counsel of a three person committee chaired by the University Chaplain and including a student nominated by the Associated Student Government and a faculty member nominated by the General Faculty Committee.

Holidays observed by many members of the university community include, but are not limited to: Rosh Hashanah; Yom Kippur; Sukkot; Passover; Shavuot; 'Id al-Fitr; 'Id al-Adha, and Good Friday. Information about these holidays and the dates of their observance is available on the web page maintained by the University Chaplain. More detailed information is also available on this web site. Please note that Jewish holidays begin at sundown the evening before the date listed."

Student Recitals The conduct of student recitals can be found in "Student Recital Policy and Procedures," which is available from the director of concert activities. Faculty members are expected to help ensure that the standards set forth in that statement are honored.

GOVERNANCE

The By-Laws of the Bienen School of Music detail the governance structure of the School and are summarized below. A complete copy of the By-Laws is available from the office of the dean and on the Faculty Only Information section of our website.

The School is divided into two academic **Departments**: the Department of Music Studies and the Department of Music Performance. The Department of Music Studies includes four programs: Music Composition; Music Education; Music Theory and Cognition; and Musicology. The Department of Music Studies is led by a department chair, who is assisted by coordinators for each program. The Department of Music Performance is organized into two divisions, led by co-chairs in each division, as follows: Regenstein Hall Division (Conducting — Bands and Orchestras; Jazz Studies; Strings; Winds [brass and woodwinds] and Percussion) and the Music Administration Building Division (Conducting – Choral Organizations; Piano; and Voice and Opera). Each of the two divisions is led by a co-chair, who is assisted by coordinators for the various programs.

Faculty Meetings provide the central medium for faculty participation in the governance of the Bienen School of Music and are held at least once each academic quarter. The voting members of the School include all tenured or tenure-track faculty; all faculty on the clinical track; all full-time faculty at the rank of lecturer or senior lecturer; and part-time faculty members at the rank of lecturer or above who have held more than a half-time appointment (minimum 51 percent FTE) for at least three consecutive years.

The **Faculty Executive Committee** serves in an advisory capacity to the dean on issues relating to faculty concerns and academic matters; it also serves as liaison between the faculty and the dean. The Committee consists of seven faculty members, elected by the voting faculty, as follows: three members each from Music Studies and Music Performance and one member-at-large.

The **Reappointment, Tenure and Promotion Committee** reviews the candidacy of tenured/tenure-track and clinical faculty for reappointment, tenure and promotion. Depending upon the nature of the review being conducted, the materials to be reviewed by the committee may include reports from the candidate's program committee, letters from eligible Bienen School of Music faculty, external letters, and the materials submitted by the candidate. The committee makes a recommendation on each case to

the dean. The committee includes five full-time tenured faculty members, elected by the voting faculty, three of whom must be full professors as follows: a) two members from the Department of Music Studies, at least one of whom must be a full professor; b) two members from the Department of Music Performance, at least one of whom must be a full professor; and c) one at-large member. Faculty members may not serve concurrent terms on the Reappointment, Tenure and Promotion Committee and the Faculty Executive Committee. Department chair/co-chairs and associate/assistant deans are ineligible for membership on the Committee.

The **Curriculum Conference Committee** reviews proposals for changes in curriculum and transmits its recommendations to the School faculty for action. The Committee membership includes the assistant dean for student affairs (ex-officio), department chair/co-chairs, four program coordinators (two from each department) selected by the respective chair. The assistant dean for student affairs will be responsible for convening the meetings and serving as committee administrator.

The **Academic Review Committee** advises the assistant dean for student affairs (undergraduate students) and the director of graduate music studies or director of music performance graduate studies (graduate students) on decisions relating to academic probation, suspension, and dismissal. Committee membership includes the assistant dean for student affairs; the director of admission, financial aid, and enrollment; two faculty representatives from the Department of Music Performance (one from each division), and one faculty representative from the Department of Music Studies. Faculty members are invited to serve by the assistant dean student affairs with the approval of the dean. The assistant dean for student affairs will be responsible for convening the meetings and serving as the committee administrator.

INFRASTRUCTURE

Responsibility for most matters of infrastructure is centralized in the office of the associate dean for administration and finance. This office oversees all business/finance and operational functions of the school, including budget allocations, management and reporting; payroll functions; payments to vendors and individuals; procurement; reimbursements; administrative processes; facilities management; information management systems; staff human resource management; contracts; management and maintenance of equipment and instruments; and information technology. Members of the faculty are urged to consult this office whenever issues relating to infrastructure arise. A description of the major policies guiding business conduct at Northwestern University can be found in *Standards for Business Conduct*, available at this URL: <http://www.northwestern.edu/auditing/how/standards.pdf>.

Requests for Programmatic Support Faculty members requesting funds from the School to support instruction (including capital equipment requests) should discuss those needs with the appropriate departmental chair/co-chairs and program coordinator, who manage budgets allocated by the school. Budget requests are normally due at the end of winter quarter of the year prior to the year in which the funds are desired and must include detailed justifications. The school provides budgets to departments,

programs, major ensemble areas, and special budget units. These budgets support specialized instructional needs of the respective areas and do not include faculty salaries and many other costs supported centrally by the school.

Faculty Travel Support The Bienen School of Music endeavors to support faculty travel for professional advancement, including active faculty involvement in national professional organizations and/or significant performance engagements. This support is limited to full-time faculty members. Faculty members are encouraged to seek external funding to support professional travel. Travel Request Forms are distributed annually by the associate dean for administration and finance and include detailed funding guidelines. Requests for travel support should be made by the dates specified on the forms. Support is generally provided based on the funding guidelines to offset the cost of transportation and lodging at the most economical rates. Transportation to state and regional meetings through the use of a University vehicle may be provided when appropriate. Reimbursements to individual faculty members are governed by the University's travel policy and procedures, available on-line at <http://www.northwestern.edu/financial-operations/policies-procedures/policies/travel.pdf>. The dean makes decisions on requests for funding, with advice from the department chair/co-chairs and the associate dean. Faculty are reminded that all out-of-town trips resulting in missed lessons, classes, or rehearsals must be approved by the appropriate chair/co-chairs or dean.

Facilities Management Issues relating to building management should be directed to the following offices:

- Office of the associate dean for administration and finance (for Music Administration Building, Music Practice Building, Regenstein Hall and 1818 Hinman Avenue). This office also manages the Millenium Access Control System used in the Music Administration Building, Music Practice Building Regenstein Hall, and 1818 Hinman.
- Office of the department of music performance (for specific Regenstein Hall issues).
- Office of concert management (for Pick-Staiger Concert Hall and Lutkin Hall).

Classrooms and Faculty Studios/Offices Faculty offices and studios are for the exclusive use of faculty members. Teaching studios should not be utilized by students for practice purposes unless expressly authorized by the faculty member. Staff members in the offices of the associate dean for administration and finance, the department of music studies, and the department of music performance at Regenstein Hall are instructed not to unlock faculty offices or studios for students unless specifically arranged by a faculty member. When students need to gain access to a faculty office or studio for the purpose of retrieving music or other articles, inquiries should be referred to department assistants or the office of the associate dean for administration and finance; access will not be granted without the permission of the faculty member.

If only as a matter of courtesy to colleagues, faculty members are expected to ensure that classrooms are restored to the standard arrangement if a class activity requires a special configuration of the seating. Equipment should not be moved from one

classroom or studio to another and should not be allowed out of the room to which it is assigned.

Security of Facilities Maintaining the security of Bienen School of Music facilities is the responsibility of every member of the Bienen School. Security issues are especially challenging in music schools classrooms, studios, and practice and rehearsal rooms that continue to be used during evenings and weekends. Faculty are expected to assist in ensuring that doors are kept locked when rooms are not in use and that access to buildings is limited to authorized individuals.

Practice Rooms The practice rooms are exclusively for the use of Bienen School of Music students and other University students enrolled in music courses, which would normally require the use of a practice room. Faculty members may not authorize private students (not enrolled in courses of the Bienen School of Music) to use practice rooms. The unauthorized use of practice facilities or equipment should be reported immediately to the University Police. Notices have been posted in all of the practice rooms indicating the policy for their use. Faculty members are expected to cooperate in seeing that this policy is enforced.

Other Bienen School of Music Facilities The use of classrooms, rehearsal spaces, other facilities, and/or equipment for non-Bienen School of Music purposes must be approved in writing by the school administration. Requests by non-University agencies should be referred to the office of the associate dean for administration and finance (for use of Music Administration Building, Music Practice, Regenstein Hall or 1818 Hinman Avenue) or the director of concert activities for performance venues (Pick-Staiger Concert Hall, Lutkin Hall, and Regenstein Master Class Room).

Keyboard Maintenance Pianos are tuned on varying schedules based on the instrument's function, use, and other considerations. Performance instruments are tuned frequently on an as-needed basis. Requests for repairs or additional tuning should be made directly to the director of keyboard maintenance, communicated by email or voicemail message.

Information Technology Issues relating to computer equipment, software and support for faculty offices and classrooms are handled through the Technology Administration Office (TAO), which is managed by the information technology support coordinator and overseen by the associate dean for administration and finance.

Photocopy Machines Photocopy machines in the Bienen School of Music are limited to copying of materials for administrative, instructional and research purposes only. They are intended for the exclusive use of faculty, staff, graduate/teaching assistants, and other student assistants under the direction of faculty. The Bienen School does not maintain a student copy center. Copyrighted materials may be photocopied only in accordance with the guidelines issued by the Music Publishers Association. These guidelines are posted at every copy machine and should be strictly followed. In addition to copyrighted materials, the following are inappropriate for copying on Bienen School of Music machines: personal materials; multiple copies of student term papers or projects

for distribution in class; anthologies used in courses; multiple copies of ensemble scores; and complete copies of copyrighted scores, etc.

Mail Services The purpose of the campus mail service is to facilitate communication related to University business. It should not be used as a personal resource, for political purposes, or by organizations that are not sanctioned by the University. Express mail services are not funded centrally by the Bienen School. If there are circumstances that require the use of these services, the appropriate budget unit account will be charged.

University Property Durable goods purchased with research funds awarded to a faculty member by the University are the property of the University. These funds include sponsored project monies awarded to Northwestern by an external granting agency upon application by a faculty member as principal investigator, research grants from the University Research Grants Committee (URGC), and any research allocations from University funds made to faculty members, including newly appointed faculty or faculty holding endowed professorships. Durable goods comprise such items as books, computers, related hardware and software, and other equipment; in the Bienen School of Music this policy is applicable when the combined value of such goods is \$500 or more. Faculty members who are leaving the University and wish to retain possession of University property must submit a written request to the dean and obtain the dean's approval in writing. In such instances, the dean may approve the request, deny it, or require itemized compensation by the faculty member to the University. Note also that items purchased with research funds awarded by external sources to the University may not be removed without the additional prior approval of the Office of Sponsored Research.

Contractual Agreements All agreements obligating Northwestern University Bienen School of Music must be signed by a designated officer; in the Bienen School these administrators are the dean and the associate dean for administration and finance. Faculty members may not sign such agreements. The director of concert activities is authorized to sign agreements with guest artists performing in Bienen School of Music concert venues.

The Bienen School of Music Website The website of the Bienen School of Music provides a window onto the School for various constituencies (alumni, prospective students and colleagues, donors, etc.). Members of the faculty are urged to ensure that the information on the website is current and complete. Changes to faculty profiles should be submitted directly to the communications/web manager (marck@northwestern.edu). Faculty achievements are reprinted in the school's magazine, *Fanfare*, and should be submitted to fanfare@northwestern.edu.

