

The guidelines described below are in line with established University policies and are designed to highlight appropriate uses of University funds for General Events, Faculty Recruiting, Speakers/Conferences, Student Entertainment & Recruiting, Travel, & Discretionary/Research Funding. Special circumstances and related requests for exceptions to any travel and entertainment policy should be directed to the Weinberg Dean's Office well in advance to allow for assessment and any necessary communication with University's central policy administration. This guide is meant to summarize and clarify NU policies and do not override or contradict them.

The policies and procedures herein apply to **all** sources of funds, but more restrictive policies and procedures may apply to certain sources of funds.

### **A) General Events**

*The following expenses are allowable:*

- Modest refreshments at **department/program-wide meetings** are allowable at either monthly or quarterly intervals. Lunch meetings should be in the range of \$8-10/person and held on campus; morning meeting refreshments should be kept to a minimum.
- **Annual holiday parties** and one **general appreciation party** or event are allowable and must be reasonable in scope, with one party per department, school, or unit, supported by unit funds. The maximum allowable cost is \$27/employee. Expenses for spouses and other dependents should generally be covered by personal funds; exception authorization should be discussed with the Dean's Office in advance. Other incidental costs incurred by faculty, staff and students in order to participate (such as parking and babysitting) are not allowable for reimbursement.

*The following expenses are allowable with prior budget approval from the Dean's Office:*

- Events to recognize **retirement** of University employees
- **Retreats** to analyze department or program issues. Ideally, such meetings should be held on campus.

*The following expenses are generally not allowable:*

- The cost of **meals during normal working hours** when not traveling. Specifically, meal reimbursement while visiting either the Chicago or Evanston campus for work-related purposes or reimbursement for "social meals", defined as two or more individuals from within the University eating together.
- **Purchase of food on a continual basis** for employees or students. Food purchased for a regularly scheduled weekly meeting or for daily consumption within an office or classroom is not allowed without an approved exception form.
- **Gifts and flowers** in celebration of other major life events (weddings, birthdays, births, promotions, dissertation defenses, or recognition of colleagues separating from the University). Contributions should be solicited from friends / fellow workers to cover the expenses of these occasions.

### **B) Faculty Recruiting Meals & Entertainment:**

Departments are encouraged to host a modest gathering or reception that enables all members of the department to meet the candidate. For meals at restaurants, the University allows up to three colleagues in addition to the candidate at a maximum cost of \$65 per person (including tax and tip) for a total cost of \$260. With advance permission and appropriate exception authorization from the Dean's Office, special recruiting meal limits for tenure-line faculty may be increased to \$90 per person (including tax and tip) for a total cost of \$360. Additional

policies and procedures related to faculty recruiting can be found in the Chairperson's Handbook. Candidate spousal expenses should be vetted and authorized by the Dean's Office in advance of reimbursement.

**C) Speaker Events & Conferences:**

- For **internal speakers** (from within Northwestern), it is appropriate to host a light on-campus reception, but not an external meal.
- For **external speakers** (from outside Northwestern), it is appropriate to host a light on-campus reception for the larger audience and to host an external meal with a smaller group. The cost of external meal(s) should not exceed a total of \$260 regardless of the number of meals or amount of participants. In cases with significant interdisciplinary objectives, total meal costs may not exceed \$325 (based on 5 people at \$65/person) and interdisciplinary objectives must be represented by meal attendance. In addition to modest receptions and meals, visiting speakers may be reimbursed for travel, lodging, meals, and incidentals; departments may decide whether or not to provide per diem (in lieu of reimbursing actual expenses) prior to the visit.
- For **conferences** held at Northwestern that are substantially supported by external funding or external participant fees, all conference participants may be included in meals. For conferences supported largely with University resources, the ratio of Northwestern faculty to external presenters at meals should not exceed 3 to 1.
- Budgets for **larger-scale conferences and events** consisting of expenses beyond standard meals should be submitted in advance to the Dean's Office for advanced review and approval.
- University-preferred vendors should be used wherever possible; **event contracts** for hotel booking, restaurant reservation, and catering should be routed to the Dean's Office well in advance for review and signature.

**D) Student Entertainment:**

*Undergraduate Student Entertainment & Recruiting:*

- Departments/Programs are encouraged to create community building amongst faculty and undergraduate students by planning **student engagement activities** either on or off campus, outside of class time. Events that extend the learning experience outside of class time are allowable for (a) majors/minors in a department/program up to once per month and (b) students in a specific class up to once per quarter. Faculty members must be present and activities should be of modest cost.
- **Food during class** will not be reimbursed and neither will end-of-quarter parties during or in lieu of class time.

*Graduate Student Entertainment & Recruiting:*

- Departments/Programs are encouraged to create **community building activities** amongst faculty and graduate students by planning up to one event per month. Large research lab communities, including a group of graduate students, may plan up to one event per quarter. These events should be of modest cost, extend the learning experience, and include faculty members.

- Graduate student events in restaurants/bars that implicitly encourage extended consumption of alcohol are not appropriate; the **ratio of food to alcohol** at all events should be reasonable.
- Faculty members are encouraged to build a positive relationship with their teaching assistants. To further this purpose, it is allowable for faculty to host a **meal or modest reception** up to one time per quarter for active teaching assistants.

**E) Travel:**

- **University travel centers** should be used wherever possible for business travel in order to take advantage of University pricing and avoid unnecessary outlay of employee's funds and the need for advances.
- **Per diems** are permissible for meals and incidental expenses (M&I) for authorized business travel for Northwestern employees travelling outside of the Chicago area and visitors traveling to campus, and do not require prior Dean's Office approval when charged to non-sponsored fund. Employees may not be reimbursed **for local Chicago-area lodging** or related travel expenses except in cases where late / early hours require such expenses and preapproval is authorized and documented by the Dean's Office. For **trips involving multiple locations** and/or are subsidized by institutions other than Northwestern, per diems are not allowable and reimbursement should be for actual expenses only.
- Faculty on **leave of absence** should consult with the Dean's Office about allowable travel expenses as they are applying for the leave. It is not allowable for discretionary funds to be used for standard living expenses (including food, lodging, travel) while on leave.

**F) Discretionary / Research Fund Guidelines**

Discretionary funds may be used for research, teaching and professional expenses, such as computer hardware and software (including a campus office computer), other equipment purchases, standard campus office furniture, technicians, postdoctoral fellows and other research assistance, manuscript preparation, purchase of books and supplies, research services, and travel for research and professional meetings. Items purchased become the property of Northwestern University. See the WCAS Mobile Communications for related allowable expenses and eligibility requirements.