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[kellogg.northwestern.edu/programs/PartTimeMBA](kellogg.northwestern.edu/programs/PartTimeMBA)

*Northwestern University reserves the right to change without notice any statement on its Website or in its publications concerning, but not limited to, rules, policies, tuition, fees, curricula and courses.*

*The policies and procedures listed are not all-inclusive and may be subject to change. For more information, please review the appropriate link at kellogg.northwestern.edu/ptmba_intranet or contact the Office of Student Affairs.*

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09-12/KSM-KM
This Policies and Procedures Manual is a resource to allow incoming and current students to manage their academic affairs at Northwestern University's Kellogg School of Management, and to understand their rights and responsibilities while enrolled in the MBA Program. This book serves as a supplement to the Northwestern University Student Handbook, which is available online (northwestern.edu/handbook) or in printed form to all students. The Northwestern University Student Handbook describes the expectations for behavior and conduct in the Northwestern community and outlines the procedures to be followed when these expectations are not met. It includes the Student Code of Conduct and the Academic Conduct Policies as well as other rules, regulations and policies governing student life. As Northwestern University students, Kellogg students are expected to abide by the policies of the Student Handbook as well as those found in this Policies and Procedures Manual.

ACADEMIC PROGRAM

The Kellogg School of Management at Northwestern University was founded in 1908 and is widely recognized as a global leader in graduate business education. The Chicago, Evanston and Miami campuses are home to renowned, research-focused faculty and to MBA students from around the globe. The Kellogg School includes the Full-Time, Part-Time and Executive MBA Programs and the nondegree Executive Education Program. The school offers three dual-degree programs: the MMM, JD-MBA and MD-MBA. In addition, the Kellogg School of Management has alliances with business schools throughout Europe, Asia and North America.

Evening Program

Part-Time MBA students in the evening program (who are not enrolled in the accelerated option) are required to earn 20.5 credits, including the core courses, Leadership and Crisis Management (KPPI 440A) and at least one major. Students who matriculated (that is, began their Kellogg studies) during or prior to Spring 2013 must also complete a global elective.

Evening program students can take up to three credits per quarter, which would allow them to complete the program within seven quarters. Students taking less than a full load have up to five years to complete the program. This highly flexible curriculum allows students to tailor the program to meet their individual interests and needs.
Evening program students must complete (or waive) the core courses and KPPI 440A within the first 12 credits of study (including transfer credits); otherwise, a hold will be placed on the student’s account.

**Saturday Program**

Part-Time MBA students in the Saturday program (who are not enrolled in the accelerated option) are required to earn 20.5 credits, including the core courses, KPPI 440A and at least one major. Students who matriculated during or prior to Spring 2013 must also complete a global elective.

Saturday students can take up to three credits per quarter (if they are also able to take evening classes). They have up to five years to complete the program.

Saturday students start the program in the summer as a cohort class, taking the core curriculum and KPPI 440A in their first year. The second and third years are spent taking elective courses. The Kellogg Part-Time MBA Program guarantees that Saturday students will be able to complete majors in Finance, Management and Strategy, and/or Marketing through Saturday-only course offerings. Other majors may be possible, depending on other Saturday course offerings and the student’s ability to take evening classes.

**Accelerated Option**

Accelerated option students in the Evening and Saturday programs are required to complete 15.5 credits, including Leadership and Organizations (MORS 430), Business Strategy (MGMT 431), any single missing core course (for those students who completed only five of the six required pre-Kellogg courses), Leadership and Crisis Management (KPPI 440A) and at least one major.

Students who matriculated during or prior to Spring 2013 must also complete a global elective. Accelerated option students can take up to three credits per quarter. They can complete the program in as few as five quarters, but have as long as four years.

**TRANSFER FROM PART-TIME TO FULL-TIME PROGRAM**

Transfer into the Full-Time Program is restricted to students whose circumstances do not allow them to complete their MBA degree as originally planned in the Part-Time Program.

Transfer from part-time to full-time may take place only at the beginning of the fall quarter. Students should have at least completed their first year in the Part-Time Program. They will be joining the rest of the students who have completed their first year in the Full-Time Program.
The following minimum requirements must be satisfied for transfer:

— The core curriculum must be completed
— PT Traditional Students: at least 9 credits must be completed as a part-time student by the end of the summer quarter preceding fall start. It is recommended that traditional students have not completed more than 11 credits by this time.
— PT Accelerated Option Students: at least 3 credits must be completed as a part-time student by the end of the summer quarter preceding fall start. It is recommended that accelerated option students have not completed more than 6 credits by this time.
— A detailed letter of request to transfer must be sent to Dean Krueger, stating that the student wishes to transfer and the reason(s) why. This letter must be received by January 31, 2014. No exceptions will be made.
— The student will be interviewed by members of the Full-Time Student Life team. This interview will take place in Evanston during the winter quarter.

Final decisions for transfer students will be made by early April. Students will be notified by email.

Please note that all transfer request letters must be received by Dean Krueger by Friday, January 31, 2014.

DEGREE REQUIREMENTS

TRADITIONAL PROGRAM
A total of 20.5 credits are required to complete the traditional Part-Time MBA degree.

Core Courses (8.5 credits)

— ACCT 430: Accounting for Decision Making (1 credit)
— MORS 430: Leadership in Organizations (1 credit)
— MGMT 431: Business Strategy (1 credit)
— DECS 430: Business Analytics I (0.5 credits) or DECS 433: Decision Making Under Uncertainty (1 credit)
— DECS 431: Business Analytics II (1 credit) or DECS-434: Statistical Methods for Management Decisions (1 credit)
— MECN 430: Microeconomic Analysis (1 credit)
— FINC 430: Finance I (1 credit)
— MKTG 430: Marketing Management (1 credit)
— OPNS 430: Operations Management (1 credit)

KPPI 440A: Leadership and Crisis Management (0.5 credits)
This course was formerly known as SEEK 440A. Attendance is mandatory for all sessions.

Global Elective (1 credit)
For students in the Part-Time MBA Program who matriculated during or prior to Spring 2013, one credit must be completed in an internationally oriented activity, either through an academic discipline-based course, participation in an experiential learning course with a broad focus, or a foreign immersion experience. Students may complete this requirement at any point during their time at Kellogg, but it must be satisfied prior to graduation. The course(s) used to satisfy the global elective must be taken for a letter grade, and independent studies may not be used.

The options for satisfying the global elective are available here: kellogg.northwestern.edu/faculty/academics/global.

Additional Electives (11.5 credits)
Students complete 11.5 elective credits to fulfill the 20.5 credits required for graduation.

The core curriculum and KPPI 440A must be taken within the first 12 credits of study.

Accelerated Option
A total of 15.5 credits are required to complete the accelerated Part-Time MBA degree, including:

— MORS 430: Leadership in Organizations (1 credit)
— MGMT 431: Business Strategy (1 credit)
— Any single missing core course (if the student has completed only five of the six required pre-Kellogg courses):
— KPPI 440A: Leadership and Crisis Management (0.5 credits)
— At least one major
— Global elective (1 credit) — required for students who matriculated during or prior to Spring 2013. Global elective options are available here: kellogg.northwestern.edu/faculty/academics/global.
— Sufficient electives to fulfill the 15.5-credit minimum.
A student cannot take a core course that was considered waived as part of his or her 15.5 credits. If a student believes one of these core courses is necessary for his or her studies, the student may take the class as an extra course without credit, and tuition will be charged.

**COMPLETING A MAJOR**

Students are required to complete at least one major by the end of the program. A course may count toward more than one major; however, courses earning a pass/no credit grade or an F grade cannot count toward the major. An independent study project may be counted toward only one major, and the supervising professor must be affiliated with the department offering that major.

The Program Planning Guide with a sample schedule can be found here: kellogg.northwestern.edu/ptmba_intranet/academics/program_planning_guide.

**MANDATORY FIRST CLASS ATTENDANCE POLICY**

Before the start of the class, registration for Mandatory First Attendance courses works as for any other course.

To remain enrolled in a course with a Mandatory First Attendance designation, the student must attend the first session. The professor will instruct the registrar to remove students who did not attend the mandatory first class and to add, in order of the waitlist, students who did attend the mandatory first class.

When a course is marked Mandatory First Attendance and the first class has passed, students will not be able to add themselves to the roster or waitlist, or automatically move from the waitlist onto the roster, if they did not attend the first class session. After the mandatory first class has started, only the registrar can move a student into the class, and will only do so based on a request from the professor.

These adds and drops are entirely at the professor’s discretion. If a student was not on the roster and did not receive an email from the professor informing him or her that he or she would be added, the student will not be added.

Professors whose courses have a Mandatory First Attendance designation must allow students to miss the first session and remain enrolled in the course for specific excused absences. To qualify for an excused absence, the student must contact the professor via email prior to the first class. Further, the reason for the absence should meet one of the following conditions:

- Religious holiday
- Medical emergency
- Funeral attendance
- Natural disasters or other “acts of God”
A professor’s discretion shall prevail in the event of other extenuating circumstances not listed above.

NOTE: Waitlists are cleared at the end of the first week of class. If someone else drops after the add deadline, a student on the waitlist cannot be added, even if the student attended the first class.

GRADUATION

All students who will be completing the MBA degree in the current academic year are required to file an Application for Degree according to the deadline set forth by the registrar. Student transcripts must be reviewed and cleared for students to be allowed to graduate. Students who complete the graduation requirements within an academic year must graduate within that period. Diplomas will be withheld if there are any outstanding holds on student accounts.

CORE COURSE WAIVERS

If any of the required core courses covers material in which a student is already proficient, the faculty strongly encourages a student to request a course waiver, if available.

There are two ways students may waive a core course: by application and/or by exam. Specific requirements vary by department. No student may waive MORS 430 (Leadership in Organizations) or MGMT 431 (Business Strategy).

Coursework completed within the past year with a grade of B or better may be considered in waiver decisions. If a student obtains a waiver, he or she will either be exempt from the course discipline or may be required to complete a more advanced course in that subject area before graduation. A waiver does not decrease the number of credits required to graduate.

Core course waiver procedures described above do not apply to students in the accelerated option.

ACADEMIC ADVISING

The academic advisor and the assistant dean, student life, are available for academic advising. Call the Part-Time MBA Office at 312.503.8385 to find out the best way to schedule an appointment. Faculty members also provide academic advising in their second-floor mezzanine offices in the hour preceding classes.

As with all instructors at Kellogg, department chairs are available by appointment. More information regarding academic departments, including department chairs
and contact information, can be found at kellogg.northwestern.edu/faculty/academics.

TRANSFER CREDIT

In certain circumstances, the Part-Time MBA Program at the Kellogg School of Management allows current and incoming students in the traditional program to transfer up to three credits (four credits for those who matriculated prior to Spring 2013) earned at another AACSB-accredited graduate school of management or business and apply these credits toward the requirements of their Kellogg degree. The Part-Time MBA Program is the only Kellogg program that offers this option.

NOTE: Accelerated option students are ineligible for transfer credits. In extreme situations, however, up to two transfer credits may be considered, but only at the end of a student’s curriculum, and only if the student would otherwise be unable to complete his or her degree at Kellogg. Such situations are evaluated on a case-by-case basis.

Two circumstances warrant the consideration of transfer credits:

Incoming students who have earned credits at another AACSB-accredited graduate school of management or business.

Current students who must relocate outside of the Chicago area, are within three credits of earning their Kellogg degree and are unable to enroll in Saturday courses.

A transfer credit must have:
- Been completed with a grade of B or higher
- Not been used toward the completion of another degree
- Involved at least 30 hours of classroom instruction (no online courses accepted)
- Been similar in content to a course offered at Kellogg
- Been completed no more than 2.5 years prior to the student’s starting the Kellogg Part-Time MBA Program and within the maximum length of time allowed for completion of the Kellogg MBA degree.

Course equivalents of MORS 430 (Leadership in Organizations) and MGMT 431 (Business Strategy) are not eligible for transfer credit. Transfer credits are not included in the Kellogg cumulative grade point average (GPA) and do not count toward fulfilling the requirements of a Kellogg major or the global elective (required for those students matriculating during or prior to Spring 2013).

Requests for transfer credit must include an official copy of the transcript, course
catalog description, and syllabus sent to the attention of the academic advisor. The deadline for preapproval of courses intended for transfer credit to Kellogg is approximately 1.5 quarters prior to when the course is to be taken.

Please see the detailed online application instructions and deadlines posted on the Part-Time MBA Student Intranet at: kellogg.northwestern.edu/ptmba_intranet/academics/transfercredit.

**COURSE REGISTRATION**

Students register for courses via the Web registration system according to designated registration times, depending on the student’s program (evening, Saturday or accelerated) and the number of credits he or she has as of the beginning of the prior quarter (does not include credits in progress). Students are expected to check the registration calendar on the Part-Time MBA Student Intranet to find out when they are eligible to register. Traditional Saturday students are automatically registered for the core courses in their first year.

During the initial Web registration periods, second and third year Saturday students register for Saturday classes only and all evening students register for evening classes only. Following the initial Web registration period, subsequent add/drop periods will be available. These periods are open enrollment and all classes are made available to all students regardless of program. Students who need to drop all classes must come into the Part-Time MBA Office and fill out a withdrawal form.

It is the students’ responsibility to check their student accounts via CAESAR for any outstanding holds that may prevent them from registering for classes. Students are also expected to read the Web registration instructions so that they are familiar with how to use the system.

Students should adhere to Web registration procedures and dates posted on the Part-Time MBA Student Intranet.

**DROPPING AND ADDING COURSES**

Subsequent add/drop periods will be available following the initial Web registration period and are open enrollment. Students should follow the dates posted on the Part-Time MBA Student Intranet.

Be aware of course attendance policies when confirming schedules. Students missing more than 20 percent of a class may be removed from the roster. Nonrequired courses are not repeatable, except in extraordinary circumstances. If a student retakes a failed course, the original grade will remain on the transcript.
This is true of both Kellogg and non-Kellogg courses.

Individual faculty may not approve course adds or drops outside of Registration Department policies and deadlines.

Courses may be dropped without academic penalty up to the point at which 40% of the class (not including finals week) is completed: through the fourth week for ten-week courses and the second week for five-week courses. Classes dropped after this drop deadline will appear on the transcript with a grade of W (withdrawal). Students should confirm add and drop dates with the Registration Department.

Full tuition refunds will be given to courses dropped by the first Saturday of the quarter; diminishing tuition refunds will be given as the quarter progresses, according to the refund policy stated on the Tuition Payment/Financial Aid webpage: kellogg.northwestern.edu/PTMBA_Intranet/course_management/tuition_finaid.

If all classes are dropped, students must come to the Part-Time MBA Office and fill out a withdrawal form.

**INDEPENDENT STUDY**

An applicant for independent study must have an academic record that indicates the scholastic ability necessary to undertake such study with acceptable results. Ordinarily, a cumulative GPA of 3.0 will be required. Students are restricted to one credit of independent study per quarter, with a program maximum of five credits. An independent study project may be counted toward only one major, which must be listed on the Majors and Requirements webpage, and the supervising professor must be affiliated with the department offering that major.

The student should work with the supervising professor to complete an application form in detail, and submit the completed form to the chair of the professor’s academic department for approval. The form, with departmental approvals, should be received by the Part-Time MBA registrar by the add deadline (usually the end of the first week of classes) for the quarter in which the independent study occurs.

For students doing group independent study projects, each student must submit his or her own paperwork.

The Part-Time MBA registrar will notify the student, as well as the department, when final approval and enrollment are complete.
IMMUNIZATION REQUIREMENT

The State of Illinois College Student Immunization Act, 110 ILCS 20, requires universities to obtain and retain proof of immunizations for all persons enrolled half-time (two credits) or more. Students who fail to submit the required documentation and fully comply with immunization requirements will be prohibited from future course registration and Northwestern University student access until they provide the necessary documentation.

GRADING

The grades A (excellent), B (good), C (fair), D (poor) and F (failing) indicate the quality of academic achievement for Kellogg students. A cumulative GPA of C in all courses attempted is the minimum required for degree conferment.

A failure in a required course must be made up by repeating the course or a substitute course as specified by the appropriate department. The department also will determine whether the student may register in the next course in a sequence prior to repeating the failed course. Students may repeat an elective course for which they received a failing grade. For all courses repeated, both grades will be recorded on the transcript.

If students take or are given an X (excused absence for exam) or Y (incomplete) grade, they must make up the work within the next registered quarter. If they fail to make up the X or Y grade after one quarter, the grade will automatically become an F unless the student receives a written extension with a specific date of completion from the professor. If the work is not completed upon completion of degree requirements, a grade of F will be assigned before the degree can be conferred.

PASS/NO CREDIT GRADING

Kellogg students in pursuit of an MBA degree are allowed to elect the Pass/No Credit (P/NC) option to take a more aggressive class schedule or to try out new subjects. The P/NC option may be used for a total of two credits in any combination of 1 and 0.5 credit courses during any quarter or quarters. If an A, B, or C grade is earned, a grade of P will be awarded and will count toward graduation credits. A grade of D or F will result in a grade of N (no-credit) and the course will not count toward graduation credits. The P or N grade will appear on the transcript but will not be included in GPA calculation.

The P/NC option cannot be used for core courses, non-Kellogg courses, Global Initiatives in Management courses, KPPI 440A, the global elective (required for students who matriculated during or prior to Spring 2013) and most lab classes. Independent study courses may be taken P/NC with the permission of the
instructor. To use the P/NC option to fulfill the minimum requirements for a major, the target grade option described below must be selected and achieved.

The P/NC option also allows students to set a target grade (A, B or C) in lieu of the P/NC grade. If the target (or higher) grade is achieved, the grade received will become the grade of record, will be used in the GPA calculation and will be reflected on the transcript. For instance, if a student sets a target grade of B, and earns an A or B, then the letter grade the student earned would be awarded instead of the P or N grade. But if a C grade is earned, a grade of P would be awarded. In each of these scenarios, the P/NC option is considered used. The only way the P/NC option can be used to fulfill minimum requirements for a major is if the student specifies a target grade of A, B or C and receives a grade at least as high as the target. In other words, courses with a P or N grade on the transcript will not count toward any major.

The P/NC option and target grade must be submitted by the Add deadline for that course. Once the Add deadline passes and a course has been designated as P/NC, the option is considered used regardless of the grade outcome or whether the student later drops the class.

**FINAL EXAMS**

All students must take in-class final exams as posted on the academic calendar on the Kellogg website. An exception to this requirement requires professor approval and coordination with the academic advisor.

**STANDARDS OF PROGRESS**

All students are expected to have at least a 2.0 (C) cumulative GPA to continue enrollment subsequent to the completion of six courses. A cumulative GPA of 2.0 in all courses attempted is required for degree conferment.

At the end of any quarter, a student whose cumulative and/or quarterly GPA for the quarter is below 2.0 will receive a letter of reminder to indicate academic deficiency and a copy of the standards of progress. The Academic Standing Committee will review all cases of academic deficiency and will allow exceptions to the above rules for medical or other extraordinary circumstances. Any student whose academic standing has been subject to action may appear before the committee to discuss his or her status.

**REGRADING POLICY**

Any student who wishes to contest a grade given for work completed at Kellogg should adhere to the following procedure:

1. Students have up to 10 business days after written work has been graded and returned to them to submit it for regrading. If the work is returned to students at the end of the quarter, they have 10 business days from the
beginning of the next registered quarter to resubmit the work for regrading. In contesting a grade, the entire work may be reviewed, not only the sections in question, and the final grade adjusted accordingly.

2. Submissions for regrading must be made in writing, with the student outlining the specific areas of the work that he or she feels were incorrectly graded. All submissions should be signed and dated by the student.

3. Professors should regrade the work and return a written response to the student within 20 business days after the initial return of the paper, explaining the results of the review and indicating whether the student’s grade has changed. Written confirmation of the decision should be submitted by the professors. (Off-campus faculty may be granted additional time by the senior associate dean or Registrar’s Office.)

4. If a student remains dissatisfied with the grading process, he or she will have up to five business days after receiving the regraded work to submit it a second time for regrading, as outlined in step 2 above.

5. Professors should regrade the work within five business days of receiving it, as outlined in step 3. This concludes the grading appeal process.

Professors’ judgments on second submissions of written work will be final. There are no provisions for student appeal to outside parties in resolving grading disputes.

Grade changes are not possible after a degree is conferred.

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LEAVES OF ABSENCE

If a student needs to take off two or more quarters for academic or personal reasons, he or she may be granted a leave of absence with approval from the Part-Time MBA registrar. After receiving approval, the student must notify all relevant university offices, including financial aid, student accounts and career management.

Students on leave are required to notify the registrar one full quarter prior to their return to Kellogg. Most leaves are one year or less; however, individual circumstances determine justification and duration. Students in good standing have up to four years to complete the accelerated option Part-Time MBA degree requirements and up to five years to complete the traditional program.

Students returning from leaves of absence must follow the guidelines and requirements for the class with which they will graduate.
Students are not required to obtain approval to take one quarter off. However, they must notify the registrar by emailing ptmba-registrar@kellogg.northwestern.edu.

EMPLOYMENT POLICY

The Part-Time MBA Program was designed by the faculty to help students develop the insight and capacity for making on-the-job contributions that lead to increased managerial responsibilities.

The Part-Time MBA Program is specifically designed to coordinate with the student’s career path; therefore, the applicant must be employed full-time to be eligible for enrollment in the program.

Kellogg recognizes that situations may develop which are out of a student’s control (e.g., downsizing, forced out-of-state relocation, firing, etc.). As a result, the policy regarding full-time employment is as follows:

— If, for any reason, a current part-time student becomes unemployed, he or she must notify the Part-Time MBA Program’s assistant dean, student life as soon as possible.
— This notification should be in writing and should fully explain the situation. (Please note that this information will be considered personal and confidential by the assistant dean, student life.)
— If a student would like to continue enrollment in the Part-Time MBA Program, he or she must petition the administration for continuance of enrollment.
— If approved, the student will be given a six-month (or two-quarter) grace period in order to continue in the Part-Time MBA Program while attempting to find new employment. During this grace period, the student may still register for a maximum of three credits per quarter.
— If, after the six-month grace period has expired, the student is still unemployed, he or she will be placed on inactive status within the Part-Time MBA Program. An inactive student cannot register for classes and/or participate in any official Kellogg activities.
— However, a student placed on inactive status can formally petition a Part-Time MBA student committee for continued registration as a part-time student. The assembly of this committee will be under the jurisdiction of the Kellogg Part-Time Student Association’s (KPTSA’s) vice president of academics.
— This committee of peers will recommend to the administration whether
the student should be allowed to continue his or her registration in the Part-Time MBA Program, or whether the inactive status should continue to be imposed.

— The inactive status will continue until the student obtains a career-path-enhancing, full-time job and feels comfortable with handling the demands of work and school. At this point in time, he or she should petition for reinstatement into the Part-Time MBA Program.

— All information provided by students is done so with full knowledge of the Kellogg Honor Code. It is the belief of the faculty, administration and the KPTSA that enforcement of the full-time employment policy is in the best interest of the Part-Time MBA Program.

INTERNATIONAL STUDENT EXCHANGE PROGRAM

Students may participate in short-term, study-abroad programs at Kellogg’s partner institutions. Enrollment is limited and follows an application process. Tuition is paid to the home institution, and students are billed as if they were attending Kellogg. Students are expected to follow the same level of academic standards at their exchange schools.

HONORS AND DISTINCTIONS

Students possessing a final GPA within the top 10 percent of the graduating class receive an MBA degree with distinction. This honor will be noted on the diploma and the official transcript. Also, these students are nominated for induction into Beta Gamma Sigma, an international honor society for business students.

Other awards include department Top Student Awards and the Dean’s Distinguished Service Awards for service to Kellogg.

The Jane Robertson Memorial Academic Excellence Award is presented each year to Part-Time MBA Program students who complete their first 10 classes with a cumulative GPA of 4.0 (measured at the end of the fall quarter each year, excluding KPPI 440A). The award is the only one of its kind, created by students to honor fellow classmates for academic achievement.

The Dean’s List is tabulated and posted following the fall and spring quarters. It honors students with GPAs of 3.75 or higher for at least three credits taken during the summer and fall quarters (for the post-fall quarter reporting) and winter and spring quarters (for the post-spring quarter reporting). This honor is noted on the official transcript.
DEGREE ENHANCEMENT PROGRAM (DEP)

The Degree Enhancement Program (DEP) allows graduates to take up to six Kellogg courses, free of charge, in the two academic years following graduation. It is an excellent opportunity to explore a new interest, pursue an extra major, develop skills or stimulate intellect.

Upon entry into DEP, a Part-Time MBA Program graduate will sign an agreement stating that he or she will abide by the Kellogg Honor Code and the following program guidelines:

— A maximum of six Part-Time MBA Program courses can be completed with no tuition charge.
— Courses must be completed during the two academic years following graduation from Kellogg. (For example, members of the Class of 2014 must complete their DEP courses during the 2014-2016 school years.)
— DEP participants will be allowed to enroll in open courses after all Kellogg degree-seeking students have registered.
— DEP registration will be available after initial Web registration for current students. Students in DEP will register manually with the assistance of the Part-Time MBA Program registrar and registration will be accommodated on a first-come, first-served basis.
— Each quarter, DEP participants will select from a list of available courses. Acceptance will be based on availability as well as faculty approval. It is up to the discretion of the faculty member to decide whether to accept DEP students.
— Once enrolled in a course, the DEP student must satisfy the same requirements as any other student in the course. DEP students cannot use the Pass/No Credit option.
— The final grade received in the course will be included on the DEP participant’s existing Northwestern University transcript. As a result, courses taken through DEP can be used to satisfy requirements for additional majors to the participant’s MBA.
— Any DEP student who drops a course between the third and 10th week of any class will forfeit his or her opportunity to register for any future courses offered in the program.
— The Kellogg School reserves the right to withdraw a student from DEP at any time.
— The Kellogg School will evaluate DEP on an annual basis and reserves the right to change or cancel the program at any time.
FINANCIAL POLICIES AND PROCEDURES

Each student is responsible for his or her financial obligations to Northwestern University, even if financially sponsored in full or in part by a third party. Any questions about university financial procedures should be directed to the Office of Student Accounts, 710 North Lake Shore Drive, Chicago, IL 60611, or call 312.503.8503.

Failure to read Northwestern University financial regulations does not excuse the student from compliance with rules and regulations therein stated.

Students whose university bills are overdue will not be able to register for classes, be given a diploma or transcript or have their enrollment or degree confirmed until all financial obligations are paid in full. A student whose account is overdue must pay a late payment penalty fee. The Northwestern director of student accounts may cancel the registration of a student whose bills are past due.

BILLING PROCEDURES

Part-Time MBA students are charged per credit on a quarterly basis. Students are billed each quarter based on the number of registered credits.

Quarterly tuition is typically billed the month prior to the beginning of the quarter and after registration has taken place. Tuition and fees bills are delivered electronically via CAESAR (CAESAR > Student Center > View e-Bill & ePayment). When each new bill is posted online, an email notice is sent to the student’s Kellogg email address.

All students are responsible for tuition payments. Please visit the Part-Time MBA Student Intranet for current information on deadlines and payment options.

A late-payment fee is assessed once each quarter on amounts remaining unpaid after the due date.

Students expecting to receive student loan funds are responsible for the balance of their tuition by the Student Accounts deadline if the disbursement(s) does not cover the full tuition expense for a given quarter. A late fee will be assessed if the balance is not paid by the tuition due date. A late fee caused by delayed financial aid may be canceled, providing the non-financial-aid balance is paid by the original due date.

Any questions about university financial regulations should be directed to the Office of Student Accounts, 710 North Lake Shore Drive, Chicago, IL 60611, or call 312.503.8503.
WITHDRAWALS AND REFUNDS

The Part-Time MBA Program registrar must be notified in person or in writing of a student’s withdrawal. The reason for withdrawal must be approved by the Office of the Registrar. Simply ceasing to attend class does not constitute official withdrawal.

All tuition adjustments are computed as of the date on which the official withdrawal notice is received. Adjustments are not made on the basis of attendance in class. In all cases of withdrawal from the school, after the beginning of a course, adjustments on tuition charges are made in accordance with the university schedule posted on the Part-Time MBA Student Intranet.

If a student withdraws from one or both courses during a quarter in which federal loans have been disbursed, loan funds will be returned if 60% of the quarter has not elapsed. The student will be responsible for paying any resulting tuition balance using his or her own funds.

FINANCIAL AID

Information on applying for and receiving financial aid is available on the Chicago Office of Financial Aid’s website for Part-Time MBA students: chicagofinancialaid.northwestern.edu/landing/kellogg_pt_mba.html.

Students must enroll half-time (two credits) per quarter in order to be eligible for federal loans. Private loans are usually offered to students who are enrolled less than half-time.

Satisfactory Academic Progress (SAP) Policy for Financial Aid Recipients

Federal regulations require all recipients of federal financial aid (including unsubsidized Federal Direct Stafford Loans and Federal Direct Graduate PLUS Loans) to maintain satisfactory academic progress (SAP) in their program of study. It is also the university’s expectation that students will make progress toward completion of their degree in which they are enrolled. These requirements apply to students for all quarters of enrollment within the academic year, even if no financial aid was granted for that quarter of enrollment.

Part-Time MBA students must demonstrate SAP in the following three ways:

1. By maintaining a cumulative GPA of 2.0 or higher on a 4.0 scale.
2. By completing two-thirds of all credits attempted per academic quarter.
3. By completing their program of study within a specific time period.
Courses dropped after the end of the Part-Time MBA designated drop/add period will be counted toward credits attempted. Grades of D, F, Y (incomplete), W (withdrawal), X (excused absence for exam) or N (no credit from a P/NC class) do not satisfy the requirements for the two-thirds completion rule.

The maximum time limit for completion of the Part-Time MBA degree is five years for students in the traditional program and four years for students in the accelerated option.

All periods of enrollment, including summer quarter, are counted toward the maximum time limit. Periods of academic leave or nonenrollment will not count against the maximum time limit.

Remedial and repeated coursework is counted in the same manner as all other coursework for the purposes of SAP.

Students who earn credits through a consortium/contractual agreement do not qualify for additional terms of eligibility.

Students who have completed all required coursework for their degree but have not yet received the degree cannot receive further federal financial aid for that program.

Students must be on track to complete their degree within their maximum time frame in order to maintain their financial aid eligibility.

Students who have questions about determining their personal maximum time frame may contact the Chicago Office of Financial Aid, 710 North Lake Shore Drive, Chicago, IL 60611, or call 312.503.8722.

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**EVALUATION OF SATISFACTORY ACADEMIC PROGRESS**

Evaluation of SAP is made at the end each academic year (end of spring quarter) by the Chicago Office of Financial Aid once grades are published in the university system. This review includes a manual review of grades received, courses attempted, pace toward graduation and GPA.

**SAP Suspension**

Students who do not meet the terms of SAP will be subject to an SAP suspension, during which the student will not be eligible to receive federal financial aid. In order to reinstate federal financial aid eligibility after an SAP suspension, students must meet the following criteria for reinstatement:
— Complete 100% of the courses enrolled in for the suspension quarter with a grade of C- or higher. Grades of D, F, X, Y or W will be considered insufficient for meeting satisfactory academic progress. Such grades disqualify the student from receiving financial aid in the following quarter.
— Complete at least two courses according to the criteria above.
— Any quarter in which the student does not enroll does not count toward SAP. Therefore, the suspension period will roll over to next quarter of enrollment.
— Any courses in which the student is enrolled at the end of the Part-Time MBA drop/add period will count toward the SAP calculation. Therefore, any classes dropped after that date will mean a failure to complete 100% of enrolled courses with a grade of C- or higher and will result in the continued suspension of financial aid.
— Maintain or achieve a cumulative GPA of 2.0 or higher.

Once a student meets all requirements for reinstatement of financial aid after a suspension, it is the student’s responsibility to contact the Chicago Office of Financial Aid to request an SAP review for reinstatement of federal financial aid eligibility. Once the Chicago Office of Financial Aid determines that a student is now in compliance with SAP requirements, aid will be reinstated for the following academic quarter.

**Appeals**

If a student fails to meet the SAP requirements as stated above due to extenuating circumstances, such as a family member’s death, illness (of the student or immediate family member), etc., the student may submit a written appeal to the Chicago Office of Financial Aid. The appeal must be received by the Chicago Office of Financial Aid prior to the first day of the subsequent academic quarter.

The written appeal should explain any relevant extraordinary circumstances, address the reason(s) for failing to meet the minimum academic requirements and offer some solution to the problems that affected prior academic performance. Supporting documentation, such as statements from academic advisers, professors, professional healthcare providers, etc., may also be requested. The appeal will be reviewed by a committee chaired by the director of financial aid.

All decisions made by the committee are final. Students will be notified if their appeals are granted or denied via their Kellogg email accounts.

If an appeal is granted, the student will be placed in one of two categories: SAP probation or SAP academic plan.

**SAP Probation:** If a student is placed on SAP probation after an appeal, he or she will be eligible for aid during one additional academic quarter. During the
probationary period, the student must meet all SAP requirements. If the student fails to meet SAP during the probationary period, the aid will be suspended without the ability to appeal. In order to reinstate federal financial aid eligibility after an SAP suspension, students must meet the criteria for reinstatement listed above without the use of federal financial aid.

SAP Academic Plan: Students may be placed on an academic plan upon submission of a successful appeal. If it is mathematically impossible for a student to resolve all deficiencies during one quarter of attendance and the student’s reason for appeal is appropriate according to federal regulations, the student may be placed on an academic plan with the end goal of resolving all deficiencies. An academic plan varies in length and is determined by the SAP Committee. It does not have to equate to the exact number of quarters it would take a student to resolve all deficiencies. If the student is meeting the criteria identified in the SAP appeal approval at each quarter review, the student’s academic plan may be extended.

Special Considerations for First-Time Financial Aid Applicants

Current students who apply for financial aid are required to meet the SAP requirements. If students are currently enrolled but have not received federal financial aid for previous terms of enrollment in their current program, they are considered to be first-time financial aid applicants. Their previous coursework must meet the SAP requirements. If it does not, the students will need to complete an SAP appeal for first-time aid filers. The appeal should include the following:

1. A specific reason, event or circumstance that prevented the student from meeting the SAP requirements.
2. A specific plan/corrective action to improve academic progress.

GRIEVANCE PROCEDURE

If a student wishes to express a grievance about another student or a faculty or staff member, he or she should first visit the assistant dean, student life or the dean of students. To file a formal grievance, the student will be asked to document the issue. Grievances are channeled through the chain of administrative command and may be reviewed by a special committee or the dean.
CLASSROOM AND FACILITIES USE

The Part-Time MBA administration manages classroom schedules for Kellogg classes in Wieboldt Hall. Students may reserve group study rooms online or reserve a classroom through the Part-Time MBA Office, but only for official Kellogg club or academic purposes; rooms may not be reserved for personal use. Only students who are taking classes in Wieboldt Hall are allowed to use its facilities.

KELLOGG DIRECTORY AND LISTSERV USE

Kellogg students have full access to the email directory of all members of the Kellogg community (students, faculty and staff). Access to this contact information is a privilege that may be revoked if abused. Students may not use their access to the email directory to create listservs for class projects or for personal/business purposes and may not share this contact information with anyone outside of the Kellogg community.

Broadcast emails are used to communicate events, information and emergency situations that pertain to the entire student body. The following are examples of a few of the things that are not appropriate for broadcast emails: club-specific events or announcements, requests to help with surveys or research, lost and found items, results from contests, apartments for rent, etc. In addition, commercial advertising (for profit or nonprofit/charity) may not be sent out by broadcast email, nor will it be posted on the Part-Time MBA Student Intranet announcements.

UNIVERSITY HEARING AND APPEALS SYSTEM (UHAS)

The University Hearing and Appeals System is Northwestern University’s formal campus judicial process for conduct violation. The Northwestern University Student Handbook (northwestern.edu/handbook) describes the system in detail.
SERVICES FOR STUDENTS WITH DISABILITIES

Students who need assistance due to any disability must first apply to the Services for Students with Disabilities Office, 601 University Place, Room 21, Evanston, IL 60208, 847.467.5530 or TTY.847.467.5533, email ssd@northwestern.edu or visit northwestern.edu/disability. The SSD office will provide documentation for the faculty and for the Office of Student Affairs that will be used to secure appropriate accommodation. See the Northwestern University Student Handbook (northwestern.edu/handbook) for university policy and grievance procedures for students with disabilities.

POLICY ON DRUGS AND ALCOHOL

All on-campus events where alcohol is served and all off-campus events of any kind must be preapproved by the Kellogg administration, Northwestern University Office of General Counsel and/or Northwestern University's vice president for student affairs. All contracts must also be reviewed by the Kellogg administration and/or the Northwestern University Office of General Counsel. Substance abuse is not acceptable and is not an excuse for unacceptable behavior.

The university policy on drugs and alcohol is described in the Northwestern University Student Handbook. Students in need of assistance should contact Counseling and Psychological Services (northwestern.edu/counseling).

Classrooms at the Jacobs Center and Wieboldt Hall

No alcohol may be served in Kellogg classrooms without permission from the Dean’s Office. Permission will be granted only when the service of alcohol is integral to the educational purpose of the class or event being held in the classroom.

Public Spaces at the Jacobs Center and Wieboldt Hall

All on-campus events involving alcohol must be approved in advance by the Dean's Office or Dean of Students’ Office. During these events, only beer and wine may be served, and alternative (nonalcoholic) beverages as well as food must be provided. Carding of attendees is required, and licensed bartenders must be hired to serve all alcoholic beverages.
**Off-Campus Events**

School-funded or -administered off-campus events (Managers’ Ball, social events, etc.) may serve only beer and wine, if alcoholic beverages are part of the programming. Alcoholic beverages will be served only by licensed bartenders. Alternative (nondrinking) beverages must be provided as well as substantial amounts of food.

**Marketing Materials**

Alcohol may not be the focus of advertising nor of the event.

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**UNIVERSITY POLICY ON SEXUAL HARASSMENT**

Northwestern University is committed to maintaining an environment free of discrimination and all forms of coercion that impede the academic freedom or diminish the dignity of any member of the university community. The university emphasizes this policy specifically as it pertains to the prevention of sexual harassment and to the obligations of students, faculty, administrators and staff.

It is the policy of Northwestern University that no member of the Northwestern community—including students, faculty, administrators or staff—may sexually harass any other member of the community. Sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute harassment when:

- Submission to such conduct is made or threatened to be made, either explicitly or implicitly, a term or condition of an individual’s employment or education; or
- Submission to or rejection of such conduct is used or threatened to be used as the basis for academic or employment decisions affecting that individual; or
- Such conduct has the purpose or effect of substantially interfering with an individual’s academic or professional performance or creating what a reasonable person would sense as an intimidating, hostile or offensive employment, educational or living environment.

**SEXUAL ASSAULT HEARING AND APPEALS SYSTEM**

The Northwestern University Student Handbook describes the policy on sexual assault hearings. Contact the assistant dean, student life for more information.
HAZING

Northwestern University forbids hazing and all other activities that interfere with the personal liberty of an individual. The university defines hazing as any action taken or situation created, whether on or off university premises, to produce mental or physical discomfort, embarrassment, harassment or ridicule for the purpose of initiation into, affiliation with, or admission to, or as a condition for continued membership in, a group, team, club or other organization. Such activities and situations may include, but are not limited to, the following:

— Paddling in any form;
— Creation of excessive fatigue;
— Physical and psychological shocks;
— Quests, treasure hunts, scavenger hunts, road trips or any other such activities carried on outside the confines of the university;
— Wearing apparel that is conspicuous and not normally in good taste;
— Engaging in stunts and buffoonery;
— Requiring sleepovers or morally degrading or humiliating games and activities;
— Late work sessions or activities that interfere with scholastic activities and/or normal sleeping hours;
— Forced consumption of alcohol;
— Falsely leading an individual or individuals to believe that they will be inducted/initiated by participating in particular activities;
— Removing public or private property; and
— Forcing individuals to participate in activities that are not consistent with the university’s mission, rules, regulations and policies, or federal, state or local law.

Acceptance of an activity on the part of a new member or individual does not justify participation in or sponsorship of the activity. Any violation of this policy should be reported to the dean of students or the Office of Judicial Affairs.

Hazing activities may also violate the Illinois Hazing Act, 720 ILCS 120/0.01 et seq.

Policy Guidance

For advice or assistance regarding this policy, see northwestern.edu/hr/eeo.
BASIC STANDARDS OF ACADEMIC INTEGRITY

Registration at Northwestern requires adherence to the university’s standards of academic integrity. These standards may be intuitively understood, and cannot in any case be listed exhaustively; the following types of behavior are examples of what is unacceptable.

1. Cheating: Using unauthorized notes, study aids or information on an examination; altering a graded work after it has been returned, then submitting the work for regrading; allowing another person to do one’s work and submitting that work under one’s own name; submitting identical or similar papers for credit in more than one course without prior permission from the course instructors.

2. Plagiarism: Submitting material that in part or whole is not entirely one’s own work without attributing those same portions to their correct source.

The full policy is available in the Northwestern University Student Handbook.

HONOR CODE

All students enrolled in a course offered by the Kellogg School of Management agree to abide by the Kellogg Honor Code.

The Kellogg Honor Code governs student conduct pertaining to all academic, placement and extracurricular activities associated with the Kellogg School of Management. Each student agrees:

— Not to seek an unfair advantage over other students, including but not limited to giving or receiving unauthorized aid during completion of academic requirements;
— To truthfully represent fact and self at all times;
— To respect the property and personal rights of all members of the Kellogg community; and
— To uphold the Kellogg Honor Code by reporting all material violations, and by fully cooperating with and protecting the confidentiality of any Honor Code proceedings.

All Kellogg students are also expected to adhere to all policies and requirements of Northwestern University and to abide by all applicable laws and regulations.

THE HONOR CODE PHILOSOPHY STATEMENT

The students of the Kellogg School of Management regard honesty and integrity as qualities essential to the practice and profession of management. The purpose of the Kellogg Honor Code is to promote these qualities so that each student can
fully develop his or her individual potential. Upon admission, each student makes an agreement with his or her fellow students to abide by the Kellogg Honor Code. Students who violate the Kellogg Honor Code violate this agreement and must accept the sanction(s) imposed by the Kellogg community.

The Kellogg Honor Code is administered by students with support from the Dean’s Office and is based on the concept of self-government. The efficacy of such a student-administered honor code is dependent upon a high degree of dedication to the ideals of honesty, integrity and equal opportunity reflected by the code. The Kellogg Honor Code requires that each student act with integrity in all Kellogg activities and that each student hold his or her peers to the same standard. In agreeing to abide by the code, the Kellogg students also agree to report suspected violations. By not tolerating lapses in honesty and integrity, the Kellogg community affirms the importance of these values.

The intent of the Kellogg Honor Code is to express the ethical standards of the Kellogg community. It does not attempt to be a list of rules and sanctions.

I. ORGANIZATION

A. The Honor Code Committee
   i. Role: The Honor Code Committee is responsible for:
      a. Interpreting the Honor Code;
      b. Promoting the values of the Honor Code through communication with Kellogg students, faculty and administrators;
      c. Serving as representatives of the student body on all issues pertaining to the Honor Code;
      d. Assisting in investigations of suspected Honor Code violations (see Section II,D); and
      e. Interpreting possible violations of the Honor Code.
   ii. Composition: The Honor Code Committee will include one to two co-chairs, five student representatives and a faculty representative. The student representatives will be appointed by the current Honor Code Committee, the current chairs and the Part-Time MBA Program assistant dean, student life. It is recommended that a student from each of the following course completion segments of the Part-Time MBA Program be appointed: courses 1-4; courses 5-8; courses 9-12; courses 13-16; and courses 17-20. The selection procedure for the co-chairs is outlined in Section I,B,ii. The faculty representative will be identified by the assistant dean, student life. The faculty representative is a nonvoting member of the Honor Code Committee and is also responsible for providing advice to the committee and feedback to the faculty about the Honor Code.
iii. **Replacement:** If the assistant dean, student life or the co-chairs determine that a member of the Honor Code Committee is unfit to perform his or her duties, the co-chairs will excuse that member from all further involvement in the Honor Code Committee. His or her responsibilities will be assumed by (a) another student appointed jointly by the co-chairs and the assistant dean, student life, or (b) in the case of faculty, another faculty member appointed by the assistant dean, student life.

B. The Honor Code Co-Chairs

i. **Role:** The Honor Code co-chairs are responsible for:

   a. Promoting the values of the Honor Code;
   b. Selecting members of the Honor Code Committee;
   c. Setting the annual agenda for the Honor Code Committee;
   d. Overseeing the activities of the Honor Code Committee;
   e. Administering Honor Code proceedings;
   f. Coordinating with the administration and faculty on matters relating to the Honor Code;
   g. Publishing an annual overview of committee actions to the Kellogg community; and
   h. Ensuring that the Honor Code remains an important aspect of the Kellogg environment.

ii. **Selection:** The Part-Time MBA Program Honor Code co-chairs are selected by the current Honor Code Committee and the assistant dean, student life in the winter quarter of each year. Only those who have served on the Honor Code Committee are eligible to be selected to serve as co-chair. The students shall hold the position of Honor Code co-chair until the end of the following winter quarter. In the event that either of the selected co-chairs opts out or is deemed unsatisfactory for the co-chair position, the committee, in consultation with the Kellogg Part-Time Student Association (KPTSA) Executive Committee and the assistant dean, student life, will select an appropriate replacement.

iii. **Conflict of Interest:** The co-chairs may not run for KPTSA office or hold a KPTSA office while serving as co-chairs.

iv. **Replacement:** If the assistant dean, student life or a majority of the remaining members of the committee determines that a co-chair is unfit to perform his or her duties, the assistant dean, student life will excuse the co-chair from all further involvement in the committee. All responsibilities of the removed co-chair will be assumed by the remaining co-chair and/or another member of the Honor Code Committee selected by the assistant dean, student life.
C. The Assistant Dean

The role of the assistant dean, student life on the Honor Code Committee is to provide impartial procedural advice to the committee and the co-chairs. He or she will also serve as the historian of the Honor Code, maintaining records of past actions and cases and advising the committee of past precedents.

II. SUSPECTED VIOLATIONS

A. Reporting Suspected Violations

Students and faculty members are obligated to report suspected violations of the Honor Code promptly to a member of the Honor Code Committee, the assistant dean, student life or any faculty member. Should the case proceed to a hearing, the person(s) reporting the suspected violation will become the charging witness(es). There must be at least one charging witness for an investigation to commence.

B. Notification

The person to whom the suspected violation is initially reported (Section II, A) will notify the co-chairs of the suspected violation as soon as possible. The co-chairs will notify the Kellogg Part-Time Student Association vice president (KPTSA VP) of academics, the assistant dean, student life and the members of the committee. The co-chairs will choose a member of the committee to assist the KPTSA VP of academics with the investigation.

C. Confidentiality

Charges and all subsequent steps pertaining thereto will be kept confidential by all parties involved. Only the co-chairs, the KPTSA VP of academics, assistant dean, student life and the committee member assisting with the investigation will know the identities of the accused and the accuser(s) unless/until the case goes before a student panel. Any breach of confidentiality is an Honor Code violation. The charged person may choose to waive his or her right to confidentiality at any time during the investigation or hearing by giving written notice to the co-chairs.

D. Investigation

i. Investigators: The KPTSA VP of academics will conduct the investigation of the suspected violation. If the KPTSA VP of academics recuses himself or herself or is unavailable to conduct the investigation in a timely manner, a previously designated substitute from the KPTSA Executive Committee will conduct the investigation. The substitute investigator shall be chosen annually once the new KPTSA Executive Committee takes office. A member of the Honor Code Committee, chosen by the co-chairs on a case-by-case basis, will accompany the KPTSA investigator on all interviews and offer assistance on all aspects of the investigation.
ii. **Investigation:** The investigation may include interviews with any and all persons, regardless of affiliation with Kellogg, believed to have information relevant to the incident. The investigation will be conducted under the supervision of the co-chairs and the assistant dean, student life. All interviews will be conducted in the presence of one member of the Honor Code Committee. Upon completion of the investigation, the KPTSA investigator will report the investigation’s findings to the Honor Code Committee.

iii. **Determination:** Upon the presentation of the investigation report, the committee and the KPTSA investigator will discuss the elements of the case and address any ambiguities. At the conclusion of the discussion, three of the four student representatives of the Honor Code Committee not involved with the investigation will be randomly selected to determine by majority vote whether a hearing is warranted. The committee’s decision will be based on the results of the investigation, the letter and spirit of the Honor Code and the materiality of the suspected violation. The assistant dean, student life will serve in an advisory capacity to the committee, if requested. The Honor Code Co-Chairs and the KPTSA investigator are not to cast votes as members of the Honor Code Committee. The three voting members of the Honor Code Committee will then be excused from all further involvement in the case.

Interpretations are the opinions of the committee only and will not prejudice the investigation or the hearing of suspected violations of the Honor Code. Final determination of violations may be made only by a hearing panel, with one exception noted below (Section II,E). If the committee determines there are insufficient grounds to warrant a hearing, the co-chairs will so notify the charged person and the person who filed the charge in writing, at which point the case will be closed.

iv. **Minutes:** The KPTSA investigator or the Honor Code Committee investigator for the case shall promptly prepare minutes of the findings. The minutes shall not reveal the identities of any parties. The minutes shall be held by the assistant dean, student life and shall be available for all future Honor Code Committees to review.

E. **Acceptance of Charge for Suspected Violation**

At any point in the hearing process, and at his or her sole discretion, the charged person may confess to the suspected violation and thus waive his or her right to a hearing. The charged person must inform the co-chairs of his or her decision as soon as possible, and subsequently provide a written and signed statement to the co-chairs detailing what violation is being confessed to and why the person is choosing to confess. This statement of confession will be kept confidential by the co-chairs and assistant dean, student life.
In such situations, the committee, with the advice of the assistant dean, student life, KPTSA investigator and other relevant parties, will determine the sanctions for the violation. Possible sanctions are listed below in Section III.H. The recommended sanctions must be approved by a majority of the committee.

III. HEARINGS

A. Notification

Upon determining that the case will move to a hearing, the co-chairs should immediately inform the accused of this fact via email. Once the date, time and location for the hearing have been determined, which must be done with due haste, the co-chairs will provide written notification by email and/or registered mail to the local address of the charged person. The notification will include:

i. The date of the notice;

ii. The name of the charged person;

iii. The name of the charging person (if the charging person is a student, that student’s written consent to be identified must be provided);

iv. A description of the suspected violation;

v. The date, time and place of the hearing; and

vi. The names of persons appearing as witnesses against the charged person (provided again that any student witnesses must provide written consent to be identified).

B. Advisers/Spokespersons

The charged person and the KPTSA investigator each may enlist an adviser to assist them in preparing for the hearing. In addition, the charged person may empower the same person or a different person to act as spokesperson, assisting in the presentation of the charged person’s arguments at the hearing. The adviser/spokesperson may only be a Kellogg student or a member of the Kellogg regular faculty, although it may not be a co-chair or the assistant dean, student life. The adviser will attend the prehearing conference and the hearing and will provide advice to the party in question.

C. Prehearing Conference

The accused and the KPTSA investigator will be encouraged to attend a prehearing conference conducted by the co-chairs. The purpose of this conference is to clarify procedural issues concerning the hearing and preparations for the hearing. The prehearing conference should be held at least one week prior to the hearing.
D. Preparation

An outline of the information to be presented at the hearing will be made available to the charged person by the KPTSA investigator at least one week prior to the hearing. The co-chairs will not convene the hearing until the charged person has had a reasonable amount of time to complete his or her own investigation.

The charged person will be allowed to:

i. Conduct his or her own investigation of the circumstances surrounding the reported violation; and

ii. Request interviews from any persons believed to have information relevant to the incident.

All interviews involving persons expected to provide evidence against the charged person during the hearing must be conducted in the presence of at least one member of the Honor Code Committee.

E. Hearing Panel

For each hearing, the co-chairs and the assistant dean, student life will create a hearing panel.

i. **Role:** The purpose of the panel is to provide the dean of Kellogg with a determination of fact and a recommended sanction, if any.

ii. **Composition:** The panel will include one or both of the co-chairs, eight student members and at least one tenured faculty member. One of the student members will be chosen by the co-chair(s) to serve as secretary of the panel. The secretary will take minutes of the hearing.

iii. **Appointing panel members:** The Office of the Assistant Dean, Student Life will prepare a random listing of all students enrolled in the program in which the charged person is enrolled. The first eight students able and available to serve will be selected in the order that their names appear on the list. Students will serve for only one hearing. All students have a duty to serve on a panel when selected, but the co-chairs and the assistant dean, student life will excuse a student if he or she has cause for not serving or if that student is deemed to have a conflict of interest. A similar selection process will be used to appoint the faculty members for each hearing, with the understanding that faculty members associated with the course(s) at issue or faculty members otherwise involved in the incident may not be appointed to the panel.

The names of the panel's members shall be provided to the charged person, who may challenge the inclusion of any panel members for cause. Challenges must be made in writing and delivered promptly to the co-chairs. Those challenged may be removed by decision of the co-chairs and the assistant dean, student life. Challenged
panel members will be replaced. The charged person has a right to challenge replacements for cause using the procedure identified in this paragraph.

F. The Hearing

i. Location and time: The hearing will be held at a place and time that will protect the confidentiality of the matter and be convenient to all parties involved. The hearing will not be held in Wieboldt Hall. The hearing proceedings and the panel discussions taken in aggregate shall generally not exceed eight hours.

ii. Observers: Unless otherwise requested in writing by the charged person, hearings will be closed. Witnesses are not permitted to remain in the hearing room either before or after giving evidence. The charged person’s adviser and/or spokesperson and the KPTSA investigator’s adviser will be permitted to attend the hearing, if applicable.

iii. Roles: The Honor Code co-chairs will direct the hearing. The KPTSA investigator will present to the panel the findings of the investigation and may ask persons to give testimony in the case. In conducting this role, the KPTSA investigator is not and should not be a prosecutor, but should always seek to present all relevant facts pertaining to a particular case.

The charged person will be given the opportunity to respond to the charges with:

a. Information;

b. Physical evidence;

c. Testimony or witnesses; and/or

d. Questions of the witnesses called by the KPTSA investigator.

Panel members may question evidence and testimony presented by both the KPTSA investigator and the charged person. The faculty members of the panel are to assist the panel in their deliberations and should help the panel members prepare written opinions. Faculty members do not vote on either the determination of fact or the recommendation of sanctions.

iv. Rules of evidence: The hearing will not be conducted according to strict rules of evidence or the procedures used in a court of law. The co-chairs will make determinations on the admissibility of evidence.

v. Decisions: At the conclusion of the hearing, the panel members and the assistant dean, student life will meet privately to discuss the hearing. Thereafter, the eight student panel members will
convene in private, without faculty or administration advisers, and vote to determine whether the charged person is or is not guilty of violating the Honor Code. The co-chairs, the faculty panel members and the assistant dean, student life will act as advisers to the panel as necessary. In providing advice to the panel members, faculty members should participate in discussions to ensure that all relevant information has been considered. However, it is inappropriate for faculty members to state their personal opinions regarding the guilt or innocence of the charged person.

G. Burden of Proof

For a finding of guilt to be rendered, at least seven of the eight voting panel members must conclude that the material presented during the hearing supports such a decision with sufficient evidence.

If the student is found guilty, both the majority and dissenting panel members must issue a written opinion to the dean of Kellogg within five business days. The majority opinion should set forth enumerated findings of fact which constituted the basis for its finding of guilt. The opinion should also explain how it resolved any ambiguities in the Kellogg Honor Code, if any such ambiguities were at issue. The dissenting opinion, if any, should detail the basis for the belief that a reasonable doubt existed or that the Honor Code was not violated. The opinions will not reveal the names of any parties. All panel members will be required to sign a statement indicating that they agree with their respective opinion as written. The statement will not identify panel members with an opinion. The faculty panel members may be consulted in the course of the preparation of the written opinion.

If the student is not found guilty, both the majority and dissenting panel members must issue similar written opinions to the dean of Kellogg within five business days.

The written opinions shall be held by the assistant dean, student life and shall be available for all future Honor Code Committees and panels to review.

H. Sanctions

If the student is found guilty, the panel will also recommend a sanction or slate of sanctions. The recommended sanction(s) must be agreed to by at least seven of the eight voting panel members. Sanctions may include, but are not limited to, the following:

i. Loss of student rights and privileges for a specified period;

ii. Required service;

iii. Reduced or failing grade;

iv. Probation;
v. Suspension for a definite or indefinite period;
vi. Exclusion (i.e., expulsion) from Kellogg; and/or
vii. A combination of the above.

Any sanction involving a reduced or failing grade will only serve as a recommendation to the appropriate faculty member. The panel will also recommend to the assistant dean, student life whether a record of the charges and sanction(s) should be made a part of the student’s permanent file.

I. Notification of Determination and Sanction

Upon receipt of approval of the recommended sanction(s) from the Kellogg deans, the co-chairs will provide the charged person written notice of the panel’s determination of fact and recommended sanction(s), if any. Within five business days thereafter, the written opinion will be given to the dean of Kellogg, along with a file containing all documents and physical evidence needed to evaluate the case.

J. Appeals to the Dean of Kellogg

Within five business days of the date of written notice of the panel’s determination of fact and recommended sanction(s), the charged person may appeal the decision of guilt and/or the recommended sanction(s) to the dean of Kellogg. Appeals may be considered on the basis of an unduly harsh sanction(s), new information not available or reasonably known at the time of the hearing or violation of procedure. All appeals must be in writing and include the following information:

i. The date the appeal is filed;

ii. The name, address and telephone number of the person making the appeal; and

iii. The basis for the appeal.

The appeal must also be forwarded to the Honor Code co-chairs and the KPTSA investigator. Both the co-chairs and the KPTSA investigator will be permitted to reply to the dean of Kellogg in writing to address the issues raised by the appeal.

K. Results of Appeals

i. Determination of sanctions: In connection with any appeal, the dean of Kellogg may accept the recommendation of sanctions of the hearing panel or the committee in whole or in part, or fashion a decision he or she feels is more appropriate.

ii. Appeals based on information unavailable or not reasonably known prior to the determination of the hearing panel: If the dean of Kellogg determines that new information presented in the appeal is material,
the dean of Kellogg will instruct the panel to hear such additional information. The dean may also instruct the panel to reconsider the original information. After considering the information specified by the dean, the panel will make a determination of fact as provided for in Section III,F,v and Section III,G and a recommendation of sanctions as provided for in Section III,H to be presented to the dean.

iii. Appeals based on the dean’s determination of violation of procedure:
If the dean of Kellogg determines that a violation of procedure occurred during the process, then the dean will call a meeting of the Honor Code co-chairs, the KPTSA investigator and the assistant dean, student life. This group of four, excluding the dean, will make a determination by majority vote whether to:

a. Uphold the panel’s determination of fact and make a recommendation of sanctions to the dean based on the panel’s recommendation of sanctions or fashion a recommendation of sanctions they feel is more appropriate;
b. Overturn the panel’s determination of fact and render a finding of innocence; or
c. Take any other action deemed appropriate.

In the event of a tie, the dean will cast the deciding vote. In addition, the dean of Kellogg will retain veto power at all times.

iv. Notification: The dean will notify the charged party of his or her decision in writing within 10 business days after the appeal is filed.

L. Records

Minutes of meetings of the panel and all documents associated with the investigation and hearing deemed relevant by the assistant dean, student life will be maintained by the Office of the Assistant Dean, Student Life.

If the charge is upheld, the assistant dean, student life may retain such records in the charged person’s permanent file (if so recommended by the hearing panel under Section III,H), but no record of the Honor Code violation will be placed on the transcript of the charged person, except in cases that result in the exclusion of the student from Northwestern University. In such cases, in accordance with Northwestern University policy, the exclusion is indicated on the student’s transcript with the phrase: Excluded for Academic Dishonesty.

IV. HONOR CODE CO-CHAIRS’ REPORTS

A. Public Statement on Violations

The co-chairs may consider submitting a public statement to the Kellogg community about the proceedings. This public statement will not reveal
any personally identifiable information regarding the parties involved, including the members of the hearing panel. This public statement may only reveal:

i. A description of the conduct that gave rise to the charge; and

ii. The final decision regarding the range of sanctions considered and the basis for any changes resulting from appeals and the basis for such appeal.

In the event a charged person is found not guilty either by the student panel or on appeal, the co-chairs shall give the charged person the option of whether a public statement is made.

B. Annual Report

The co-chairs will be responsible for submitting an annual overview of Honor Code Committee proceedings for the past calendar year to the Kellogg community. These proceedings should include a summary of violations that occurred over the past calendar year as well as non-case-related activities undertaken by the committee. No student names or other personally identifiable information should be included in the report. It is recommended that the annual report be issued at or near the beginning of winter quarter.

V. AMENDMENTS

It is envisioned that from time to time amendments to the Kellogg Honor Code may be necessary to clarify or amend provisions. The Honor Code co-chairs and committee members will determine, by majority vote, whether any proposed change requires a clarification of provisions or an amended provision.

A. Clarification of Provisions

If there is any provision in the Honor Code that requires clarification, but does not materially change the procedures or the spirit of the Honor Code, then such clarification may be made by a majority vote of the Honor Code co-chairs and committee members with the advice of the assistant dean, student life. All clarifications must be approved by Northwestern University's Office of General Counsel and subsequently submitted in writing to the dean of Kellogg, who will have veto power over any and all clarifications.

B. Amended Provisions

If any proposed change to the Honor Code materially alters a procedure or the spirit of the Honor Code, then the amendment can be effected only with the support of a majority of students enrolled in Kellogg and subject to the Honor Code and, to the extent that the proposed material change would affect faculty's role in implementing the Honor Code, a majority of all
faculty members. Prior to voting, all proposed changes must be approved by Northwestern University’s Office of General Counsel and subsequently submitted in writing to the dean of Kellogg, who will have the authority to veto any and all proposed changes to the Honor Code.

KELLOGG CODE OF ETIQUETTE

The Kellogg Code of Etiquette has been established to create a shared set of expectations and values around the classroom experience for the Kellogg community. These guidelines are meant to sustain a supportive classroom and community environment for students and faculty alike and to enhance student learning.

We believe the following principles will ensure a best-in-class experience for students, their classmates and faculty:

I. Present and Prompt
Students are expected to attend every class throughout the quarter. If unable to attend for unavoidable personal or professional reasons, the student must notify the professor in advance.

Students are expected to arrive for class on time so that the professor may start and end the class according to schedule. Entering a classroom late is a distraction and is disrespectful of both fellow students and professors.

II. Preparedness and Participation
To create an optimal learning experience, students are expected to be prepared and to participate in class. Beyond the faculty lecture, the dialogue generated from your peers is an essential part of the classroom experience and enriches the conversation and learning.

Also, students should remain in the classroom for the duration of the class. If a student must depart early due to unavoidable circumstances, he or she should obtain prior permission from the professor, if possible.

III. Respecting Our Community
Attentiveness to the faculty member and to fellow students is essential to fostering an engaged and dynamic classroom environment. Students should not engage in side conversations, surfing the Web, checking email messages, texting, etc. as it detracts from the experience. In addition, laptops must be closed for all speaker and guest presentations.
IV. Maintaining Our Surroundings
Students are expected to help maintain the appearance of the classroom. After class, students should discard all their trash.

Review the course syllabus for the professor’s specific class policies.

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship or veteran status in matters of admissions, employment, housing or services or in the educational programs or activities it operates.

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

Free Inquiry: While Northwestern University is committed to the principles of free inquiry and free expression, the discrimination and harassment identified in this policy are neither legally protected expression nor the proper exercise of academic freedom.

For advice or assistance regarding this policy, see northwestern.edu/hr/eeo.

Accreditation: The Kellogg School is accredited by the Association to Advance Collegiate Schools of Business (AACSB) and the Higher Learning Commission of the North Central Association (HLC NCA).