

Policies & Procedures

Full-Time MBA Program — Class of 2011



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The policies and procedures listed are not all-inclusive and may be subject to change. For more information, please review the appropriate Web site, accessed from the Kellogg School's Serial page at kellogg.northwestern.edu/student/serial, or contact the Office of Student Affairs.

Academic Programs

TWO-YEAR MBA PROGRAM

Two-Year students are required to register for six quarters of full-time study, earn 24.5 credits, and complete the global requirement and one major. The normal course load is four classes per term. Students begin in September and are expected to complete the requirements for the MBA degree within 21 months.

Students must complete or waive core classes before being promoted to the second year. (Core courses are listed in terms available on page 2.)

In addition to completing the nine core courses, the second-year SEEK 440A Pre-Term course and the global requirement, students must choose a minimum of 15 electives from six disciplines and 13 institutional areas. This highly flexible six-quarter curriculum lets students tailor their program to meet individual interests and needs.

ONE-YEAR MBA PROGRAM

The Kellogg One-Year (1Y) MBA Program is available to students whose undergraduate degree is from an accredited undergraduate business school or its equivalent. 1Y students enter Kellogg in June and complete the MBA degree in 12 months. The normal course load is four classes per term. Students must register for four quarters and may register for a fifth course each term without extra charge. 1Y students must complete 15.5 credits, including MGMT 431, SEEK 440A, the global requirement and one major.

MMM PROGRAM

MMM is a joint program between Kellogg School of Management and McCormick School of Engineering. This dual-degree program integrates management, operations and design, from concept to execution. MMM students learn the systems approach to managing a company: “design thinking” to develop products and services that are innovative and customer focused, and “process thinking” to eliminate operational waste — defects, inventories, delays, movement — in producing and delivering them.

MMM students take seven and a half required courses for MBA from Kellogg, four MMM specific courses from Kellogg and McCormick, an integration project course, and 12 electives. Students must complete 24.5 credits and the global requirement. Upon completion of this program, students receive the Master of Business Administration (MBA) degree from Kellogg and the Master of Engineering Management (MEM) degree from McCormick. Within the MBA curriculum, students can choose business majors such as finance, marketing or strategy. For the MEM degree, students receive a major in Design and Operations. Students are required to take four elective credits from the list of approved courses. At least one credit must come from Design and one credit from Operations.

JD-MBA PROGRAM

The JD-MBA program is an accelerated course of study. The core curriculum is complemented with elective course work in such areas as finance, entrepreneurship, international business law, real estate law and tax law. Both degrees are awarded upon completion of 16 managerial courses and 72 hours of law coursework.

Students complete the program in three years, rather than the five years that it would take to finish the two degrees separately. Students spend their first year of study (including the summer) at the Law School on the Chicago campus. During the second year, students attend the Kellogg school. During the final year of the program students take courses at the Law School, but may take additional electives at Kellogg.

INTERNAL TRANSFERS

Students may apply for transfer between programs at Kellogg, with permission from the Assistant Dean for Student Affairs. Students transferring from the Part Time program to the Full Time program should have completed all core requirements. They are required to complete 22.5 total credits, including SEEK 440-A and the Global Requirement. Students transferring from the 2Y MBA program to the MMM program must work with the Director of Registration & Student Records to ensure that all core requirements for the new program have been met.

AMERICAN CULTURE AND ENGLISH FOR INTERNATIONAL BUSINESS STUDENTS

Kellogg and Northwestern offer a four-week program in American culture and English. This course is designed for and open only to incoming 2Y and MMM students who have limited experience studying or working in an English-speaking country. The program is held in August and includes an introduction to the American MBA classroom environment and American culture and conversation. Additional tuition is required for the course. Further information will be available online in January.

Registration and Academic Policies

SAMPLE CURRICULUM

Two-Year MBA Students (2Y)

2Y students must complete a minimum of 15 electives and 24.5 total credits. All core courses must be completed within the first year. The global and major requirements must be completed by the end of the second year. Unless granted a waiver of one or more core courses, 2Y students entering Kellogg in the fall complete the following curriculum:

First Year	
Pre-Term (Required)	Management & Organizations* <ul style="list-style-type: none"> ▪ MORS-430 Leadership in Organizations
Fall Quarter	Accounting Information & Management* <ul style="list-style-type: none"> ▪ ACCT-430 Accounting for Decision Making
	Decision Sciences* <ul style="list-style-type: none"> ▪ DECS-433 Decision Making Under Uncertainty
	Management & Strategy* <ul style="list-style-type: none"> ▪ MGMT-431 Business Strategy
	Finance <ul style="list-style-type: none"> ▪ FINC-430 Finance I or ▪ FINC-440 Finance I/II (Turbo Finance)
	Managerial Economics <ul style="list-style-type: none"> ▪ MECN-430 Microeconomic Analysis or
	Marketing <ul style="list-style-type: none"> ▪ MKTG-430 Marketing Management

Winter Quarter	Decision Sciences* <ul style="list-style-type: none"> ▪ DECS-434 Statistical Methods for Management Decisions
	Finance* <ul style="list-style-type: none"> ▪ FINC-430 Finance I or ▪ FINC-440 Finance I/II (Turbo Finance)
	Managerial Economics* <ul style="list-style-type: none"> ▪ MECN-430 Microeconomic Analysis or
	Marketing* <ul style="list-style-type: none"> ▪ MKTG-430 Marketing Management or
	Operations Management <ul style="list-style-type: none"> ▪ OPER-430 Operations Management or
	Elective (1)
Spring Quarter	Operations Management* <ul style="list-style-type: none"> ▪ OPNS-430 Operations Management
	Electives (3)
Second Year	
Fall Pre-Term (Required)	Social Enterprise <ul style="list-style-type: none"> ▪ SEEK-440A Values and Crisis Decision Making
Fall Quarter	Electives
Winter Quarter	Electives
Spring Quarter	Electives

* Please NOTE: pre-term courses are considered part of the Fall term course load, and are REQUIRED for all students.

One-Year MBA Program Students (1Y)

1Y students begin their studies in June and are required to complete 15.5 credit units. Here is a sample curriculum from summer 2009:

Sample Summer 2009 Curriculum	
Required	Management & Strategy <ul style="list-style-type: none"> ▪ MGMT-431 Business Strategy Social Enterprise <ul style="list-style-type: none"> ▪ SEEK-440A Values & Crisis Decision Making
Electives	Decision Sciences <ul style="list-style-type: none"> ▪ DECS-438A Managerial Decision Analysis ▪ DECS-439B Statistical Decision Analysis
	Finance <ul style="list-style-type: none"> ▪ FINC-440 Finance I/II (Turbo Finance)
	Management & Organizations <ul style="list-style-type: none"> ▪ MORS-470 Negotiations
	Marketing <ul style="list-style-type: none"> ▪ MKTG-450 Research Methods in Marketing
	Operations Management <ul style="list-style-type: none"> ▪ OPNS-438B Operations Management (Turbo)
Also, several seats are available in designated courses on the Chicago campus.	

Note: A and B courses are 1/2 credit units.

Students complete all requirements during summer quarter and become second-year students in the fall. Based on their prior coursework, 1Y students receive waivers for all core courses except MGMT 431. During the fall, winter and spring quarters, second-year students fill their schedules with electives.

COURSE WAIVERS

If any of the 2Y-required courses cover material in which a student is already proficient, the faculty strongly encourages students to request a course waiver and to take the option to accept it if it is granted. Students must complete course waiver requests during the summer prior to arrival. Due to time constraints and planning needs, generally departments do not offer waiver review after Pre-Term orientation.

Students may not waive the SEEK 440A or Management & Strategy 431 courses. In addition, 2Y students may not waive Management & Organizations 430. Course work completed within the last five years with a grade of B-minus or better may be considered in waiver decisions.

If a student obtains a waiver, s/he will either be exempt from the course discipline or may take a more advanced course in that subject area before graduation. If uncomfortable with denial of a waiver or being required to take an advanced course in the department, a student may take a waiver examination during the Pre-Term or the fall quarter of the first year of the program.

ACADEMIC INFORMATION

Course and faculty listings as well as FAQs and suggested courses for career tracks (as applicable) are provided. In addition, most departments will schedule walk-in times in early fall for those with questions.

BIDDING FOR COURSES

Beginning with the winter quarter, course selection is done through a bidding system designed to allocate class spaces in an equitable manner. To bid on classes in the current academic year, first-year students are given 2,000 points for the winter and spring quarters, and second-year students are given 3,000 points for the fall, winter and spring quarters. (Students earn 1,000 points for each quarter of registration.) Bidding is computerized and is finalized by the registrar. Meetings explaining the bid system are held in midsummer for 1Y students and late October for 2Y students. For current bidding information, please visit the Kellogg Web site at kellogg.northwestern.edu.

DROPPING AND ADDING COURSES

Students may drop or add courses via the Course Bidding System. Please be careful when dropping a course online; courses dropped accidentally will not be reinstated.

Students will be refunded 100 percent of their bid points charged if the course is dropped before the quarter begins. Students may attend the first class session and still retain 80 percent of the points bid if the course is dropped during the first week. The 20 percent fee provides an incentive for students to drop classes that they do not plan to take before the quarter begins. This helps to make seats available for other students as early as possible. If a course is dropped after the first week of class, students forfeit 100 percent of the bid points charged.

Courses may be dropped up to the fourth week for 10-week courses and the second week for 5-week courses.

Students may add courses, except those designated Mandatory First Class Attendance, to their schedule through the first week of class. However, it is best to add before the first class meeting. Students may not be added to a course after the first week (even if they have been attending the class and new spaces become open). During the first week of Mandatory First Attendance classes, faculty submit the attendance list to the registrar to remove (drop) students from and add students to the roster.

Be aware of course attendance policies when confirming schedules. The Kellogg Faculty require that students attend the first days of Pre-Term CIM and MORS classes in order to register for the academic year. Students missing more than 20 percent of a class may be removed from the roster. Non-required 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.

Kellogg policy does not allow the registrar or deans to approve drop or add requests after the deadlines.

TERM PRICING

Three to five credit units constitute full-time study at Kellogg, which is required of full-time students. Tuition is based on a four-unit registration. There is no extra charge for a fifth unit. The required Pre-Term MORS and SEEK courses will be credited to the subsequent fall quarters.

Students electing to graduate early will be charged accelerated tuition equal to the amount of the full program.

Financial assistance cannot be provided for accelerated tuition or for those who elect or are required to complete an additional quarter beyond program requirements.

Students who elect to remain an additional quarter or have no more bid points will register for classes during the first add/drop period (third round) of course registration.

CROSS-REGISTRATION

Cross-registration enables students to take courses from other programs within Northwestern University. Students must gain approval from the Registrars of both schools if they wish to cross-register and receive Kellogg credit for the courses. Kellogg students may not use the pass/no credit option for cross-registered enrollments. The Graduate School Course Bulletin contains information about other graduate divisions at Northwestern. Students may obtain a copy of the Course Bulletin through the Office of the Graduate School at 633 Clark St., 847.491.7331 or online at northwestern.edu/CAESAR.

GRADING SYSTEM

The symbols A (excellent), B (good), C (fair), D (poor) and F (failing) indicate the quality of academic achievement for Kellogg students. A cumulative average 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 a time frame stipulated by the professor, or within the following term of enrollment. If they fail to make up the X or Y grade after one term, the grade will automatically become an F unless the student receives a written extension with a specific date of completion from the professor.

PASS/NO CREDIT GRADING

Students may elect the pass/no credit option to take a more aggressive class schedule or to try out new subjects. A total of two credits of P/NC may be taken by students enrolled for four full quarters or more. Students registered at Kellogg for three quarters are eligible for one unit of P/NC toward completion of the MBA degree. Within the guidelines specified, P/NC may be elected in any quarter and used in any combination up to the totals allowed.

P/NC may not be used for core classes, non-Kellogg classes, most lab classes, or to fulfill the minimum requirements for a major. Independent study courses may be taken P/NC with permission of the instructor. Courses in which a target letter grade of A, B or C is earned are considered for fulfillment of majors. P/NC must be elected by the course add deadline.

To allow grade-based incentives, students may contract for a letter grade in the P/NC course. During the first week of the quarter, the student must specify that if their grade is X or better, the P/NC reverts to a letter grade. (Example: If the student specifies X = B, a letter grade is recorded if the grade is A or B, P is recorded if the grade is C, and NC is recorded for a grade of D or F.) P/NC units that convert to letter grades are counted toward units of P/NC credits and for majors.

Professors will be aware of students electing P/NC status, and may use the information to assign project groups.

STANDARDS OF PROGRESS

2Y students must have at least a C average to continue enrollment after the first year (three quarters) of study. 1Y students must have at least a C average to continue enrollment after the second quarter of study. A student will be dismissed for academic reasons if at the end of any quarter, the total record would require 3 or more grades of B to earn a 2.0 cumulative average. For this purpose, reports of incomplete and absent will be counted as a D grade.

At the end of any quarter, a student whose cumulative average or average for the quarter is below C 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.

RE-GRADING POLICY

If a student wishes to contest a grade given for work completed at Kellogg, they should adhere to the following procedure:

1. Students have up to 10 working days after graded written work has been made available to them to submit it for re-grading. If the work is returned to students at the end of the term, they have 10 days in the next registered term to resubmit the work for regrading. In contesting a grade, students should be informed that the entire work may be reviewed, not only the sections in question, and the final grade adjusted accordingly.
2. Submissions for re-grading must be done in writing, with the student outlining the specific areas of the work which s/he feels were incorrectly graded. All submissions should be signed and dated by the student.
3. Professors should re-grade the work being contested and provide a response to the student within 20 working days, explaining the results of the review and indicating whether the student's grade has changed. Oral or written responses may be provided. Written confirmation of the decision should be submitted by the professors. (Off-campus faculty may be granted additional time by the senior associate or registrar's office)
4. If a student remains dissatisfied with the grade, s/he has up to five working days after receiving the re-graded work to submit it a second time for re-grading, as outlined in Step 2 above.
5. Professors should re-grade the work within five working 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.

LEAVES OF ABSENCE

A student may be granted a leave of absence for academic or personal reasons with approval from the Assistant Dean or Director of Registration & Student Records. After receiving approval, the student must notify all relevant University offices including financial aid, housing, student accounts, and career management. Students on leave are required to notify the registrar one full term 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 five years to complete degree requirements.

Students returning from a leave of absence must follow the guidelines and requirements for the class with which s/he will graduate.

COMPLETING A MAJOR

Students are required to complete 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.

GLOBAL REQUIREMENT

At Kellogg, an international perspective is integral to a well-rounded management education. The one-credit global course requirement helps students acquire a framework for integrating global management and leadership issues. This requirement helps students expand their cultural awareness and gain a deeper understanding of globalization's impact.

INTERNATIONAL STUDENT EXCHANGE PROGRAMS

Kellogg has student exchange relationships with 26 schools. Students study for one quarter at a business school in another country. The exchange generally takes place during the winter quarter of the second year. Enrollment is limited and some schools have a foreign-language requirement. Tuition is paid to the home institution, and students are billed as if they were attending Kellogg. A meeting is held in the fall quarter to provide further information, and applications are due in January of the first year.

GLOBAL INITIATIVES IN MANAGEMENT

Kellogg offers students an opportunity to learn about business conditions in foreign countries through the Global Initiatives in Management Program. GIM courses are professional student-organized study programs that combine classroom instruction in the winter quarter with field research abroad during spring break and final presentations in spring quarter. Each GIM course is advised by a faculty member. Register for GIM courses via the course bidding process. For more information about GIM and other global opportunities at Kellogg, please visit our Web site.

HONORS AND DISTINCTIONS

Students possessing a final grade average 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 honorary society for management students. Other awards include the Dean's Award for Academic Achievement (final cumulative GPA of 4.0), department Top Student awards, and the Dean's Award for service to Kellogg. Students who earn a grade point average of 3.75 or higher in any given quarter will qualify for the Dean's Honor List for that quarter. Academic honors will be noted on the official transcript.

OTHER POLICIES AND RESOURCES

BILLING PROCEDURE

Fall-quarter bills became available during the last half of August. Bills for winter and spring quarters will be posted electronically via CAESAR shortly after completion of advance registration for those terms (mid-December and mid-March, respectively).

Student billing addresses (home address listed on initial registration records) are maintained separately by Northwestern University through CAESAR. Please enter address changes immediately to avoid missing key information.

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

Tuition deposits are not refunded under any circumstances. Tuition is refunded if the student withdraws on or before the seventh day of classes. After the seventh day, the refund amount decreases according to the university schedule.

Any questions about university financial regulations should be directed to the Office of Student Accounts at 555 Clark St., 847.491.5224.

FINANCIAL AID INFORMATION AND APPLICATION PROCEDURES

Educational loans are available to all students. Grant and scholarship awards for U.S. citizens and permanent residents are based upon financial need, merit and availability of funds. There are a limited number of merit-based scholarships for international students.

The Kellogg Office of Financial Aid will begin making financial aid decisions in early March. Awards will be made continuously for admitted candidates whose required forms have been received by our office.

LOANS

Applicants for financial assistance are expected to have the confidence and the willingness to invest part of their future earning capacity through educational borrowing. There are several educational loan programs available to Kellogg students: the Federal Stafford Loan (both subsidized and unsubsidized), Grad PLUS loans and the NU Loan. Most loans are awarded based upon financial need.

APPLYING FOR FINANCIAL AID

To be considered for financial assistance, all admitted students must complete the steps outlined below.

1. Before admission, all U.S. citizens and permanent residents must submit a completed Free Application for Federal Student Aid. The FAFSA requires tax information; estimates are acceptable. Use the FAFSA application for the appropriate academic year. Kellogg does not require parental information on this form.

Please submit the Free Application for Federal Student Aid before you are notified of your admission decision.

The Student Aid Report is sent to students after the FAFSA has been processed. If a student has listed "Northwestern Univ" in the student information section of the FAFSA, Kellogg should receive the data electronically from the Department of Education; it is not necessary to send us the original SAR unless otherwise notified.

To obtain the FAFSA, apply online at fafsa.ed.gov or call 800.433.3243. The FAFSA code for Kellogg master's programs is "Northwestern Univ" 001739.

2. Once admitted, all students requesting financial assistance must complete the Kellogg financial aid application, which is available online to admitted students.
3. All students must submit to Kellogg a signed copy of their most recent income statement, such as their income tax filing.
4. U.S. citizens and permanent residents should submit a completed Kellogg scholarship application and a current résumé to the Office of Financial Aid.

Financial aid is not available for those opting for accelerated tuition or to remain an additional quarter.

OPTION TO ENHANCE FOREIGN LANGUAGE SKILLS

Kellogg has contracted with Berlitz to offer conversational Spanish, French, Mandarin and other languages based on student interest. Registration takes place at the beginning of each quarter. Kellogg subsidizes this program; a tuition fee is due upon registration.

Students may consider taking graduate courses for credit or undergraduate language courses without credit, but overlapping schedules make it impossible for some students to do this.

CLASSROOM ETIQUETTE AND POLICIES

Class attendance is expected of all students at all times. Individual faculty members may specify attendance requirements. See Classroom Etiquette details on p. 20. In addition, students should review each professor's syllabus prior to the start of the quarter for their specific policies.

GRIEVANCE PROCEDURE

If a student wishes to express a grievance about another student or a faculty or staff member, s/he should first visit the Assistant Dean of Student Affairs or a member of the Dean's staff. To file a formal grievance, a 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.

COUNSELING AND PSYCHOLOGICAL SERVICES (CAPS)

CAPS has a team of highly trained professionals who provide counseling, workshops and outreach programs for students. See northwestern.edu/counseling.

Students are encouraged to contact Student Affairs or CAPS for counsel or advice.

UNIVERSITY HEARING AND APPEALS SYSTEMS (UHAS)

The University Hearing and Appeals System is Northwestern University's formal campus judicial process for conduct violation. The Northwestern University Student Handbook, available at northwestern.edu/handbook/handbook.pdf, describes the system in detail.

SERVICES FOR STUDENTS WITH DISABILITIES

Students who need assistance due to any disability must first apply to Services for Students with Disabilities Office, 601 University Place, 847.467.5530 or TTY.467.5532, e-mail ssd@northwestern.edu or visit northwestern.edu/disability. The SSD office will provide documentation for faculty and student affairs that will be used to secure additional test time or special assistance. See the Northwestern University Student Handbook, available at northwestern.edu/handbook/handbook.pdf, for university policy and grievance procedures for students with disabilities.

POLICY ON DRUGS AND ALCOHOL

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, available at northwestern.edu/handbook/handbook.pdf. Students in need of assistance should contact Counseling and Psychological Services (see above).

Kellogg's alcohol policy is as follows:

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 only be granted 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 Student's Office. During these events, only beer and wine may be served, and alternative 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 (CIM Ball, DAK events, Conference Speaker Dinners and Grad Week events) may serve only beer and wine, if alcoholic beverages are part of the programming. Alcoholic beverages will be served only by licensed

bartenders. Alternative 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.

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 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 page at northwestern.edu/sexual-harassment (also available in the Kellogg Student Affairs Office) describes the policy on sexual assault hearings. Notify the Assistant Dean of Student Affairs for more information.

The Kellogg School 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:

1. Not to seek an unfair advantage over other students, including but not limited to giving or receiving unauthorized aid during completion of academic requirements;
2. To truthfully represent fact and self at all times;
3. To respect the property and personal rights of all members of the Kellogg community; and
4. To uphold the Kellogg Honor Code by reporting all material violations, and by fully cooperating with and protecting 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 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,E); and
 - e. Interpreting possible violations of the Honor Code.
 - ii. *Composition:* The Honor Code Committee will include two co-chairs, five student representatives, and a faculty representative. The student representatives will consist of two full-time students from the first-year class, two full-time students from the second-year class and one 1Y student. The selection procedure for the co-chairs is outlined in Section I.B.ii. The student representatives will be appointed by the co-chairs. The faculty representative will be identified by the Assistant Dean for Academic Affairs. The faculty representative is a non-voting 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 for Academic Affairs 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 for Academic Affairs, or (b) in the case of faculty, another faculty member appointed by the Assistant Dean for Academic Affairs.

- 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. *Succession:* The offices of the Honor Code Co-Chairs will be filled by the current 1st Year Representatives upon the completion of the current academic year. This elevation is subject to the approval of a majority of the non-1st Year Representative members of the outgoing Committee and the Assistant Dean for Academic Affairs. In the event that either of the 1st Year Representatives opts out or is deemed unsatisfactory for the co-chair position, the Committee, in consultation with the KSA Executive Committee and the administration, will select an appropriate replacement.
 - iii. *Conflict of Interest:* The co-chairs may not run for KSA office or hold KSA office while serving as co-chairs.
 - iv. *Replacement:* If the assistant dean 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 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 for Academic Affairs.

- C. The Assistant Dean
The role of the Assistant Dean for Academic Affairs on the Honor Code Committee is to provide impartial procedural advice to the Committee and the co-chairs. S/he 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 for Academic Affairs, 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 KSA VP of Academics, the Assistant Dean for Academic Affairs, and the members of the Committee. The co-chairs will choose a member of the Committee to assist the KSA 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 KSA VP of Academics, Assistant Dean for Academic Affairs, 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 KSA VP of Academics will conduct the investigation of the suspected violation. If the KSA VP of Academics recuses him/herself or is unavailable to conduct the investigation in a timely manner, a previously designated substitute from the KSA Executive Committee will conduct the investigation. The substitute investigator shall be chosen annually once the new KSA 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 KSA 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 for Academic Affairs. All interviews will be conducted in the presence of one member of the Honor Code Committee. Upon completion of the investigation, the KSA 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 KSA 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 for Academic Affairs will serve in an advisory capacity to the Committee, if requested. The Honor Code co-chairs and the KSA 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 (Sections II,E). If the Committee determines there are not sufficient 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 KSA investigator or the HCC 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 for Academic Affairs 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/her sole discretion, the charged person may confess to the suspected violation and thus waive his/her right to a hearing. The charged person must inform the co-chairs of his/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 for Academic Affairs.

In such situations, the Committee, with the advice of the Assistant Dean for Academic Affairs, KSA 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.

The charged person retains the rights to subsequently request a student panel or to appeal these sanctions to the Dean of Kellogg using the procedures outlined in Section III, J below.

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 e-mail. 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 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 KSA 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 for Academic Affairs. The adviser would attend the pre-hearing conference and the hearing and would provide advice to the party in question.

C. Pre-Hearing Conference

The accused and the KSA investigator will be encouraged to attend a pre-hearing 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 pre-hearing conference should be held at least one week prior to the hearing.

D. Preparation

All information to be presented at the hearing will be made available to the charged person by the KSA investigator at least one week prior to the hearing. The 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 for Academic Affairs 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 panel's meeting.
- iii. *Appointing panel members:* The Office of the Assistant Dean for Academic Affairs 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 for Academic Affairs 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. The same random 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 for Academic Affairs. 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 the Jacobs Center or the McManus Living-Learning Center. The hearing proceedings and the panel discussions taken in aggregate shall 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 KSA investigator's advisor will be permitted to attend the hearing, if applicable. The parents and/or spouse of the charged person will also be permitted to attend the hearing as observers only.
- iii. *Roles:* The Honor Code co-chairs will direct the hearing. The KSA 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 KSA 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 KSA investigator.

Panel members may question evidence and testimony presented by both the KSA 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 for Academic Affairs will meet privately to discuss the hearing. Thereafter, the eight student panel members will convene in private, without faculty or administration advisors, 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 for Academic Affairs 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 opinion 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 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 days.

The written opinions shall be held by the Assistant Dean for Academic Affairs 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 for Academic Affairs 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 and the Northwestern University Office of General Counsel, 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 receiving 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, violation of procedure, or harmful bias. 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 KSA investigator. Both the co-chairs and the KSA investigator will be permitted to reply to the dean 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 determines that new information presented in the appeal is material, the dean 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 Part III,F,v and Part III,G and a recommendation of

sanctions as provided for in Part III,H to be presented to the dean.

- iii. *Appeals based on the dean's determination of harmful bias or violation of procedure:* If the Dean of Kellogg determines that a harmful bias or a violation of procedure occurred during the process, then the dean will call a meeting of the Honor Code co-chairs, the KSA investigator, and the Assistant Dean for Academic Affairs. 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 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 for Academic Affairs will be maintained by the Office of the Assistant Dean for Academic Affairs.

If the charge is upheld, the Assistant Dean for Academic Affairs 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 North-western 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 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 for Student Affairs. 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.

Classroom Etiquette

The Kellogg Code of Etiquette has been established to assist student and faculty alike to foster appreciation for a classroom and community environment that enhances the learning experience for all students. Attention to the code will add value to the course by creating a more meaningful and constructive discussion.

Students, therefore, are expected to demonstrate classroom etiquette based on the following principles:

I. ATTENDANCE:

- i. Students are expected to attend every class throughout the term. When unable to attend, the student should notify the professor in advance.
- ii. Mandatory First Class Attendance: attendance is compulsory at the first class session. Failure to attend will result in exclusion from the class. Wait-listed students are eligible for promotion into the class only if they attend the first class session. Faculty will notify the registrar if a student from the wait list should be added to the class.
- iii. Class attendance is not excused for activities, including recruiting, conferences and case and business plan competitions.

II. PUNCTUALITY

Students are expected to arrive for class on time so that the professor may start and end the class according to schedule. Students more than five minutes late are subject to guidelines established by the professor.

III. RESPONSIBLE LEARNING

Students are expected to be prepared and committed to an optimal learning experience, including participating as required.

IV. EXITING AND ENTERING

Students are expected to remain in the classroom for the duration of the class. If a student must depart early due to unavoidable circumstances, the student should inform the instructor before class. Leaving and re-entering the class is not permitted except in the event of an emergency.

V. DISRUPTIVE BEHAVIOR

Students should demonstrate respect for the professor and fellow students during the class period. Students should therefore refrain from distracting behavior such as disruptive eating, side conversations, surfing the Web or checking e-mail messages. Laptops must be closed for all speakers and guests.

VI. RESPECT THE FACILITIES

Students are expected to help maintain the appearance of the classroom. After class, students should discard all trash.

In essence, the Code emphasizes respectful behavior in the classroom that contributes to the enhancement of the learning experience at Kellogg.

Review the course syllabus for a professor's specific class policies.

Academic Calendar

kellogg.northwestern.edu/Programs/FullTimeMBA/Academics/Academic_Calendar

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