

# POLICIES & PROCEDURES

Full-Time MBA Program  
Class of 2007



**Kellogg**  
School of Management

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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 Serial page, 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 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. You may register for a fifth course each term without extra charge.

In addition to completing the nine core courses and the second-year BASE pre-term course, you must choose a minimum of 15 electives from six disciplines and 13 institutional areas. This highly flexible six-quarter curriculum lets you tailor your program to meet your interests and needs.

### MASTER OF MANAGEMENT AND MANUFACTURING

Within the two-year (2Y) MBA program, Kellogg offers the Master of Management and Manufacturing (MMM) program, administered with Northwestern's Robert R. McCormick School of Engineering and Applied Science. The MMM program is intended primarily for students with technical and manufacturing backgrounds who are interested in product-based enterprises.

Students take eight core courses in management (7.5 credits, including the second-year BASE course), six core courses in manufacturing, an integration project course and 10 electives. Students are required to complete 24.5 credits and one major. Upon completion of the program, students receive both the Master

of Business Administration degree from Kellogg and the Master of Engineering Management degree from McCormick.

### 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. The normal course load is four classes per term. You must register for four quarters and you may register for a fifth course each term without extra charge. 1Y students are required to complete 15.5 credits (including MGMT 438 and BASE 910A) and one major.

1Y students enter Kellogg in June and complete the program for the MBA degree in 12 months.

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*Note: Internal Transfer students are required to complete 22.5 total credits, including BASE 910A.*

### DUAL-DEGREE PROGRAMS

Kellogg offers dual degree programs with the Law School and Medical School at Northwestern. The JD-MBA requires three years of study; the MD-MBA requires five years. Additional information about dual-degree programs is available through the Office of Admissions.

### TERM PRICING

Three, four or five credit units constitute full-time study, which is required of full-time students at Kellogg. Tuition is based on a four-unit registration. There is no extra charge for a fifth unit, enabling students to enrich their academic program. The required pre-term MORS and BASE 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 will register for classes during the confirmation period (3rd round) of the course bidding process.

### **INTERNATIONAL STUDENT EXCHANGE PROGRAMS**

Kellogg has student exchange relationships with 18 schools, giving you the opportunity to study for one quarter at a business school in another country. The exchange generally takes place during the first quarter of your second year of studies. The number of students who may participate is limited, and some of the schools have a foreign language requirement. Tuition is paid to the home institution, so you will be billed as if you were attending Kellogg. A meeting is held in the middle of Fall Quarter to provide interested students with further information. Applications are due in January of your first year. Visit [kellogg.northwestern.edu/academic/international/exchange](http://kellogg.northwestern.edu/academic/international/exchange) for current affiliations.

## **ACADEMIC ENRICHMENT**

### **FOREIGN LANGUAGE COURSES**

Students have the option to enroll in a non-credit course to acquire or strengthen conversational skills in a foreign language. Kellogg has contracted with Berlitz to offer Spanish, French, Mandarin and other languages in which there is sufficient 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; however the differing schedules preclude these options for many.

### **GLOBAL INITIATIVES IN MANAGEMENT**

Kellogg offers students an opportunity to learn about business conditions in foreign countries through the Global Initiatives in Management (GIM) Program. Kellogg's GIM courses are student-organized study programs that combine classroom instruction in the winter quarter, with field research abroad during spring break and seminar presentations of written student reports in spring quarter. Each GIM course is advised by a faculty member. Admission to a GIM course is achieved through the course bidding process. For more information, please visit the GIM Web site at [kellogg.northwestern.edu/academic/international/gim](http://kellogg.northwestern.edu/academic/international/gim).

## REGISTRATION AND ACADEMIC POLICIES

### NEW STUDENT REGISTRATION

#### Two-Year MBA Students (2Y)

2Y students must complete all core courses within the first year in order to advance to the second year. 2Y students must complete a minimum of 15 electives and 24.5 total credits. Unless granted a waiver of one or more core courses, 2Y students entering Kellogg in the fall complete the following curriculum:

First Year	
<b>Pre-term</b>	Management & Organizations <ul style="list-style-type: none"> <li>▪ MORS-430 Leadership in Organizations</li> </ul>
<b>Fall Quarter</b>	Accounting Information & Management <ul style="list-style-type: none"> <li>▪ ACCT-430 Accounting for Decision Making</li> </ul>
	Decision Sciences <ul style="list-style-type: none"> <li>▪ DECS-433 Mathematical Methods for Management Decisions</li> <li>or</li> <li>▪ DECS-436 Accelerated Mathematical Methods</li> </ul>
	Management & Strategy <ul style="list-style-type: none"> <li>▪ MGMT-431 Business Strategy</li> </ul>
	Marketing <ul style="list-style-type: none"> <li>▪ MKTG-430 Marketing Management</li> </ul> or _____ Finance <ul style="list-style-type: none"> <li>▪ FINC-430 Finance I</li> <li>or</li> <li>▪ FINC-440 Turbo Finance</li> </ul> or _____ Managerial Economics <ul style="list-style-type: none"> <li>▪ MECN-430 Microeconomic Analysis</li> </ul>

<b>Winter Quarter</b>	Managerial Economics <ul style="list-style-type: none"> <li>▪ MECN-430 Microeconomic Analysis</li> <li>or</li> <li>▪ MECN-436 Turbo Microeconomic Analysis</li> </ul>
	Decision Sciences <ul style="list-style-type: none"> <li>▪ DECS-434 Statistical Methods for Management Decisions</li> <li>or</li> <li>▪ DECS-437 Accelerated Statistical Methods</li> </ul>
	Marketing <ul style="list-style-type: none"> <li>▪ MKTG-430 Marketing Management</li> </ul> or _____ Finance <ul style="list-style-type: none"> <li>▪ FINC-430 Finance I</li> <li>or</li> <li>▪ FINC-440 Turbo Finance</li> </ul> or _____ Elective (1)
<b>Spring Quarter</b>	Operations Management <ul style="list-style-type: none"> <li>▪ OPNS-430 Operations Management</li> </ul> or _____ Finance <ul style="list-style-type: none"> <li>▪ FINC-430 Finance I</li> </ul>
	Electives (3)
Second Year	
<b>Pre-term</b>	<ul style="list-style-type: none"> <li>▪ BASE-910A Values and Crisis Decision Making</li> </ul>
<b>Fall Quarter</b>	Electives
<b>Winter Quarter</b>	Electives
<b>Spring Quarter</b>	Electives

### One-Year MBA Program Students (1Y)

1Y students begin their studies in June and are required to complete 15.5 credit units. Here is the sample curriculum from summer 2005:

Sample Summer 2005 Curriculum	
<b>Required</b>	Management & Strategy ▪ MGMT-438 Management of Enterprise
<b>Electives</b>	Finance ▪ FINC-440 Turbo Finance
	Decision Sciences ▪ DECS-438A Managerial Decision Analysis ▪ DECS-439B Statistical Decision Analysis
	Marketing ▪ MKTG-450 Marketing Research ▪ MKTG-466 Marketing Strategy
	Managerial Economics ▪ MECN-438A Microeconomic Analysis
	Operations Management ▪ OPNS-438B Operations Management (Turbo)
	Also, several seats are available in designated courses on the Chicago campus.

In the fall, 1Y students effectively become second year students. During the fall, winter and spring quarters, second year students will choose among electives offered.

<b>Summer 2006</b>	Management & Strategy ▪ MGMT-438 Management of Enterprise
<b>Pre-term</b> <i>(late summer)</i>	▪ BASE-910A Values and Crisis Decision Making (required)

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

### COURSE WAIVERS

If any of your required courses cover material in which you are already proficient, we strongly encourage 2Y students to seek a course waiver and accept it if it is granted. You must complete course waiver request information during the summer prior to your arrival.

Full-time students may not waive the BASE 910A course. In addition, 2Y students may not waive Management & Organizations 430 or Management & Strategy 431. 1Y students may not waive Management & Strategy 438. Course work completed within the last five years with a grade of B minus or better may be considered in waiver decisions.

If you obtain a waiver, you will either be exempt from the course discipline or asked to 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, you may take a waiver examination during the pre-term or the fall quarter of the first year of the program. Exams are offered for ACCT-430, DECS-433, DECS-434, and MECN-430.

### ACADEMIC ADVISING

Faculty members from various departments are available during Major Field Meetings to discuss the curriculum. Soon after these meetings, you have the option to sign up for a faculty adviser through the Office of Student Affairs. Kellogg uses a student-selected faculty advisory system.

### 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. Bidding is computerized and is finalized by the Registrar after the confirmation period. Meetings are held in midsummer for 1Y students and early November for 2Y students to explain this procedure in detail.

### DROPPING AND ADDING COURSES

Students may forfeit 0%, 20% or 100% of the bid points charged based on when a course is dropped.

The system will lock in the bids after the final round (Confirmation Period), and reopen at least one week before the first day of the quarter. During the reopened pre-term period, all bid points charged will be refunded for any course dropped. For courses dropped at any point during the first week of classes, 80% of the points charged will be refunded.

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*Students will be refunded 100% of their bid points charged if the course is dropped before the quarter begins.*

If a course is dropped after the first week of class, all points charged will be forfeited. Courses may be dropped up to week 4 for 10-week courses and week 2 for 5-week courses.

Students may attend the first class session and still retain 80% of the points bid if the course is dropped during the first week. The 20% 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.

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 by the first class meeting. Students may not be added to a course after the first week (even if they have been attending the class). During the first week of Mandatory First Attendance classes, faculty submit the attendance list to the registrar to remove (drop) and add students to the roster.

During the fall quarter, first year 2Y students must drop or add classes by completing a drop/add form in the Student Affairs Office. In subsequent quarters, students may drop or add courses electronically. Please be careful when dropping a course online. Courses that are dropped accidentally will not be reinstated. Also, you should be aware of course attendance policies as you confirm your schedules. Students missing more than 20% of a class may be removed from the roster. Non-required courses are not repeatable, except in extraordinary circumstances. If you retake a course the original grade will remain on the transcript. This is true of both Kellogg and non-Kellogg courses.

### CROSS-REGISTRATION

Cross-registration enables you to take courses from other colleges within Northwestern University. You must gain approval from the assistant dean of academic affairs if you wish to cross-register and receive Kellogg credit for the courses. The Graduate School *Course Bulletin* contains information about other graduate divisions at Northwestern. You 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](http://northwestern.edu/CAESAR).

## 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).

Your billing address (home address listed on initial registration records) is maintained separately by the Northwestern University Office of Student Accounts and is not affected by address changes you make through any other university office. Please inform the Office of Student Accounts immediately of any address change.

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 proportionately until the end of week 5 when no refund is given.

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 late 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), 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 (FAFSA). 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.

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

The Student Aid Report (SAR) is sent to you after the FAFSA has been processed. If you have listed "Northwestern Univ" in the student information section of the FAFSA, we 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](http://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 you will receive with your letter of admission, and mail it to Kellogg.
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, mailed along with the letter of admission, to the Kellogg Office of Financial Aid. Do not staple anything to this form.

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

## GRADING SYSTEM

The symbols A (excellent), B (good), C (fair), D (poor) and F (failing) indicate the quality of academic achievement at Kellogg. A cumulative average of C in all courses attempted is 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. You may repeat an elective course for which you received a failing grade. For all courses repeated, both grades will be recorded.

If you take or are given an X (excused absence for exam) or Y (incomplete) grade, you must make up the work within a time frame stipulated by the professor, or within one term (excluding the summer quarter for a spring quarter X or Y). If you fail to make up the X or Y grade after one term, the grade will automatically become an F unless you receive a written extension with a specific date of completion from your professor.

## PASS/NO CREDIT GRADING

Students may elect the Pass/No Credit option to take a more aggressive class schedule and/or experiment with courses that they might not consider otherwise. 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. P/NC may be elected in any quarter in which you have eligible courses.

*P/NC may not be used for core classes or to fulfill the minimum requirements for a major. Target letter grades may be used to fulfill requirements for a major. P/NC must be elected during the first week of class.*

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 for which the option leads to a letter grade would be considered one of the two units of P/NC allowed toward the completion of the MBA degree.

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

For purposes of determining all honors and awards, the actual letter grades earned will be utilized. However, your cumulative grade point average will follow your designation of the P/NC grade.

### **CLASSROOM ETIQUETTE AND POLICIES**

Class attendance is expected of all students at all times. Individual faculty members may specify attendance requirements. See Classroom Etiquette, p. 21. Students should review each professor's syllabus prior to the start of the quarter for their specific policies.

### **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 his/her total record would require three or more grades of B, or equivalent, to earn a C 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 memorandum. 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.

### **LEAVES OF ABSENCE**

You may be granted a leave of absence for academic or personal reasons with approval from the assistant dean of academic affairs. After receiving approval, you must notify all relevant University offices including financial aid, housing, student accounts, career management. Individual circumstances determine justification and duration, although typically you may take leave for a short time only. Students in good standing have up to five years to complete degree requirements.

Students taking a leave of absence must follow the guidelines and requirements for the class with which he or she will graduate.

### **GRIEVANCE PROCEDURE**

If you wish to express a grievance about another student or a faculty or staff member, you should first visit the assistant dean of student affairs or a member of the dean's staff. To file a formal grievance, you will be asked to document the issue. Grievances are ordinarily channeled through the chain of administrative command and may be reviewed by a special committee or the dean.

### **RE-GRADING POLICY**

If you wish to contest a grade given for work completed at Kellogg, please adhere to the following procedure:

1. Students shall have up to 10 working days after written work has been graded and returned to them to submit it for re-grading. 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 he/she feels were incorrectly graded. All submissions should be signed and dated by the student.
3. Professors should re-grade the work being contested and return a written response to the student within 20 working days after the initial returning of the paper, explaining the results of the review and indicating whether the student's grade has changed. Oral or written responses may be provided, and written confirmation of the decision should be dated by the professors. (Off-campus faculty may be granted additional time by the senior associate or assistant deans of academic affairs)
4. If a student remains dissatisfied with the grading process, he/she shall have 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.

## HONORS AND DISTINCTIONS

Those students possessing a final grade average within the top 10% 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, the honorary society for management students. Other awards include the Dean's Award for Top Academic Achievement, top student awards given by departments 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. This honor will be noted on the official transcript.

For the purpose of recognizing academic honors and awards, actual letter grades earned (not Pass/No Credit) will be considered.

## 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.pdf](http://northwestern.edu/handbook.pdf), describes the system in detail.

## SERVICES FOR STUDENTS WITH DISABILITIES

Students who need assistance due to any disability must notify the Services for Students with Disabilities Office, 601 University Place, 847.467.5530 or TTY.467.5532, email [ssd@northwestern.edu](mailto:ssd@northwestern.edu) or visit their Web site at [northwestern.edu/ssd](http://northwestern.edu/ssd). The SSD office will provide documentation that will be used to secure special assistance.

## POLICY ON DRUGS AND ALCOHOL

The University policy on drugs and alcohol is described in the Northwestern University Student Handbook, available at [nuhs.northwestern.edu/drug-alc2004.pdf](http://nuhs.northwestern.edu/drug-alc2004.pdf).

## 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 male and female students, faculty, administrators, and staff.

It is the policy of Northwestern University that no male or female 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, available at [northwestern.edu/sexual-harassment](http://northwestern.edu/sexual-harassment) and in the Kellogg Student Affairs Office, describes the policy on sexual assault hearings. Notify the Assistant Dean of Student Activities 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
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 all students can fully develop their individual potential. Upon admission, each student makes an agreement with his or her Peers to abide by the Kellogg

Honor Code. Students who violate the Kellogg Honor Code violate this agreement and must accept the sanction 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 Chairs

- i. *Role:* The Honor Code Chairs are responsible for:
  - a. Promoting the values of the Honor Code
  - b. Administering Honor Code proceedings
  - c. Publishing an annual overview of Committee actions to the Kellogg community
  - d. Ensuring that the Honor Code remains an important aspect of the Kellogg environment
- ii. *Election:* The Honor Code chairs will be elected from students subject to the Honor Code. The election for chairs will take place at the same time as that for Kellogg Student

Association (KSA) second-year representatives or when new chairs are needed. The election will follow the KSA election guidelines. The current chairs and the assistant dean, director of student academic affairs will notify all Kellogg students eligible to run for the election and invite nominations, including self-nominations. Candidates for chair may prepare a statement not longer than 300 words to be distributed to all students. Additional campaigning is discouraged. The chairs may not run for another KSA office or hold another KSA office while serving as chairs.

- iii. *Replacement*: If the assistant dean determines that in a particular case a chair is unable to perform his or her duties, the assistant dean will excuse the chair from all further involvement in the case and all responsibilities of the chair will be assumed by another member of the Honor Code Committee selected by the assistant dean.

#### B. The Honor Code Committee

- i. *Role*: The Honor Code Committee is responsible for:
  - a. Interpreting the Honor Code
  - b. Interpreting possible violations of the Honor Code
  - c. Assessing the materiality of possible violations
  - d. Promoting the values of the Honor Code
- ii. *Composition*: The Honor Code Committee will include the chairs, five other students and a faculty representative. The student representatives will be appointed by the chairs. It is recommended that two students from the

first-year class, two students from the second-year class and one 1Y student be appointed. The faculty representative will be appointed jointly by the chairs and 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 determines that in a particular case a member of the Honor Code Committee is unable to perform his or her duties, the assistant dean will excuse the member from all further involvement in that case and his or her responsibilities will be assumed by (a) another student appointed jointly by the chairs and the KSA vice president for academic affairs, or (b) in the case of faculty, another faculty member appointed by the assistant dean for academic affairs.

#### C. The KSA Vice President for Academic Affairs

- i. *Role*: The role of the vice president for academic affairs is to present all relevant facts of a particular case to the Honor Code Committee and the hearing panel. In conducting this role, the vice president for academic affairs is not and should not be a prosecutor, but should always seek to present all relevant facts pertaining to a particular case.
- ii. *Election*: The KSA vice president for academic affairs shall be elected in accordance with the constitution of the Kellogg Student Association.
- iii. *Replacement*: If the assistant dean for academic affairs determines that in a particular case the vice president for academic affairs is

unable to perform his or her duties, the associate dean will excuse that person from all further involvement in the case and all responsibilities of the excused person will be assumed by another officer of the KSA selected by the assistant dean.

D. The Assistant Dean, Director of Student Academic Affairs

The role of the assistant dean is to oversee and provide impartial procedural advice to all interested parties in any Honor Code case. Specifically, the assistant dean's responsibilities include:

- i. Advising the chairs
- ii. Appointing replacements
- iii. Providing procedural advice to all parties involved in Honor Code proceedings
- iv. Attend all hearings

E. The Senior Associate Dean for Curriculum and Teaching

The senior associate dean for curriculum and teaching shall act as arbitrator for any issues unable to be resolved by either the assistant dean or the Honor Code chairs prior to the determination by the student panel.

F. The Dean of Kellogg

The dean of Kellogg is responsible for determining appeals and sanctions.

The dean should avoid becoming involved in the process prior to the determination by the student panel.

G. Advisers

The charged person and the vice president for academic affairs are each encouraged to enlist an adviser to assist them in preparing for the

hearing. The adviser may be either a Kellogg student in the same program as the charged person or a member of the Kellogg regular faculty. Students in the Two-Year program, One-Year program and Master of Management and Manufacturing programs shall be construed as being in the same program for this purpose. The adviser's role includes:

- i. Attending the pre-hearing conference
- ii. Providing advice
- iii. Attending the hearing

H. Spokesperson

The charged person is permitted to enlist a spokesperson to assist in the presentation of his or her arguments at the hearing. The adviser may be either a Kellogg student in the same program as the charged person as defined above or a member of the regular Kellogg faculty. The adviser to the charged person may also serve as the spokesperson.

## II. SUSPECTED VIOLATIONS

A. Reporting Suspected Violations

Students and faculty members are obligated to report suspected violations of the Honor Code promptly to either a member of the Honor Code Committee or the assistant dean for academic affairs.

B. Notification

The recipient of the charge will notify the chairs, the assistant dean, the vice president for academic affairs and the senior associate dean as soon as possible.

The chairs will notify the charged person and inform him or her that an investigation is being

undertaken. In addition, the chairs will provide him or her a copy of the Honor Code, encourage the person to obtain an adviser and answer questions about the investigation and hearing procedures.

The chairs will also notify the dean of Kellogg that an investigation is being undertaken. No interested party is to approach the dean of Kellogg about any issue arising from the case prior to the panel's determination being forwarded to the dean.

#### C. Acceptance of Charge for Suspected Violation

At the sole option of the charged person, he or she may accept the charges and waive his or her right to a hearing. In such an event, a hearing panel will be convened, as described below, to recommend a sanction.

#### D. Confidentiality

Charges and all subsequent steps pertaining thereto will be kept confidential by all parties involved. Any breach of confidentiality is an Honor Code violation. The charged person, however, may choose to waive his or her right to confidentiality at any time during the investigation or hearing by giving written notice to the chairs.

#### E. Investigation

i. *Investigator:* The vice president for academic affairs will conduct an investigation of the suspected violation, which may include interviews with persons believed to have information relevant to the incident. The investigation will be conducted under the supervision of the chairs and the assistant dean. All interviews will be conducted in the presence of at least one non-voting member of the Honor

Code Committee. If necessary, the chairs and the vice president for academic affairs may appoint additional non-voting members to the Honor Code Committee for a particular case.

Upon completion of the investigation, the vice president for academic affairs will report the investigation's findings to the Honor Code Committee, the assistant dean and the senior associate dean.

ii. *Determination:* Three of the five student members of the Honor Code Committee 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 deans as well as the senior associate dean will serve in an advisory capacity to the Committee. The Honor Code chairs and the vice president for academic affairs 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. If the Committee determines there are not sufficient grounds to warrant a hearing, the chairs will so notify the charged person and the person who filed the charge in writing. No further investigation will be made.

- iii. *Minutes*: The chairs shall promptly prepare minutes of the findings. The minutes shall not reveal the names of any parties.

### III. HEARINGS

#### A. Notification

Within two days of deciding to hold a hearing, the 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, written consent must be provided.)
- iv. A description of the suspected violation
- v. The date, time and place of the hearing
- vi. The names of persons appearing as witnesses against the charged person (Student witnesses must provide written consent.)
- vii. The telephone number of the chairs

#### B. Advisers (See 1G)

The charged person and the vice president for academic affairs will be encouraged to obtain an adviser to assist them in preparing for the hearing. The chairs and assistant dean will be available to discuss hearing procedures, but may not serve as advisers to either the charged person or the vice president for academic affairs.

#### C. Pre-hearing Conference

The advisers to both the accused and the vice president for academic affairs will be encouraged to attend a pre-hearing conference conducted

by the chairs and supervised by the assistant dean. The purpose of this conference is to clarify procedural issues, including access to witnesses and setting an appropriate timetable.

#### D. Preparation

All information to be presented in the hearing will be made available to the charged person by the vice president for academic affairs 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 investigation.

The charged person will be allowed to:

- i. Conduct his or her own investigation of the circumstances surrounding the reported violation
- ii. Interview 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 chairs and the assistant dean 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 the chairs, eight student members and two tenured faculty members. One of the student members will be chosen by the chairs to be secretary of the panel. The secretary will take minutes of the panel's meetings.

iii. *Appointing panel members:* The office of the assistant dean will prepare a random listing of all students enrolled in the program in which the charged person is enrolled as herein above defined. The first eight students 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 chairs and the assistant dean 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 senior associate dean will appoint the faculty members for each hearing, with the understanding that faculty members for 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 for cause. Challenges must be made in writing and delivered promptly to the chairs. Those challenged may be removed by decision of the chairs and the assistant dean. 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. Hearings and panel discussions shall not exceed eight hours on any day.

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 spokesperson will be permitted to attend the hearing. The parents of the charged person will also be permitted to attend the hearing as observers only.

iii. *Roles:* The Honor Code chairs will direct the hearing. The vice president for academic affairs will present to the panel the findings of the investigation and may ask persons to give testimony in the case.

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

- a. Information
- b. Physical evidence
- c. Testimony or witnesses
- d. Questions of the witnesses called by the vice president for academic affairs

Panel members may question evidence and testimony presented by both the vice president for academic affairs 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 chairs will make determinations on the admissibility of evidence.

v. *Decisions*: At the conclusion of the hearing, the panel members and the assistant dean will meet privately to discuss the hearing. 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. Thereafter, the eight student panel members will convene in private and vote to determine whether the charged person is or is not guilty of violating the Honor Code. The chairs, the faculty panel members and the assistant dean will not vote but will act as advisers to the panel as necessary.

#### G. Burden of Proof

For a finding of responsibility 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 responsible, 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 responsibility. The opinion should also explain how and why it resolved any ambiguities in the Kellogg Honor Code if any such ambiguities were at issue. The dissenting opinion should detail the basis for the belief that a reasonable doubt existed or that the Honor Code was not otherwise violated. The opinions will not reveal

the names of any party. 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 opinions.

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

The opinion shall be held by the assistant dean and shall be available for all future Honor Code committees and panels to review.

#### H. Sanctions

If the student is found responsible, the panel will also recommend a sanction. This sanction must be agreed to by 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. Expulsion from Kellogg
- vii. A combination of the above

Any sanction involving a reduced or failing grade will be advisory to the faculty. The panel's decision will also recommend to the assistant dean whether a record of the charges and sanction should be made a part of the student's permanent file.

I. Notification of Determination and Sanction

Within two calendar days of the panel's decision, the chairs and secretary will provide the charged person and the dean of Kellogg written notice of the panel's determination of fact and recommended sanction. Within five days the written opinions 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

Within five business days of receiving the panel's decision, the charged person may appeal the decision or sanction (or both) to the dean of Kellogg. Appeals may be considered on the basis of an unduly harsh sanction, 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
- iii. The basis for the appeal

The appeal should also be forwarded to the Honor Code chairs and the vice president for academic affairs. Both the chairs and the vice president for student affairs will be permitted to reply to the dean in writing to the issues raised by the appeal.

K. Appeals to the Dean of Kellogg

i. *Determination of sanctions*: In connection with any appeal, the dean of Kellogg may accept the recommendation of sanctions of the hearing panel 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, the panel will make a determination of fact as provided for in Part III(F)(v) 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 an unduly harsh sanction, harmful bias, or violation of procedures*: 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 chairs, the president of the KSA, the Honor Code Committee faculty representative and the senior associate dean. This group of five 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 responsibility
  - c. Take any other action deemed appropriate
- 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 and Probation

Minutes of meetings of the panel and all documents associated with the investigation and hearing deemed relevant by the assistant dean will be maintained by the office of the assistant dean.

If the charge is upheld, the assistant dean for student academic affairs may retain such records in the person's permanent file, 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 CHAIRS' REPORTS

#### A. Public Statement on Violations

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

- i. A description of the conduct that gave rise to the charge
- ii. The final decision of the dean of Kellogg regarding the range of sanctions considered and the basis for any changes resulting from appeals and the basis for such appeal
- iii. In the event a charged person is found not responsible either by the student panel or on

appeal, the chairs shall give the charged person the option of whether a public statement is made

#### B. Annual Report

The chairs will be responsible for submitting an annual overview to the Kellogg community. This overview should not include student names or other personally identifiable information. It is recommended that the overview be made available to the school prior to the election of the incoming chairs, and copies also be distributed to incoming One Year and Two Year students.

### 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 chairs, the assistant dean, the Honor Code Committee faculty representative, the senior associate dean and the dean of Kellogg will make a determination 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 the majority vote of the Honor Code chairs, the assistant dean for student academic affairs, the Honor Code committee faculty representative, the senior associate dean and the dean of Kellogg. The clarifications of provisions must then be ratified by the Kellogg Student Association.

## B. Amended Provisions

If any proposed change to the Honor Code materially changes a procedure or the spirit of the Honor Code, then the Honor Code can be amended for such material change upon the majority vote of all students enrolled in Kellogg subject to the Honor Code and a majority of all faculty members.

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*Any alleged violations of this policy or questions regarding the law with respect to nondiscrimination should be directed to Office of the Provost, Rebecca Crown Center, Evanston, Illinois 60208-1101, 847.491.5117; Office of the Equal Opportunity Officer and Handicap Services Coordinator, 720 University Place, Evanston, Illinois 60208-1147, 847.491.7458.*

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## CLASSROOM ETIQUETTE

The Kellogg Code of Classroom Etiquette has been established to assist student and faculty alike to foster appreciation for a classroom 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 your 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 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. 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, therefore, should refrain from distracting behavior such as disruptive eating, side conversations, surfing the Web or checking email messages.

### V. 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.

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

## ACADEMIC CALENDAR 2005–2007

### 2005

Aug	26	Fri	Registration and McManus Move-in for KAOS Participants
	28	Sun	KAOS trips may begin
Sep	2	Fri	Registration for Non-KAOS Students
	4	Sun	KAOS trips end
	5	Mon	Labor Day
	6	Tue	Pre-term begins/CIM orientation, required MORS course, and TEKcamp
	12	Mon	BASE course begins (required for Class of 2006)
	21	Wed	MORS exam (morning)/Fall term classes begin (evening)
Nov	23	Wed	Thanksgiving vacation begins
	28	Mon	Classes resume
Dec	2	Fri	Classes end
	5	Mon	Exams begin
	9	Fri	Exams end

### 2006

Jan	3	Tue	Classes begin
	4	Wed	Makeup for Mon, Jan. 2, day classes*
	6	Fri	Makeup for Mon, Jan. 2, evening classes*
	16	Mon	Classes 8-11am & 2-5pm (changed for ML King Program, 11am -2pm)
Mar	10	Fri	Classes end
	13	Mon	Exams begin
	17	Fri	Exams end
	27	Mon	Classes begin
May	12	Fri	Makeup for May 29 evening classes*
	24	Wed	Makeup for May 29 day classes*
	29	Mon	Memorial Day; no classes
Jun	2	Fri	Classes end
	5	Mon	Exams begin
	9	Fri	Exams end
	17	Sat	Commencement
	19	Mon	1Y McManus Move-in, TMP classes begin
	20	Tues	1Y Orientation begins
	22	Thu	1Y classes begin
Jul	4	Tue	Independence Day; no classes
	5	Wed	Makeup day classes for Independence Day
	7	Fri	Makeup for July 4 evening classes
	27	Thu	Classes begin for second five-week sections

Aug	22	Tue	1Y classes end
	24	Thu	1Y exams begin
	25	Fri	1Y exams end/TMP classes end/Registration & McManus Move-In for KAOS participants
	27	Sun	KAOS trips may begin
	28	Mon	Exams begin for TMP sections
	31	Thu	Exams end for TMP sections
Sep	2	Sat	Registration for non-KAOS students
	3	Sun	KAOS trips end
	4	Mon	Labor Day
	5	Tue	Pre-term begins/CIM orientation, required MORS course, and TEKcamp
	11	Mon	BASE course begins (required for Class of 2007)
	20	Tues	MORS exam (morning)
	20	Wed	Fall term classes begin (evening)
Nov	22	Wed	Thanksgiving vacation begins
	27	Mon	Classes resume
Dec	1	Fri	Classes end
	4	Mon	Exams begin
	8	Fri	Exams end

### 2007

Jan	3	Wed	Classes begin/Makeup for Mon, Jan. 1 day classes*
	5	Fri	Makeup for Mon, Jan. 1 evening classes*
	10	Wed	Classes begin/Makeup for Tues, Jan. 2 day classes*
	12	Fri	Makeup for Tues, Jan. 2 evening classes*
	15	Mon	Class times 8-11am & 2-5pm (changed for ML King Program 11am - 2pm)
Mar	9	Fri	Classes end
	12	Mon	Exams begin
	16	Fri	Exams end
	26	Mon	Classes begin
May	11	Fri	Makeup for May 28 evening classes*
	23	Wed	Makeup for May 28 day classes*
	28	Mon	Memorial Day; no classes
Jun	1	Fri	Classes end
	4	Mon	Exams begin
	8	Fri	Exams end
	16	Sat	Commencement

\* Tentative

*Kellogg calendars are **subject to change**. Please check the Kellogg Web site at [kellogg.northwestern.edu](http://kellogg.northwestern.edu) for the most recent information. As the Northwestern University calendar may differ, check [northwestern.edu](http://northwestern.edu) for university information.*