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# POLICIES AND PROCEDURES

Full-Time MBA Program 2013-2014

NORTHWESTERN UNIVERSITY



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### **[kellogg.northwestern.edu/programs/FullTimeMBA](http://kellogg.northwestern.edu/programs/FullTimeMBA)**

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

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

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

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## ACADEMIC PROGRAM

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

### **Two-Year MBA Program**

Two-year (2Y) students are required to register for six quarters of full-time study, earn 24.5 credits, and complete all nine core courses, the global elective requirement, the second-year Pre-Term course (SEEK 440A Values and Crisis Decision Making) and at least one major. The normal course load is four credits per quarter. Students begin in September and are expected to complete the requirements for the MBA degree within 21 months.

All nine core courses must be completed within the first year. The global elective requirement, SEEK 440A and at least one major must be completed by the end of the second year.

In addition, students complete a minimum of 14 electives. This highly flexible six-quarter curriculum allows students to tailor the program to meet their individual interests and needs

### **One-Year MBA Program**

The Kellogg One-Year (1Y) MBA Program is an accelerated program for candidates who have clear and consistent career goals and who have completed the requisite coursework at graduate or undergraduate institutions. 1Y students enter Kellogg in June and complete the MBA degree in 12 months.

Based on their prior coursework, 1Y students receive waivers for all core courses except MGMT 431 (Business Strategy) and SEEK 440A (Values and Crisis Decision Making). Students must register for four quarters of full-time study. The normal course load is four credits per quarter, but students may register for a fifth credit each quarter without extra charge. 1Y students must complete 15.5 credits, including MGMT 431, SEEK 440A, the global elective requirement and at least one major.

### **MMM Program**

MMM is a dual-degree program between the Kellogg School of Management and the McCormick School of Engineering and Applied Science. This 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 at least eight required core courses from Kellogg, four MMM core courses from Kellogg and McCormick, plus an Integration Project course and 12 electives. All Kellogg and MMM core courses must be completed by the end of the first year. Students must complete 24.5 credits, including the global elective requirement, SEEK 440A and at least one Kellogg major. 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 Kellogg MBA curriculum, students can choose from among 19 majors. For the MEM degree, students receive a Design and Operations major. Students are required to take four credits from among the approved Design and Operations 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 MBA core curriculum is complemented with elective coursework in areas such as finance, entrepreneurship, international business law, real estate law and tax law. Both degrees are awarded upon completion of 16 Kellogg credits 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 Northwestern School of Law on the Chicago campus. During the second year, students attend the Kellogg School. During the final year of the program, students take courses at Northwestern Law, but may take additional electives at Kellogg.

## **PROGRAM TRANSFERS**

### **Part-Time to 2Y Full-Time**

Students are required to complete 22.5 total credits, including SEEK 440A and the global elective requirement.

### **2Y Full-Time to MMM Program**

Students must work with the registrar to ensure that all core requirements for the new program have been met.

### **Other**

Transfer between 2Y and 1Y programs is not permitted.

## **AMERICAN CULTURE AND ENGLISH FOR INTERNATIONAL BUSINESS STUDENTS**

Kellogg and Northwestern offer a four-week program in American culture and English. These courses are 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.

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## DEGREE REQUIREMENTS

A minimum of 24.5 credits for 2Y and MMM students, 15.5 credits for 1Y students, 16 credits for JD-MBA students and 22.5 credits for internal transfers are required to complete the Full-Time MBA degree.

### **2Y, 1Y and JD-MBA Core Courses (9 credits)**

- **ACCT 430:** Accounting for Decision Making
- **MORS 430:** Leadership in Organizations
- **MGMT 431:** Business Strategy
- **DECS 433:** Decision Making Under Uncertainty
- **DECS 434:** Statistical Methods for Management Decisions
- **MECN 430:** Microeconomic Analysis
- **FINC 430:** Finance I
- **MKTG 430:** Marketing Management
- **OPNS 430:** Operations Management

### **MMM Core Courses (10-11 credits)**

- **MORS 430:** Leadership in Organizations
- **ACCT 430:** Accounting for Decision Making
- **ACCT 431:** Managerial Accounting
- **MGMT 431:** Business Strategy
- **OPNS 440:** Designing and Managing Business Processes
- **MKTG 430:** Marketing Management
- **FINC 430:** Finance I and FINC 441 Finance II *or* FINC 440 Finance I/II
- **MECN 430:** Microeconomic Analysis
- **DSGN 490:** Design Thinking
- **IEMS 490:** Measurement and Valuation of Business Processes

### **SEEK 440A: Values and Crisis Decision Making (1/2 credit)**

Students must have completed at least eight credits at the end of the previous quarter to enroll in SEEK 440A. Attendance is mandatory for all sessions.

### **Global Elective Requirement (1 credit)**

One credit must be completed in an internationally oriented activity, either through an academic discipline-based course, participation in an experiential learning course with a broad focus, or a foreign immersion experience. Students may complete this requirement at any point during their time at Kellogg, but it must be satisfied prior to graduation. The course(s) used to satisfy the global elective

requirement must be taken for a letter grade, and independent studies may not be used. The options for satisfying the global elective requirement are available here: [kellogg.northwestern.edu/faculty/academics/global](http://kellogg.northwestern.edu/faculty/academics/global).

### **Additional Electives**

Students complete electives to fulfill the minimum number of credits required for graduation (24.5 credits for 2Ys and MMMs or 15.5 credits for 1Ys).

Core curriculum must be completed by the end of the first year and prior to being promoted to the second year.

### **COMPLETING A MAJOR**

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

### **MANDATORY FIRST CLASS ATTENDANCE POLICY**

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

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

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

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

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

- Religious holiday
- Medical emergency
- Funeral attendance
- Natural disasters or other “acts of God”

In addition, a professor’s discretion shall prevail in the event of other extenuating circumstances not listed above.

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

## **GRADUATION**

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

## **CORE COURSE WAIVERS**

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

There are two ways students may waive a core course: by application and/or by exam. Specific requirements vary by department. Students must complete all waiver procedures by the beginning of the fall quarter, even for core courses taken in subsequent quarters. Waiver exams for core courses are typically administered during Pre-Term. No student may waive MORS 430 Leadership in Organizations, MGMT 431 Business Strategy or SEEK 440A Values and Crisis Decision Making. Coursework completed within the last five years with a grade of B- or better may be considered in waiver decisions. If a student obtains a waiver, he or she will either be exempt from the course discipline or may be required to complete a more advanced course in that subject area before graduation. A waiver does not decrease the number of credits required to graduate.

Core course waiver procedures described above do not apply to 1Y students.

## ACADEMIC ADVISING

Academic advising is available through the Office of Student Affairs. Academic departments also provide suggested courses for specific career tracks. In addition, most departments will schedule walk-in times in early fall for students with questions.

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

## TRANSFER CREDIT

Students may receive transfer credit only for work completed as part of an approved exchange program.

## COURSE REGISTRATION

Beginning with the winter quarter in the first year, courses are selected with 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 and JD-MBA students and late October for 2Y and MMM students.

Registration holds on a student record can be removed only by the office that has placed the hold. Students should ensure that holds are resolved prior to the start of bidding; otherwise, students may not be able to place bids or add/drop classes.

Students must attend the class section for which they are registered. This applies to *all Kellogg courses*, including day, evening and Saturday classes in both Evanston and Chicago.

For current bidding information, please visit [kellogg.northwestern.edu/script\\_html/bid](http://kellogg.northwestern.edu/script_html/bid).

## DROPPING AND ADDING COURSES

Students may drop or add courses via the Course Bidding System. Courses dropped accidentally will not be reinstated. Students should check [kellogg.northwestern.edu/script\\_html/bid](http://kellogg.northwestern.edu/script_html/bid) for current bidding information.

Courses may be dropped up to the fourth week for 10-week courses and the second week for five-week courses. Classes dropped after the drop deadline will appear on the transcript with a grade of W. Students should confirm add and drop dates with the Registration Department.

Students may add courses, except those designated Mandatory First 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 will 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 requires full attendance at Pre-Term Complete Immersion in Management (CIM), MORS 430 Leadership in Organizations and SEEK 440A Values and Crisis Decision Making in order to register for the academic year. Students missing more than 20 percent of a class may be removed from the roster. Nonrequired courses are not repeatable, except in extraordinary circumstances. If a student retakes a failed course, the original grade will remain on the transcript. This is true of both Kellogg and non-Kellogg courses.

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

## **INDEPENDENT STUDY**

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

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

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

The registrar will notify the student, as well as the department, when final approval and enrollment are complete.

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## IMMUNIZATION REQUIREMENT

The Illinois College Student Immunization Act, 110 ILCS 20/3(a)(2), requires universities to obtain and retain proof of immunizations for all persons enrolled half-time (two credits) or more. Students who fail to submit the required documentation and fully comply with immunization requirements will be prohibited from future course registration and Northwestern University student access until they provide the necessary documentation.

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## MAINTAINING FULL-TIME STATUS/COURSE LOAD

Three to five credits constitute full-time study at Kellogg, which is required of full-time students. Tuition is based on a four-credit registration. There is no extra charge for a fifth credit, nor is tuition decreased if a student chooses to take three credits. The required Pre-Term MORS 430 Leadership in Organizations and SEEK 440A Values and Crisis Decision Making 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.

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## 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, and are limited to one credit per quarter of cross-registration. Visit the Graduate School website at [tgs.northwestern.edu/academics](https://tgs.northwestern.edu/academics).

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## GRADING

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

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

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

### **PASS/NO CREDIT GRADING**

Students may elect the Pass/No Credit (P/NC) option to take a more aggressive class schedule or to try out new subjects. The Pass/No Credit option may be used for a total of two credits (two 1.0-credit courses or four ½-credit courses). Within the guidelines specified, P/NC may be elected in any quarter and used in any combination up to the totals allowed.

To allow grade-based incentives, students may contract for a letter grade in the P/NC course. The Pass/No Credit option must be submitted by the add deadline for that course.

The Pass/No Credit option allows students to set a target letter grade in lieu of the Pass/No Credit grade. For example, if a student sets and earns a target grade of A, then the letter grade A would be awarded instead of the P or NC grade. But if a B or C grade is earned, a grade of P would be awarded. In either scenario, the Pass/No Credit option is considered used. If the target grade is met, the letter grade will appear on the transcript and is included in the GPA. If the target grade is not met but a grade of C or better is earned, the grade is not counted in the GPA, and a P will appear on the transcript.

To request the Pass/No Credit option, students must satisfy the following conditions:

- They must be Kellogg students in pursuit of the MBA degree to use this option.

- The Pass/No Credit option cannot be used for core courses, non-Kellogg courses, Global Initiatives in Management courses, SEEK 440A, the global elective requirement and most lab classes. Independent study courses may be taken P/NC with permission of the instructor.
- The Pass/No Credit option can be used to fulfill minimum requirements for a major only if the student's specified target letter grade of A, B or C is earned.
- The Pass/No Credit option may be used for a total of two credits. For example, the Pass/No Credit option may be used for two one-credit courses or four ½-credit courses.
- The Pass/No Credit option must be submitted one week prior to the start of the quarter or by the add deadline.

## **FINAL EXAMS**

All students must take in-class final exams as posted on the final exam schedule on the Kellogg website, or during the Early Exam program during the Winter and Spring quarters administered by the Office of Student Affairs. Any request for an exception to this requirement must be made in writing to the Office of Student Affairs. Professor approval is also required.

## **STANDARDS OF PROGRESS**

2Y students must have at least a 2.0 cumulative GPA (C average) to continue enrollment after the first year (three quarters) of study. 1Y students must have at least a 2.0 cumulative GPA (C average) to continue enrollment after the second quarter of study.

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

## **REGRADING POLICY**

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

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

2. Submissions for regrading must be made in writing, with the student outlining the specific areas of the work that he or she feels were incorrectly graded. All submissions should be signed and dated by the student.
3. Professors should regrade the work and return a written response to the student within 20 business days after the initial return of the paper, explaining the results of the review and indicating whether the student's grade has changed. Written confirmation of the decision should be submitted by the professors. (Off-campus faculty may be granted additional time by the senior associate dean or Registrar's Office).
4. If a student remains dissatisfied with the grading process, he or she will have up to five business days after receiving the regraded work to submit it a second time for regrading, as outlined in step 2 above.
5. Professors should regrade the work within five business days of receiving it, as outlined in step 3. This concludes the grading appeal process.

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

Grade changes are not possible after a degree is conferred.

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## LEAVES OF ABSENCE

A student may be granted a leave of absence for academic or personal reasons with approval from the assistant dean or director of registration and 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 quarter prior to their return to Kellogg. Most leaves are one year or less; however, individual circumstances determine justification and duration. Students in good standing have up to five years to complete degree requirements.

Students returning from leaves of absence must follow the guidelines and requirements for the class with which they will graduate.

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## EMPLOYMENT POLICY

Full-time students are discouraged from pursuing outside employment while classes are in session, due to the rigorous nature of the MBA program. Further, work and internship-related conflicts are not excuses for absences or requests for extensions. Students are encouraged to seek the advice of the Career Management Center and academic advising prior to committing to nonacademic pursuits.

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## INTERNATIONAL STUDENT EXCHANGE PROGRAM

Students may 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. Students are expected to follow the same level of academic standards at their exchange schools. A meeting is held in the fall quarter to provide further information, and applications are due in January of the first year.

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## HONORS AND DISTINCTIONS

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

Other awards include the Dean's Award for Academic Achievement (final cumulative GPA of 4.0), department Top Student Awards and the Dean's Distinguished Service Award for service to Kellogg. Students who earn a GPA of 3.75 or higher in any given quarter will qualify for the Dean's List for that quarter. Academic honors are noted on the official transcript.

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## FINANCIAL POLICIES AND PROCEDURES

Each student is responsible for his or her financial obligations to Northwestern University, even if financially sponsored in full or in part by a third party. Any questions about university financial procedures should be directed to the Office of Student Accounts, 555 Clark Street, Evanston, IL 60208, or call 847.491.5224.

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

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

## **BILLING PROCEDURES**

Quarterly tuition is typically billed the month prior to the beginning of the quarter and after registration has taken place.

Tuition bills for winter and spring quarters are posted electronically via CAESAR shortly after completion of advance registration for those quarters (mid-December and mid-March, respectively). When each new bill is posted online, an email notice is sent to the student's Kellogg email account.

Student billing addresses (home address listed on initial registration records) are maintained separately by Northwestern University through CAESAR. Students should 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.

Any questions about university financial regulations should be directed to the Office of Student Accounts, 555 Clark Street, Evanston, IL 60208, or call 847.491.5224.

## **WITHDRAWALS AND REFUNDS**

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

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.

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

## **FINANCIAL AID**

Information on applying for and receiving financial aid is available on Kellogg's financial aid website for Full-Time MBA students ([kellogg.northwestern.edu/fin\\_aid](http://kellogg.northwestern.edu/fin_aid)).

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

## **SATISFACTORY ACADEMIC PROGRESS (SAP) POLICY FOR FINANCIAL AID RECIPIENTS**

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

Full-time Kellogg students enrolled in the 2Y MBA Program, MMM Program and 1Y MBA Program must demonstrate SAP in the following three ways:

1. By maintaining a cumulative GPA of 2.0 or higher on a 4.0 scale.
2. By completing two-thirds of all credits attempted per academic quarter.
3. By completing their program of study within a specific time period.

### **Maintaining a Cumulative GPA of 2.0 or Higher**

2Y students must have at least a C average (2.0) 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.

The Kellogg Standards of Progress state that a student will be dismissed for academic reasons if, at the end of any quarter, the total record would require three or more grades of B to earn a 2.0 cumulative GPA. For this purpose, reports of incomplete and absence will be counted as a D grade. At the end of any quarter, a student whose cumulative GPA 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.

### **Completing Two-Thirds of All Credits Attempted per Academic Quarter**

Since Kellogg will allow students to drop courses up to the fourth week for 10-week courses and the second week for five-week courses, these dropped classes will not be included in the two-thirds of credits attempted. However, grades of D (poor), F (failing), X (excused absence for exam) or Y (incomplete) do not satisfy the requirements of the two-thirds completion rate. In addition, courses dropped after the add/drop deadline will be counted toward credits attempted.

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 quarter of enrollment. If they fail to make up the X or Y grade after one quarter, the grade will automatically become an F unless the student receives a written extension with a specific date of completion from the professor.

### **Completing the Program within a Specified Period**

Students must complete their programs within the following time frame:

**2Y MBA/MMM Programs:** Standard six quarters; the Kellogg Financial Aid Office may allow students to receive federal financial aid for up to two additional quarters in order to complete their program requirements.

**1Y MBA Program:** Standard four quarters; the Kellogg Financial Aid Office may allow students to receive federal financial aid for one additional quarter in order to complete their program requirements.

Students who elect 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 are required to complete an additional quarter beyond program requirements.

### **Evaluation of SAP**

Evaluation of SAP will be made by the Kellogg Office of Financial Aid once grades are posted at the end of each quarter (for the 1Y MBA Program) and at the end of the academic year (for the 2Y MBA/MMM Programs). This evaluation includes grades received, courses attempted, progress toward completing the program/graduate degree and GPA.

### **SAP Warning – 1Y MBA Program**

Please note that the SAP warning applies only to the 1Y MBA Program, because SAP for this program is reviewed after each academic quarter once the grades are posted. (Since the 2Y MBA/MMM Programs are reviewed after the first academic year, if SAP is not met, the student would be put in SAP suspension for the next quarter of enrollment.)

If a 1Y MBA student fails to meet the requirements for SAP for any academic quarter, the student will be placed on SAP warning for one quarter. During the warning period, the student will still be eligible to receive federal financial aid, but the student must meet the following criteria:

1. Complete at least two-thirds of all credits attempted during the following quarter with a grade of C or higher. Courses dropped after the fourth week for 10-week courses and after the second week for five-week courses will be counted toward the credits attempted. Grades of D (poor), F (failing), X (excused absence for exam) or Y (incomplete) do not satisfy the requirements of the two-thirds completion rule.
2. Maintain and earn a cumulative GPA of 2.0 or higher.
3. Be on track to complete the degree within the maximum allowed time frame.

Students will be notified via their Kellogg email account if they have been placed on SAP warning.

Please note that if a student does not enroll in the following quarter after an SAP warning is issued, the warning period will carry over to the next quarter of enrollment.

### **SAP Suspension**

Students who do not meet the terms of the SAP warning period (for the 1Y MBA Program) or do not meet SAP after the first academic year (for the 2Y MBA/MMM Programs) will be placed on SAP suspension. SAP suspension will designate that the student will not be eligible for federal financial aid. In order for a student on SAP suspension to reinstate his or her federal financial aid eligibility, the student must meet the following criteria:

- Complete 100% of the courses enrolled in for the suspension quarter with a grade of C or higher. Grades of D, F, X or Y will not be considered sufficient for meeting SAP. Such grades disqualify the student from receiving federal financial aid for the following quarter.
- Complete at least two courses according to the criteria above. Therefore, if the student enrolls in only one class for the first quarter of SAP suspension, he or she must complete that course with a grade of C or higher and then complete 100% of all courses for which the student is enrolled in the subsequent quarter before he or she can be reinstated.
- Any quarter in which the student does not enroll does not count toward SAP. Therefore, the suspension period will go into effect in the next quarter of enrollment.
- Any courses in which the student is enrolled before the add/drop period will count toward the SAP calculation. Therefore, any classes dropped after the fourth week for 10-week courses and after the second week for five-week courses will mean a failure to complete 100% of courses with a grade of C or higher and will result in continued suspension of federal financial aid.
- Maintain and achieve a cumulative GPA of 2.0 or higher.

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

## **Appeals**

If a student fails to meet the SAP requirements as stated above due to extenuating circumstances, such as a family member's death, illness (of the student or an immediate family member), etc., the student may submit a written and signed appeal to the Kellogg Financial Aid Office. The appeal must be received by the Office of Financial Aid within 15 days of receipt of the notice of SAP suspension.

The written appeal should explain any relevant extraordinary circumstances, address the reason(s) for failing to meet the minimum academic requirements and offer some solution to the problems that affected prior academic performance. Supporting documentation, such as statements from academic advisers, professors, professional healthcare providers, etc., may also be requested. The appeal will be reviewed by a committee chaired by the assistant dean, director of admissions and financial aid. All decisions made by the committee are final. Students will be notified if their appeal is granted or denied via their Kellogg email account.

If an appeal is granted, the student will be placed in one of two categories:

### **1. SAP Probation**

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

### **2. SAP Academic Plan**

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

## **Special Considerations for First-Time Financial Aid Applicants**

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

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

For questions regarding the SAP policy for the Kellogg full-time programs listed above, contact the Financial Aid Office at 847.491.3308 or [finaid@kellogg.northwestern.edu](mailto:finaid@kellogg.northwestern.edu).

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## 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 Northwestern University graduate or undergraduate language courses, if the courses do not conflict with Kellogg's academic calendar. Grades for these courses do appear on student transcripts.

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## GRIEVANCE PROCEDURE

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

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## CLASSROOM AND FACILITIES USE

The Office of Student Affairs manages most classroom schedules for the Donald P. Jacobs Center. Students may request the use of classrooms only for official Kellogg club or academic purposes; classrooms may not be reserved for personal use. Only students who are taking classes in the Jacobs Center are allowed to use its facilities.

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## KELLOGG DIRECTORY AND LISTSERV USE

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

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

Faculty and staff listservs should not be used for student-initiated communication without prior approval from the Dean's Office.

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## UNIVERSITY HEARING AND APPEALS SYSTEM (UHAS)

The University Hearing and Appeals System is Northwestern University's formal campus judicial process for conduct violation. The Northwestern University Student Handbook ([northwestern.edu/handbook](http://northwestern.edu/handbook)) describes the system in detail.

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## SERVICES FOR STUDENTS WITH DISABILITIES

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

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## POLICY ON DRUGS AND ALCOHOL

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

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

### **Classrooms at the Jacobs Center and Wieboldt Hall**

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

### **Public Spaces at the Jacobs Center and Wieboldt Hall**

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

## **Off-Campus Events**

School-funded or -administered off-campus events (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 (nonalcoholic) beverages must be provided as well as substantial amounts of food.

## **Marketing Materials**

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

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## **UNIVERSITY POLICY ON SEXUAL HARASSMENT**

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

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

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

## **SEXUAL ASSAULT HEARING AND APPEALS SYSTEM**

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

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## HAZING

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

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

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

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

### **Policy Guidance**

For advice or assistance regarding this policy, see [northwestern.edu/hr/eoo](http://northwestern.edu/hr/eoo).

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## BASIC STANDARDS OF ACADEMIC INTEGRITY

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

1. Cheating: Using unauthorized notes, study aids or information on an examination; altering a graded work after it has been returned, then submitting the work for regrading; allowing another person to do one's work and submitting that work under one's own name; submitting identical or similar papers for credit in more than one course without prior permission from the course instructors.
2. Plagiarism: Submitting material that in part or whole is not entirely one's own work without attributing those same portions to their correct source.

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

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## HONOR CODE

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

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

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

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

## **THE HONOR CODE PHILOSOPHY STATEMENT**

The students of the Kellogg School of Management regard honesty and integrity as qualities essential to the practice and profession of management. The purpose of the Kellogg Honor Code is to promote these qualities so that each student can

fully develop his or her individual potential. Upon admission, each student makes an agreement with his or her fellow students to abide by the Kellogg Honor Code. Students who violate the Kellogg Honor Code violate this agreement and must accept the sanction(s) imposed by the Kellogg community.

The Kellogg Honor Code is administered by students with support from the Dean's Office and is based on the concept of self-government. The efficacy of such a student-administered honor code is dependent upon a high degree of dedication to the ideals of honesty, integrity and equal opportunity reflected by the code. The Kellogg Honor Code requires that each student act with integrity in all Kellogg activities and that each student hold his or her peers to the same standard. In agreeing to abide by the code, 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. Honor Code Committee**

- i. *Role:* The Honor Code Committee is responsible for:
  - a. Interpreting the Honor Code.
  - b. Promoting the values of the Honor Code through communication with Kellogg students, faculty and administrators;
  - c. Serving as representatives of the student body on all issues pertaining to the Honor Code;
  - d. Assisting in investigations of suspected Honor Code violations (see Section II,D); and
  - e. Interpreting possible violations of the Honor Code.
- ii. *Composition:* The Honor Code Committee will include 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. The faculty representative is a nonvoting member of the Honor Code Committee and is also responsible for providing advice to the committee and feedback to the faculty about the Honor Code.
- iii. *Replacement:* If the assistant dean 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, or (b) in the case of faculty, another faculty member appointed by the assistant dean.

#### 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. 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 Kellogg Student Association (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 a 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.

#### C. The Assistant Dean

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

## II. SUSPECTED VIOLATIONS

### A. Reporting Suspected Violations

Students and faculty members are obligated to report suspected violations of the Honor Code promptly to a member of the Honor Code Committee, the assistant dean 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 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, 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 himself or 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. 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 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 (Section 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 Honor Code Committee investigator for the case shall promptly prepare minutes of the findings. The minutes shall not reveal the identities of any parties. The minutes shall be held by the assistant dean and shall be available for all future Honor Code Committees to review.

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

At any point in the hearing process, and at his or her sole discretion, the charged person may confess to the suspected violation and thus waive his or her right to a hearing. The charged person must inform the co-chairs of his or her decision as soon as possible, and subsequently provide a written and signed statement to the co-chairs detailing what violation is being confessed to and why the person is choosing to confess. This statement of confession will be kept confidential by the co-chairs and assistant dean.

In such situations, the committee, with the advice of the assistant dean, 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 email. Once the date, time and location for the hearing have been determined, which must be done with due haste, the co-chairs will provide written notification by email and/or registered mail to the local address of the charged person.

The notification will include:

- i. The date of the notice;
- ii. The name of the charged person;
- iii. The name of the charging person (if the charging person is a student, that student's written consent to be identified must be provided);
- iv. A description of the suspected violation;
- v. The date, time and place of the hearing; and
- vi. The names of persons appearing as witnesses against the charged person (provided again that any student witnesses must provide written consent to be identified).

#### B. Advisers/Spokespersons

The charged person and the 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. The adviser will attend the prehearing conference and the hearing and will provide advice to the party in question.

#### C. Prehearing Conference

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

#### D. Preparation

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

The charged person will be allowed to:

- i. Conduct his or her own investigation of the circumstances surrounding the reported violation; and
- ii. Request interviews from any persons believed to have information relevant to the incident.

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

#### E. Hearing Panel

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

- i. *Role:* The purpose of the panel is to provide the dean of Kellogg with a determination of fact and a recommended sanction, if any.
- ii. *Composition:* The panel will include one or both of the co-chairs, eight student members and at least one tenured faculty member. One of the student members will be chosen by the co-chair(s) to serve as secretary of the panel. The secretary will take minutes of the hearing.
- iii. *Appointing panel members:* The Office of the Assistant Dean 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 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. 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 generally not exceed eight hours.

- ii. *Observers*: Unless otherwise requested in writing by the charged person, hearings will be closed. Witnesses are not permitted to remain in the hearing room either before or after giving evidence. The charged person's adviser and/or spokesperson and the KSA investigator's adviser will be permitted to attend the hearing, if applicable.
- 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 will meet privately to discuss the hearing. Thereafter, the eight student panel members will convene in private, without faculty or administration advisers, and vote to determine whether the charged person is or is not guilty of violating the Honor Code. The co-chairs, the faculty panel members and the assistant dean will act as advisers to the panel as necessary. In providing advice to the panel members, faculty members should participate in discussions to ensure that all relevant information has been considered. However, it is inappropriate for faculty members to state their personal opinions regarding the guilt or innocence of the charged person.

## G. Burden of Proof

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

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

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

The written opinions shall be held by the assistant dean 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 whether a record of the charges and sanction(s) should be made a part of the student's permanent file.

I. Notification of Determination and Sanction

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

J. Appeals to the Dean of Kellogg

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

- i. The date the appeal is filed;
- ii. The name, address and telephone number of the person making the appeal; and
- iii. The basis for the appeal.

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

K. Results of Appeals

- i. *Determination of sanctions*: In connection with any appeal, the dean of Kellogg may accept the recommendation of sanctions of the hearing panel or the committee in whole or in part, or fashion a decision he or she feels is more appropriate.
- ii. *Appeals based on information unavailable or not reasonably known prior to the determination of the hearing panel*: If the dean of Kellogg determines that new information presented in the appeal is material, the dean will instruct the panel to hear such additional information. The dean may also instruct the panel to reconsider the original information. After considering the information specified by the dean, the panel will make a determination of fact as provided for in Section III,F,v and Section III,G and a recommendation of sanctions as provided for in Section III,H to be presented to the dean.
- iii. *Appeals based on the dean's determination of violation of procedure*: If the dean of Kellogg determines that a violation of procedure occurred during the process, then the dean will call a meeting of the Honor Code co-chairs, the KSA investigator and the assistant dean.

This group of four, excluding the dean, will make a determination by majority vote whether to:

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

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

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

#### L. Records

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

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

### IV. HONOR CODE CO-CHAIRS' REPORTS

#### A. Public Statement on Violations

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

- i. A description of the conduct that gave rise to the charge; and
- ii. The final decision regarding the range of sanctions considered and the basis for any changes resulting from appeals and the basis for such appeal.

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

## B. Annual Report

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

## V. AMENDMENTS

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

### A. Clarification of Provisions

If there is any provision in the Honor Code that requires clarification, but does not materially change the procedures or the spirit of the Honor Code, then such clarification may be made by a majority vote of the Honor Code co-chairs and committee members with the advice of the assistant dean. 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.

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## KELLOGG CODE OF CLASSROOM ETIQUETTE

The Kellogg Code of Classroom 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 adhere to the common standards of classroom etiquette based on the following principles:

## **Attendance**

- i. Students are expected to attend every class throughout the quarter. When unable to attend, the student should notify the professor in advance.
- ii. Mandatory First Attendance courses: Attendance is compulsory at the first class session. Failure to attend will result in exclusion from the class. Waitlisted 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 waitlist should be added to the class.
- iii. Class attendance is not excused for activities, including recruiting, conferences and case and business plan competitions.

## **Punctuality**

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

## **Responsible Learning**

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

## **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 prior to class. Leaving and re-entering the class is not permitted except in the event of an emergency.

## **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 email messages. Laptops must be closed for all speakers and guests.

## **Respect the Facilities/Respect for the Classroom**

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

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

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

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

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

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

For advice or assistance regarding this policy, see [northwestern.edu/hr/eo](http://northwestern.edu/hr/eo).

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

## **Kellogg School of Management**

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