

2022

STUDENT HANDBOOK

2023

Northwestern

INTRODUCTION

In the spirit of healing, we acknowledge and honor the Potawatomi, Odawa and Ojibwe Tribes, the original people of the land upon which Northwestern University stands.

Northwestern University considers you a valued member of our community. Your time here will be one of tremendous growth, exploration, and learning. A critical part of your growth is navigating the community standards that protect your rights and those of your fellow community members.

The Student Handbook was collaboratively developed by students, faculty, and staff and is reviewed each year with the input of a student review committee to ensure it reflects the changes to our community over time. Faculty and staff submit edits to assure the Handbook reflects changes in the law and University policies. The expectations outlined within its pages offer one of the most explicit expressions of our institutional values of collaboration, discovery, diversity, empathy, excellence, and stewardship.

Individually and as a University community we seek to be leaders in our communities and in the academy, but the discoveries of you, your peers, our faculty and staff have been and will be built in part because of imperfections, not despite them. Growth cannot exist without reflection on – and acceptance of – past mistakes.

Moments in the history of Northwestern, and those of our community's leaders, highlight shortcomings in our pursuit of excellence. Being a



good steward of Northwestern means reviewing and acknowledging the actions of Northwestern co-founder and Chairman of the Board (1851-1894¹) John Evans, whose “failure to fulfill his responsibility as superintendent of Indian Affairs to represent the best interests of Native people in Colorado²,” set the stage for the Sand Creek Massacre, where approximately 150 Cheyenne and Arapaho indigenous peoples, mostly women and children, lost their lives. It also means remembering Frances Willard, Northwestern’s first Dean of Women, who was a crucial part of progress in women’s rights, including the 8-hour work day and women’s suffrage, while acknowledging that her “public war of words” regarding Black suffragette Ida B. Wells’s anti-lynching campaign remains a stain on Willard’s legacy³. The students who led the 1968 Bursar’s Office Take-over are often celebrated, yet we still have work to do as an institution to fully address those requests⁴.

Our community, and in particular our students, have challenged Northwestern to continue to work towards repairing the harm of these mistakes and others. This Handbook defines the community expectations around your own behaviors as a student and the procedures Northwestern will follow to help you to learn, grow, and rectify those harmed when your choices diverge from our community standards. As you engage with the dynamic learning and social community here at Northwestern, we hope you will use the Handbook to steward you towards both your own goals and making a positive impact on our community.

¹ Leonard, Kevin B., University Archivist. ‘Evans Chairman of the Board Tenure’. Email, July 30, 2020.

² <https://www.northwestern.edu/magazine/fall2014/campuslife/john-evans-and-the-sand-creek-massacre.html>

³ <https://franceswillardhouse.org/frances-willard-and-ida-b-wells/>

⁴ <https://sites.northwestern.edu/bursars1968/>



TABLE OF CONTENTS

Community Values at Northwestern	06
Academic Conduct Policies.....	14
Academic Integrity.....	14
Basic Standards of Academic Integrity	15
Procedures	17
Sanctions.....	17
Student Code of Conduct	20
Scope of the Code of Conduct	22
Groups and Recognized Organizations.....	23
Prohibited and Restricted Conduct	24
Alcohol and Other Drugs.....	24
Alcohol.....	24
Cannabis	26
Other Drugs	26
Amnesty Through Responsible Action	27
Destruction of Property.....	29
Disorderly Conduct	29
Demonstration Policy.....	29
Endangering Self or Others	32
Failure to Comply	32
Fire Safety	33
Guests and Visitors	34
Hazing.....	34
Information Technology	37
Misconduct within the Student Conduct Process	37
Misrepresentation	38
Unauthorized Taking	39
University Properties (Use of).....	39
Violations of Other Policies	39
Weapons and Related Items.....	39
Sanctions	40
Conduct Records/Student Status	49

TABLE OF CONTENTS (CONTINUED)

Residence Hall and Housing Policies	53
Other University Policies and Procedures	70
<i>Alcohol at Events for Undergraduate Students</i>	<i>70</i>
<i>Family Education and Rights and Privacy Act (FERPA)</i>	<i>88</i>
<i>Fraternity and Sorority Recruitment for First-Year Students.....</i>	<i>89</i>
<i>Medical Leave of Absence Protocol.....</i>	<i>93</i>
<i>Off-Campus Noise</i>	<i>94</i>
<i>Respect NU – Hate Crimes and Bias Incidents.....</i>	<i>96</i>
<i>Campus Publicity.....</i>	<i>98</i>
<i>Study Abroad</i>	<i>100</i>
University Hearing and Appeals System	102
<i>Overview</i>	<i>102</i>
<i>Advisors</i>	<i>105</i>
<i>Time Limitations</i>	<i>106</i>
<i>Retaliation</i>	<i>106</i>
<i>Respondent Rights and Responsibilities in UHAS.....</i>	<i>107</i>
<i>Reports and Initial Inquiry.....</i>	<i>108</i>
<i>Interim Actions</i>	<i>110</i>
<i>Informal Resolution</i>	<i>112</i>
<i>Formal Resolution.....</i>	<i>113</i>
<i>Types of Formal Resolution</i>	<i>117</i>
<i>Non-Separation Level Cases</i>	<i>117</i>
<i>Separation- Level Cases</i>	<i>118</i>
<i>Additional Information about UHAS</i>	<i>126</i>
<i>Effect of Withdrawal</i>	<i>126</i>
Equity Policies	130



Statement of Community Values

Northwestern is a place where faculty, staff, and students engage in **COLLABORATION**, partnering to achieve success together.

- Disagreement and conflict are acknowledged in respectful discourse.
- Listening to and incorporating diverse perspectives allow us to achieve better outcomes.
- Partnering with others expands the reach of our success.

Northwestern University is a place where we learn through **DISCOVERY**, growing ourselves as we seek to enrich our community.

- Commitment to truth and knowledge is unwavering.
- Lifelong learning is expected.

Northwestern is a community where we embrace our **DIVERSITY**, affirming identity and fostering inclusion.

- Individual differences and unique perspectives are respected.
- Our common humanity is the basis for community relations.
- Unique cultural and ceremonial practices are affirmed.
- Inclusion is the foundation for decisions.

Northwestern University is a place where we connect with **EMPATHY**, building trust and respect for each other.

- Social responsibility and an ethic of care to others are extended to all members of the community.
- Accurate self-awareness is the foundation for empathy, compassion, and understanding others.
- Emotional, physical, and spiritual well-being is cultivated in academic and extracurricular life.

Northwestern is a community where we strive for **EXCELLENCE**, instilling rigor and a sense of pride.

- Missteps provide important feedback for innovation.
- Disciplined habits we build in small things lead us to excellence in our larger goals.
- Celebrating our accomplishments and resilience provides fuel for future endeavors.

Northwestern University is a community where we act with **STEWARDSHIP**, creating a better University for the future.

- Integrity, honesty, and accountability are expected.
- Pride and accountability for our past, reflection on our current endeavors, and visionary thinking helps us build a better Northwestern.

Rights and Responsibilities of the Northwestern Community

Becoming a member of the Northwestern University community is an honor, a privilege that carries with it prestige and respect. The University affords students a number of rights that are fundamental to membership in our shared community. But along with these privileges and rights, membership also requires students to meet and uphold community standards.

Remaining a member of the Northwestern community requires a student to continuously comply with policies governing students' academic progress, social interactions, and personal behavior. As stated in one of the policies below, "Student status at Northwestern is a privilege earned by meeting standards of academic performance and adherence to policies governing conduct."

University-enacted policies are found in several sources, including, but not limited to, the Undergraduate Catalog, the Graduate School Bulletin, the undergraduate and graduate housing bulletins, the residence hall contract, the University's website, notices disseminated from time to time by the University or its schools and departments, and—of course—this Student Handbook.

The exercise of individual rights by students and other members of the Northwestern community may not abridge the following rights, subject, in appropriate circumstances, to the University's right to take actions to protect the health and safety of the University community and its members, guests, and visitors.

1. The right of a faculty or staff member to exclude from a classroom or other University premises, during the progress of a class or other University sponsored program or activity, persons not enrolled in the class or other unauthorized persons.
2. The right to privacy of a student or faculty or staff member in his or her office or other work area or lodging.
3. The right of the University to take actions reasonably determined to secure the rights outlined above and to assure that students, faculty, and staff may pursue their legitimate goals on University premises or at University functions without interference.

Policy Statement on Student Rights and Responsibilities

At Northwestern University, life outside the classroom is an integral part of the educational process. The exercise of responsibility is an important part of the development of the full potential of the student as an individual and as a citizen. The student's awareness of the extent of his or her rights and responsibilities is necessary to the exercise of responsibility within the University community. To further these objectives and in recognition of students as members of the Northwestern University community, the University has adopted the following statement of policy.

This policy statement has been formulated in a spirit of cooperation and community by representatives of students, faculty, and administration. It is a living document and thus is subject to change through participation of representatives of the same groups who participated in the original formulation.

1. 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, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, or genetic information in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.
2. The student has freedom of research, of legitimate classroom discussion, and of the advocacy of alternative opinions to those presented in the classroom.
3. The student will be evaluated on knowledge and academic performance for purposes of granting academic credit and not on the basis of personal or political beliefs.
4. The teacher-student relationship within the classroom is confidential, and disclosures of a student's personal or political beliefs expressed in connection with course work will not be made public without explicit permission of the student. It is understood that the

teacher may undertake the usual evaluation of knowledge and academic performance.

5. Students' records may be released to persons outside the University only on request of the student or through compliance with applicable laws.
6. Information on rules, rates, and regulations deriving from contractual agreements with the University will be made available to students on request.
7. Students have a right to be secure in their possessions provided that the items they possess are not in violation of the law or a University policy. The University will not unreasonably search or take possession of students' belongings.
8. Students will be free from censorship in the publication and dissemination of their views as long as these are not represented as the views of Northwestern University and do not violate any University policies.
9. Student publications are free from any official action controlling editorial policy. Publications shall not bear the name of the University or purport to issue from it without University approval.
10. Students are free to form, join, and participate in any group for intellectual, religious, social, economic, political, or cultural purposes.
11. A student is free, individually or in association with other individuals, to engage in all campus activities, exercising the right of a citizen of the community, state, and nation, provided he or she does not in any way purport to represent the University.
12. Students are free to use campus facilities for meetings of recognized student organizations, subject to policies as to time and manner governing the facility.
13. Students may invite and hear speakers of their choice on subjects of their choice, and approval will not be withheld by University officers for the purpose of censorship.
14. Students will have their views and welfare considered in the formation of University policy and will be consulted by or represented on University committees that affect students as members of the University community.

15. Students are free to assemble, to demonstrate, to communicate, and to protest, recognizing that freedom requires order, discipline, and responsibility and further recognizing the right of all faculty and students to pursue their legitimate goals without interference.
16. Students will be exempt from disciplinary action or dismissal from the University except for academic failure, failure to pay a University debt, or violation of a student or University policy. Policies shall be fully and clearly communicated in advance of the alleged violation. The University has no authority over a student when outside University property, except where the student is on the property of a University affiliated institution, where the student is engaged in a project, seminar, or class for academic credit, or as otherwise provided in University policies and procedures (See the Student Code of Conduct [page 19](#)) or on property that falls within the jurisdiction of University Police. A student is subject to local, state, and federal statutes.
17. A student is free to be present on campus and to attend classes pending action on criminal or civil charges, except for reasons relating to his or her physical or emotional safety and wellbeing or for reasons relating to the safety and wellbeing of students, faculty, staff, or University property.
18. It is recognized that every member of the community has the responsibility to conduct him or herself in a manner that does not violate the rights and freedoms of others and has the responsibility to recognize the principles within this statement of policy.









ACADEMIC CONDUCT POLICIES

ACADEMIC CONDUCT POLICIES

For a more complete and detailed description of Northwestern's policies regarding academics, please see the Undergraduate Catalog, the Graduate School Bulletin, and specific policies and provisions promulgated by the individual schools, departments, and programs. Additional information can be found at www.northwestern.edu/provost/students/integrity.

Failure in Academic Work

Per University Statutes, Article V, 2: Whenever it shall appear that any student is not making satisfactory progress in his or her studies, the student may be dismissed in accordance with the duly approved process of the College or School in which the student is enrolled. The student shall have been formally notified no later than the middle of the term in question that, because of unsatisfactory work in a previous term or terms, he or she is liable to dismissal in the event of unsatisfactory work that term. In the absence of such notification the student shall be granted an opportunity for hearing by the faculty or its committee or board before the student is dismissed.

Academic Integrity

The principles set forth below arise from consultations carried out since 1990 with students, faculty, academic deans, the University General Counsel, and the Office of the Provost. Ratified by the Faculty Senate on May 13, 1992, they are the framework within which policies of the undergraduate and graduate schools of the University operate.

Academic integrity at Northwestern is based on a respect for individual achievement that lies at the heart of academic culture. Every faculty member and student, both graduate and undergraduate, belongs to a community of scholars where academic integrity is a fundamental commitment. The University as an institution makes collaboration and the pursuit of knowledge possible, but always promotes and evaluates individual effort and learning.

This statement broadly describes principles of student academic conduct supported by all academic programs at the University, at every level - undergraduate and graduate, and regardless of venue, including online courses and study abroad programs. More detailed standards of academic conduct, procedures, and sanctions are set forth by each of the schools. It is the responsibility of every member of the academic community to be familiar with the specific policies of his or her own school, and to bear in mind relevant policies governing activities not directly addressed herein, such as internships, specific graduate programs, and University research.

A. 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 examples represent some basic types of behavior that are 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.
3. **Fabrication:** falsifying or inventing any information, data, or citation; presenting data that were not gathered in accordance with standard guidelines defining the appropriate methods for collecting or generating data and failing to include an accurate account of the method by which the data were gathered or collected.
4. **Obtaining an unfair advantage:** (a) stealing, reproducing, circulating, or otherwise gaining access to examination materials prior to the time authorized by the instructor; (b) stealing, destroying, defacing, or concealing library materials with the purpose of depriving others of their use; (c) unauthorized collaborating on an academic assignment; (d) retaining, possessing, using, or circulating previously given examination materials, where those materials clearly indicate that they are to be returned to the instructor at the conclusion of the examination; (e) intentionally obstructing or interfering with another student's academic work; (f) recycling one's own work done in previous classes without obtaining permission from one's current instructor; or (g) otherwise undertaking activity with the purpose of creating or obtaining an unfair academic advantage over other students' academic work.
5. **Aiding and abetting academic dishonesty:** (a) providing material, information, or other assistance to another person with knowledge that such aid could be used in any of the violations stated above; (b) providing false information in connection with any inquiry regarding academic integrity; or (c) providing (including selling) class materials to websites that sell or otherwise share such materials – including homework, exams and exam solutions, submitted papers or projects, as well as original course materials (for example, note packets, Powerpoint decks, etc.). In addition to violating Northwestern's policies on academic integrity, such conduct may also violate University policies related to copyright protection.

6. ***Falsification of records and official documents:*** altering documents affecting academic records; forging signatures of authorization or falsifying information on an official academic document grade report, letter of permission, petition, drop/add form, ID card, or any other official University document.
7. ***Unauthorized access to computerized academic or administrative records or systems:*** viewing or altering computer records, modifying computer programs or systems, releasing or dispensing information gained via unauthorized access, or interfering with the use or availability of computer systems or information.

B. Due Process and Student Rights

In accordance with University Statutes, the enforcement of academic integrity lies with the faculties of the University's individual schools, and shall be in accordance with the procedures and provisions adopted by each individual school.

In all cases involving academic dishonesty, the student charged or suspected shall, at a minimum, be accorded the following rights:

1. Prompt investigation of all charges of academic dishonesty, to be conducted, insofar as possible, in a manner that prevents public disclosure of the student's identity. Such investigation may include informal review and discussion with an official of the school prior to bringing a charge, provided that such review does not compromise the rights of the student in the formal process.
2. Reasonable written notice of the facts and evidence underlying the charge of academic dishonesty and of the principle(s) of academic integrity said to have been violated.
3. Reasonable written notice of the procedure by which the accuracy of the charge will be determined.
4. Reasonable time, if requested, within which to prepare a response to the charge.
5. A hearing or meeting at which the student involved may be heard and the accuracy of the charge determined by a neutral decision maker.
6. Review of any adverse initial determination, if requested, by an appeals committee to whom the student has access in person. Generally, implementation of sanctions will be suspended until all appeals made by the student have been exhausted.
7. Final review of an unsuccessful appeal, if requested, by the Provost or an advisory committee designated by the Provost.

C. Procedures

Suspected cases of academic dishonesty should be reported to the course instructor, to the administration of the school under whose jurisdiction the suspected offense took place, or to any student authorized by that school to receive such complaints. Students charged with academic dishonesty may not change their registration in a course in which the charge is pending or in which a finding of academic dishonesty has been made. Procedures of investigation, adjudication, and appeal may vary from school to school (Current practice does not involve reporting to a student, but instead to the course instructor or to a member of the dean's office in the appropriate school).

D. Sanctions

All proven cases of academic dishonesty should be penalized as appropriate under the circumstances. Sanctions other than a reduced or failing grade should be imposed by the school in which the student is enrolled. The imposition of any sanction other than a private reprimand should include a statement of reasons supporting its severity. A student may appeal any finding or sanction as specified by the school holding jurisdiction. Sanctions may include but are not limited to:

1. Reduced or failing grade.
2. A letter of reprimand and warning.
3. A defined period of suspension, up to one year.
4. Ineligibility for certain awards, honors and special programs.
5. Revocation of an awarded degree.
6. Expulsion from the University (noted on an official transcript).
7. Any combination of the above.

(It should be understood that there is no necessary connection between a first-time offense and a letter of reprimand. Depending on the nature of the offense, a student may be suspended or expelled as a result of a first-time offense)

E. Reportability

Sanctions that do not result in separation from the University (suspension or expulsion) are not reported by Northwestern University to external entities unless: 1) the student consents to the disclosure; or 2) disclosure is required by law.

A photograph of a large crowd of students at a sports event, cheering with their arms raised. In the foreground, a young man with glasses and a black hoodie is smiling and clapping. Next to him, another student in a purple jersey is shouting with his mouth open. The background is filled with many other students, some wearing purple clothing. A large purple geometric shape, composed of several triangles, is overlaid on the top right portion of the image, partially obscuring the crowd.

STUDENT CODE OF CONDUCT



NORTHWESTERN

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WILDCATS



STATEMENT OF EXPECTATIONS

As members of the University community, all students, groups of students, and recognized student organizations are expected to exemplify Northwestern's community principles and values, to engage in socially responsible behavior, and to model exceptional conduct, character, and citizenship on campus and beyond.

When learning of conduct or behavior that may not meet these standards, community members are expected to take an active role in upholding our community principles and values. Students are encouraged to alert the police or emergency personnel; report the behavior to University officials; confront the situation as it occurs; or speak directly to the individuals involved. All emergencies should be reported by calling police through 911. For information on filing a report of concern with the Office of Community Standards, please see page 109.



SCOPE OF THE CODE OF CONDUCT

The Student Code of Conduct applies to the following situations. The University reserves the right to investigate and resolve reports of alleged misconduct in all of these situations:



- Involving students, a group of students, or a student organization affiliated with any school or department or the University as a whole (undergraduate or graduate).
- Occurring from the time of a student's application for admission through the actual awarding of a degree (even if the conduct is not discovered until after a degree is awarded), including, but not limited to:
 - During the academic year
 - Before classes begin or after classes end
 - During time pursuing credit away from the campus (e.g., study abroad, internships, coops)
 - During periods between terms of actual enrollment
 - While on leave from the University
- Occurring either on or off campus



The expectations outlined in the [*Northwestern University Student Expectations and COVID-19 Code of Conduct*](#), including social distancing and masking, may apply to conduct occurring both on and off-campus.

The University reserves the right to investigate and resolve any report or incident in which a student is alleged to violate any of the principles or policies published by the University or local, state, or federal laws or policies, regardless of the location where the incident occurs. Students are also expected to follow the policies and procedures of institutions that they may visit, including during international travel.

University and residence hall guests are expected to follow all University policies. Student hosts are accountable for the conduct of their guests and may be subject to disciplinary action as the responsible party for violations of University policy incurred by their guests. This applies to individuals, groups, and recognized student organizations.

GROUPS AND RECOGNIZED ORGANIZATIONS

Groups of students and recognized student organizations (here after referred to as “organizations”) are expected to comply with all University policies, including the Student Code of Conduct and all additional policies pertaining to groups and organizations. A group or organization may be held responsible for the actions and behaviors of its members and guests. The decision to hold a group or organization responsible as a whole is ultimately determined by examining all the circumstances of a situation and by taking into account factors including, but not limited to, whether the actions:

1. Were committed by one or more officers or authorized representatives acting in the scope of their group or organizational capacities;
2. Involved, were committed by, or were condoned by (actively or passively) a significant number of organization members, alumni, or guests;
3. Occurred at or in connection with an activity or event funded, sponsored, publicized, advertised, or communicated about by the group or organization;
4. Occurred at a location over which the group or organization had control at the time of the action;
5. Occurred at or in connection with an activity or event that reasonable people would associate with the group or organization;
6. Should have been foreseen by the organization or its officers, but reasonable precautions against such actions were not taken;
7. Were the result of a policy or practice of the organization;
8. Would be attributable to the organization under the group's own policies (including local or national risk management guidelines); or
9. Were taken by individuals who, but for their affiliation with the organization, would not have been involved in the incident.

Or whether:

10. One or more officers or members of an organization fail to report knowledge or information about a violation to, or otherwise fail to cooperate with, appropriate University or emergency officials; or
11. The organization, or any member acting on its behalf, fails to satisfactorily complete the terms of any disciplinary sanction or outcome.

Collective and Individual Responsibility

Groups of students and recognized student organizations, as well as their members and officers, may be held collectively and/or individually responsible for violations of the Student Code of Conduct or other University policies as part of their role during an incident or participation in the UHAS process. See also Misconduct within the Student Conduct Process on [page 37](#).

Additionally, in cases where students are knowingly affiliating with or providing assistance to unrecognized organizations or groups, the University will use these factors to determine if Misconduct Related to Unrecognized Student Organizations or Groups may apply, see [pg. 38](#).

PROHIBITED AND RESTRICTED CONDUCT

The following behaviors are prohibited or restricted by this Student Code of Conduct. Violations of these policies, or assisting or encouraging others in the violation of these policies, may lead to disciplinary action. An attempt to commit any of these acts, as well as assisting or willfully encouraging any such act, is considered a violation of University policy.

Alcohol, Cannabis, and Other Drugs

A caring, safe, and well-informed community [fosters an environment in which we can all live and learn](#). To that end, the Northwestern community [shares responsibility for promoting healthy behavior](#). In [supporting each individual's health and wellbeing](#), we assist students, staff, and faculty in understanding the risks associated with consuming alcohol and other drugs while seeking to [minimize the harm to self and others](#) caused by the misuse and abuse of these substances.

The following are the primary policies related to alcohol, cannabis, and other drugs that apply to Northwestern Students. Northwestern's full Policy on Drugs and Alcohol can be found here: <https://policies.northwestern.edu/docs/drugs-and-alcohol-policy.pdf>

Alcohol

Misconduct related to alcohol and alcoholic beverages, including the following:

- a. Use or possession of alcohol, or containers that previously contained alcohol, by individuals under the age of 21 (or the age of majority in the jurisdiction);
- b. Manufacturing alcoholic beverages on University property, premises, or facilities (except as specifically authorized by the University) or by individuals under the age of 21;



- c. Providing or distributing alcohol to individuals under the age of 21;
- d. Severe intoxication resulting in disruptive behaviors or concern for the student's well-being, regardless of age;
- e. Driving under the influence of alcohol or while intoxicated;
- f. Possession of open containers of alcohol in public buildings, parks, beaches, highways, streets, alleys, sidewalks, parkways, and public parking lots (except as specifically authorized by legal authority); and
- g. Violations of other laws pertaining to alcohol.

The following is considered misconduct related to alcohol when a student is on campus or at an event affiliated with Northwestern or a Northwestern organization (including student organizations).

- h. Possession of kegs or other large storage devices, quantity-dispensing containers, or common sources of alcohol (except as specifically authorized by the University), regardless of age;
- i. Drinking practices or games that encourage participants to consume alcohol or promote intoxication and any paraphernalia that supports such activities are prohibited, regardless of age;
- j. Use or possession of alcohol, regardless of age, in any dry or alcohol-free spaces on campus including, but not limited to, all fraternity/sorority houses, and designated areas in the residence halls and academic buildings;
- k. Possession of open containers of alcohol on University property, in University facilities, or in University vehicles or transportation (except as specifically authorized by the University). Approval for alcohol in outdoor spaces can be obtained through the Events Planning Office at Norris University Center; and
- l. The sale of alcohol on campus without explicit permission from the Events Planning Office at Norris University Center and an Evanston liquor license.



Students who live in University housing must also abide by the Residence Hall and Housing Policies related to alcohol which can be found on [page 54](#) (as is applicable by housing type).

Students and student organizations who wish to plan an event for undergraduate students at which alcohol is available for individuals over the age of 21 should consult the [Policy Regarding Alcohol at Events for Undergraduates](#). Any undergraduate event, at which alcohol will be served, is expected to prioritize the safety and welfare of all guests by, at minimum, following the provisions noted in the policy, which can be found on [page 70](#).



Cannabis

“Cannabis” means the parts, products, and derivatives of the plant *Cannabis sativa*, *indica*, *ruderalis* and hybrid strains, regardless of the delta-9-tetrahydrocannabinol level. Pursuant to federal law, Northwestern University prohibits the possession, use, manufacture, cultivation, distribution, and storage of cannabis for any purpose by students, faculty, staff, and visitors on all of Northwestern University’s campuses and properties and at University-sponsored events. Please consult [Northwestern’s FAQ](#) on these issues for further details.

Misconduct relating to cannabis, including the following:

- a. Possession, use, distribution or cultivation of cannabis by any individual on campus or at a University Sponsored Event;
- b. Possession, use, distribution or cultivation of cannabis by those individuals off campus under the age of 21 or above levels determined by IL State law;
- c. Severe cannabis intoxication resulting in disruptive behaviors or concern for the student’s well-being, regardless of age;
- d. Driving under the influence of cannabis;
- e. Being in the presence of the use cannabis on campus; and
- f. Violations of other laws pertaining to cannabis.

Other Drugs

Misconduct related to illegal drugs and controlled substances (including narcotics, cocaine, heroin, prescription medication, synthetic cannabinoids or other drugs, and any chemical substantially similar to a controlled substance), including the following:

- a. Possession, use, or misuse of illegal drugs or controlled substances (except as expressly permitted by all levels of legal authority);
- b. Possession, use, manufacturing, or distribution of drug paraphernalia;
- c. Manufacturing or distribution of illegal drugs or controlled substances;
- d. Driving under the influence of any illegal drug or controlled substance;
- e. Being in the presence of the use or misuse of illegal drugs or controlled substances on campus; and
- f. Violations of other University drug policies or federal, state, and local laws pertaining to illegal drugs and controlled substances.

Resources for students experiencing alcohol and/or drug related concerns or who have alcohol and/or drug related questions can be found here: www.northwestern.edu/alcohol-resources/resources-support/support-for-students/index.html

Amnesty through Responsible Action

At Northwestern, the wellbeing of students is of primary importance. Each student plays a critical role in creating a community of care. Northwestern encourages students and student groups to ensure the well-being of others by taking responsible steps to seek assistance for individuals who are intoxicated/impaired (including themselves). When this occurs, the University honors that care by prioritizing educational and supportive responses. The University will not hold students or student groups who take such action (for them-selves or others), or for whom such action is taken, accountable for violations of the University's alcohol and other drug policies (with the exception of driving under the influence).

To be eligible for Amnesty through Responsible Action you must:

1. **CALL for help:** In medical emergencies, immediate action should be taken by calling 9-1-1 from either on or off campus. You may also activate a University Blue Light emergency phone anywhere on campus. In non-emergency situations, responding staff or emergency personnel can also be sought by contacting NUPD (847-491-3456) or, for students in residence halls, your Resident Assistant on-duty (phone number varies by building) or the Community Service Officer (CSO) in your building.
2. **STAY** with the person until responding staff or emergency personnel arrives and you have been told your assistance is no longer needed.
3. **COOPERATE** with responding staff or emergency personnel, including all requests for information and assistance.

In a situation where a student or member(s) of a student group takes responsible action (for themselves or for others) and calls, stays, and cooperates, or has such action taken for them, the responding party (e.g., NUPD, Resident Assistant) will fully document the incident. Students will be asked to provide their name, ID number, and contact information to the responding party(ies). Students and if applicable, student groups will receive a notice from the Office of Community Standards and are expected to attend a meeting with a staff member regarding the incident.

If it is determined through this meeting that the student or student group followed all required steps to be eligible for Amnesty through Responsible Action, the student or student group will not be held accountable for an alcohol or other drug related policy violation (with the exception of driving under the influence). The student may still be asked to complete an alcohol or other drug intervention and to complete educational activities.



For example, a student may be required to participate in BASICS or alcohol and other drug education group through Health Promotion and Wellness, or may be required to seek an evaluation for substance abuse and to follow treatment recommendations. Student groups may be asked to participate in educational activities. Amnesty through Responsible Action applies only to alcohol and other drug related policies. If other policy violations occurred, or may have occurred, the student or student group will participate in the student conduct process related to those policies and may be found responsible.

In order for Amnesty through Responsible Action to apply, the student or student group must agree to timely completion of any educational assignment, recommended assessment, and/or treatment. In the event that a student who receives medical assistance fails to complete the required course of action, or exhibits a pattern of problematic behavior with alcohol, that student or student group may be subject to formal disciplinary action.

As with any incident involving alcohol, parents of students under the legal drinking age will be notified. A student group that facilitates the acquisition of alcohol may also be required to notify its advisor, provide an educational program for its members, and/or change its processes for hosting events.

Should the student or student group be found responsible for a subsequent violation of University policy, the any Amnesty through Responsible Action the student has received will be reviewed for the purposes of determining an appropriate outcome, but will not be counted as a prior violation.

In limited circumstances, multiple violations of the alcohol, cannabis, and other drugs policy, inclusive of cases that received Amnesty through Responsible Action, may prompt a higher degree of concern and action that may result in separation from the university and/or referral to a alcohol, cannabis, or other drug intervention..



Amnesty Through Responsible Action, In Summary

1. The incident will be documented by the responding party (e.g., NUPD, Resident Assistant) in an incident report submitted to the Office of Community Standards.
2. Students involved will meet with staff from the Office of Community Standards to share their account of what occurred.
3. If a student is found to be eligible for Amnesty related to alcohol or other drug misconduct:
 - a. The student will not receive any disciplinary outcomes (e.g., warning or probation).
 - b. The student may receive educational outcomes such as participating in an alcohol or other drug intervention and/or having a parent letter sent home (as with any incident involving alcohol, parents of students under the legal drinking age will be notified).

4. If the student is not found to be eligible for Amnesty or there are additional allegations of policy violations unrelated to alcohol or drug misconduct, the student may receive both disciplinary and educational outcomes.



Destruction of Property

Destroying, damaging, defacing, or vandalizing property.

Discrimination, Harassment, and Sexual Misconduct

Discrimination, Harassment, or Sexual Misconduct related concerns can be filed directly with the [Office of Equity](#). Additional information about the Policy on Institutional Equity and the Interim Policy on Title IX Sexual Harassment can be found on [page 129](#).

Disorderly Conduct

The wellbeing and orderly function of the University community depends on students and community members adopting respect and collaboration as central tenets of a healthy Northwestern. Disorderly conduct or disruptive acts are prohibited, including the following:

- a. Engaging in behavior that objectively prevents a student or group of students from benefiting from a class, program or activity.
- b. Significantly interfering with the functioning of the University.
- c. Causing or allowing excessive or disruptive noise, including but not limited to violations of residence hall quiet hours or Evanston noise ordinances.
- d. Urinating or defecating in public view or in a public space, or in any space not intended for such purpose.

Demonstration Policy

Northwestern welcomes the expression of ideas, including viewpoints that may be considered unorthodox or unpopular. The University encourages freedom of speech, freedom of inquiry, freedom of dissent, and freedom to demonstrate in a peaceful fashion. Regardless of their own views, community members share a corresponding responsibility to welcome and promote this freedom for all. They also share a responsibility to maintain an atmosphere conducive to scholarly, creative, and educational pursuits and to respect the safety and rights of all individuals. In order to promote these interests and to ensure the safe and effective operation of University business, this Policy establishes the parameters community members are expected to adhere to when engaging in free expression and peaceful demonstration.

i. General Guidelines

To allow for freedom of expression and peaceful demonstration on campus while also respecting the University's operations, the following guidelines for demonstration are in place:

- A. **Rights of others.** No community member may prevent or obstruct (or attempt to prevent or obstruct) the speech or other expression of another community member, except that Northwestern Police or other University officials may act consistent with this Policy to ensure the speech or other expression of community members is consistent with the guidelines in this Policy. Similarly, no community member may deprive (or attempt to deprive) others of participation in a University activity, threaten use of force against any community member, or otherwise interfere with the function of others within the University.
- B. **University operations.** No community member may prevent or obstruct (or attempt to prevent or obstruct) (i) the regularly scheduled activities of the University, such as classes, research, learning, meetings, interviews, ceremonies, emergency services, or University business; (ii) co-curricular activities; (iii) University or public events; or (iv) medical center access or business. Similarly, no community member may use or occupy campus facilities so as to impede the carrying forward of such activities or events. Groups may occupy space but not in a manner that blocks movement around the campus (including but not limited to entrance to or egress from any campus building, campus facility, or University-owned and -maintained roadway or pathway) unless authorized by a University official.
- C. **Research areas.** Demonstrations cannot take place in research areas where the presence of participants would compromise individual safety or violate laws, regulations, or Northwestern policies relating to research safety.
- D. **Signs.** Placards, banners, and signs may not obstruct the view of those assembled or endanger other community members.
- E. **Police and other officials.** The role of Northwestern Police during a demonstration is to maximize the safety and security of community members as well as University property. When enforcing this Policy, other Northwestern policies, or applicable law, Northwestern Police or other University officials may request community members to identify themselves and/or instruct community members to remove placards, banners, or signs or to leave a University location. When possible participants will first be given a warning to leave or remove placards, banners, or signs, unless a life safety issue prevents that step. Community members are expected to follow these requests.

F. **Facilities.** All events are subject to the requirements and limitations of the event's location, including [room occupancy](#). All events must comply with applicable [building safety codes](#).

G. **Other laws and policies.** Participants in demonstrations or protests are subject to other Northwestern policies, city ordinances, and state and federal law in addition to this Policy.

II. Event Notification and Other Advance Arrangements

A. **Student events.** To facilitate advance planning of an event and to help protect the community, students and/or student groups are encouraged to notify [Student Organizations and Activities](#) in advance of any demonstration (see [FAQs](#) created in support of student events). Notification should be submitted at least 48 hours before the start of the event. Whenever possible, students and/or student groups should give additional advance notice, ideally two weeks or more, to best facilitate planning. Student Organizations and Activities are not authorized to deny these events.

However, when conducting such events, student organizers are expected to promote a safe environment and, to the best of their ability, ensure participants adhere to the Student Code of Conduct.

B. **Event Support Team (EST).** Once notified of a planned demonstration, typically involving students, the University will convene the EST, which provides on-site support to assist with management of the event. The EST will actively attempt to preserve open discourse surrounding and during the event.

C. **Resources for risk assessment.** Occasionally an invited speaker or event will raise a credible likelihood (based on prior incidents or communications of intent) that the speaker or event may prompt a demonstration or become the target of threats or violence. In these circumstances, community members planning an event are encouraged to notify [Student Organizations and Activities](#) and/or Northwestern Police as soon as is feasible to consult and conduct a risk assessment.

D. **Reserving space.** Community members are expected to follow applicable guidelines for seeking permission to use University space to conduct demonstrations. All outdoor events and activities are subject to the requirements outlined in Northwestern's [Outdoor Event Request Portal](#).

E. **Security.** Community members planning an event may need police presence or security, especially if there is a possibility of protest or dissent. Northwestern Police will assess and determine the safety and security needs for the event. Their assessment may result in the presence of police officers, security officers, and

processes such as bag-check, event ticketing, and other steps to maximize the safety of attendees and the broader community.

- F. **Media.** Faculty or staff planning to invite journalists other than Northwestern student journalists to cover an event should contact [Global Marketing and Communications](#) in advance of the event.

III. Counter Demonstration

A protest, demonstration, or event on campus may cause further dissent, resulting in a counter demonstration. The guidelines in this Policy also apply to counter demonstrations. When such an occasion arises, it is the responsibility of the University as well as all involved to allow for freedom of expression from all individuals. University officers may designate a separate area for counter demonstration.

Consequences of Violating this Policy

If faculty, staff, students, or student organizations are suspected of violating this Policy, the matter will be referred to the appropriate office or department for follow up under University policies and procedures. There is no typical sanction associated with violations of this Policy. Each case is context specific; in determining whether a sanction is warranted, considerations include the severity of the violation of this and any other relevant policies as well as any prior misconduct.



Endangering Self or Others

Any action (or threat of action) that endangers or threatens to endanger the health, safety, or wellbeing of any person (including oneself). Severity and/or persistence may be considered.

Conduct that can amount to endangering self or others includes, but is not limited to:

- alcohol, cannabis or other drug use resulting in assessment for hospitalization or transport for hospitalization;
- alcohol distribution resulting in Severe Intoxication;
- acts that endanger human life, or threaten physical injury;
- unwanted physical contact with any person that reasonably places that person in fear of physical injury or danger (e.g., physical restriction, fighting, pushing, punching, slapping, spitting on, and/or kicking any person).

Failure to Comply

The Student Code of Conduct and all other University policies are designed with the safety and well-being of the University community

in mind. As such, students are expected to comply with the request or instruction of a University official when they are addressing policy or student code of conduct violations or concerns. This includes, but is not limited to, the following prohibited conduct:

- Failure to comply promptly with the reasonable request or instruction of a university official or emergency personnel acting in an official capacity;
- Refusing to provide identification;
- Refusing to dispose of or turn over to university authorities prohibited items;
- Failing to respond; and,
- Failing to follow temporary expectations or guidelines imposed for the purposes of safety and welfare, such as those associated with COVID-19.

Students encountering requests to comply with a University official that they believe exhibit demonstrable signs of being rooted in bias can report the incident via the [*Respect NU: Bias Report Form*](#). You may learn more about how the University defines bias and the Bias Incident Reporting Process on [pg 94](#).



Fire Safety

Acts that jeopardize the safety or security of the University, the University community, or any University facilities, building, or premises, including Intentionally damaging or destroying property by fire or explosives;

- a. Creating or maintaining a fire or fire hazard (except as specifically authorized), including burning candles or incense or use of unauthorized (or misuse of authorized) appliances or heating devices, including toasters, microwaves, hot plates, and space heaters;
- b. Tampering with or misuse of emergency or fire safety equipment, including emergency call devices, fire alarms, fire exits, firefighting equipment, smoke/heat detectors, or sprinkler systems;
- c. Failing to immediately exit any facility or building when a fire alarm or other emergency notification has been sounded, or hindering or impairing the orderly evacuation of any University facility, building, or premises;
- d. Smoking in any enclosed University facility, in any designated outdoor areas, or within 25 feet of an entrance, open window, ventilation intake, or similar feature of any enclosed University facility; and
- e. Violations of state or local fire and fire-related ordinances.



Guest and Visitors

Knowingly allowing visitors or guests to violate this Student Code of Conduct or other University policies, or failing to monitor the behavior of visitors or guests to assure they adhere to such standards may result in student conduct action for the host(s).

Hazing

It is the responsibility of all students/student organizations to encourage an atmosphere of learning, social responsibility, and respect for human dignity and to provide positive influences and constructive development for members and aspiring members. Students/organizations are expected to use good judgment to determine the abilities of individual students as they relate to organization activities and requirements. If a healthy team or organization is being created and the values and purpose of the organization are being upheld, chances are the organization will not have to worry about whether or not an activity is hazing. Hazing leads to dysfunction within the organization and is ineffective at creating teamwork, respect, and unity, and it is an unproductive and hazardous custom that is forbidden by the University. For Helpful Information about Hazing, [see page 36](#).



Hazing is defined as any action taken or situation created, intentionally or unintentionally, whether on or off University premises and whether presented as optional or required, to produce: mental, physical, or emotional discomfort; servitude; degradation; 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, or other organization, regardless of an individual's willingness to participate. Acceptance of or consent to an activity on the part of a new member or individual does not justify an individual, organization, or group's sponsorship of the activity.

Such actions and situations may include, but are not limited to, the following:

- Any physical abuse expected of or inflicted upon another, including paddling, tattooing, or branding in any form;
- Any strenuous physical activity expected of or inflicted upon another, including calisthenics or physical training as punishment;
- Creation of excessive fatigue, sleep deprivation, or interference with scholastic activities, including late night work sessions, meetings, or sleepovers;
- Physical and psychological shocks, including lineups, berating, verbal abuse, threats, and name calling;
- Sexual violations or other required, encouraged, or expected sexual activity, whether actual or simulated;

- Prolonged exposure to severe or inclement weather;
- Periods of silence or social isolation;
- Kidnapping, road trips, abandonment, scavenger hunts, or any other involuntary excursions;
- Wearing of uniforms or apparel that is conspicuous and not normally in good taste;
- Engaging in degrading or humiliating games, activities, stunts, or buffoonery; including requiring, encouraging, or expecting individuals to carry, possess, or maintain objects or items;
- Requiring or compelling the consumption of liquid (including alcohol), food, drinks, or other substances;
- Servitude or placing another in a position of servitude, including requiring, encouraging, or expecting a new member to do the tasks of, or to do tasks for, an experienced member, or to address members with honorary or formal titles;
- Taking, withholding, or interfering with an individual's personal property;
- Falsely leading an individual or individuals to believe that they will be inducted or initiated by participating in particular activities;
- Depriving an individual of any privileges of membership or affiliation to which one is entitled;
- Removing, stealing, taking, or damaging public or private property; and
- Requiring, encouraging, or expecting individuals to participate in activities that are illegal or unlawful or are not consistent with the group's mission or values or the policies of the University, including the Student Code of Conduct.

Reporting

An individual who makes a timely good faith report of hazing and/or participates in good faith in an investigation will not be subject to disciplinary action by the University for conduct or policy violation(s) related to and revealed in the report or investigation (i.e. underage consumption of alcohol or use of drugs), unless the University determines that the violation was serious and/or placed the health or safety of others at risk. The University may follow up with good faith participants in an informal manner. This provision may also apply to student organizations/groups making a report of hazing involving individual members.

Failure of an individual in a leadership role or position of power to address and/or report an act of hazing committed against another individual may also be considered an abuse of power and a violation of this policy. Silent participation in the presence of hazing are not

neutral acts; they are violations of this policy.

Any violation of this policy should be reported to the Dean of Students Office (847-491-8430), the Office of Community Standards (847-491-4582), or online via NUhelp at www.northwestern.edu/hazing-prevention/reporting/how-to-report/index.html

Individuals, as well as groups of students and student organizations, may face disciplinary sanctions (up to and including removal from the University) for acts of hazing. Hazing activities may also violate the Illinois Hazing Act, 720 ILCS §5/12C50, which carries criminal penalties of up to three years' imprisonment and a \$25,000 fine.

Helpful Information about Hazing

If you have questions about what could be hazing or would like to discuss tradition/practices or need assistance in improving the effectiveness of your organization's new member orientation process, please contact the Campus Life at hazingprevention@northwestern.edu.

The University is committed to removing hazing, and to that end it encourages students/student organizations to review their traditions/practices with a staff member without fear of retribution or adjudication.

Questions one can ask to determine if an activity/process might be unhealthy or even hazing:

- *Would I do this in public? In front of my parents?
The university president? For local news or the school paper?*
- *Is this required of all members or just new ones? Are expectations of current members less than those of new members?*
- *What happens if it is not completed by a new member or a current member? Are the consequences more severe for the new member?*
- *What is the purpose of this activity? Is it in line with the purpose of the group? Is it the most effective way to achieve this outcome?*
- *Does this separate the new members from the rest of the group or make them feel less important?*
- *Could this be potentially harmful?*
- *Would I ask a member of my family, such as a younger brother or sister to be a part of this?*
- *Does this process truly prepare the new member for what they need to know to be a part of the organization?*

Information Technology

Misconduct related to University computer, network, or telecommunications systems or resources, including the following:

- a. Unauthorized use of facilities, services, equipment, account numbers, or files, including using a NetID or account assigned to another user or providing another user with access to your NetID or account;
- b. Reading, copying, changing, deleting, tampering with, or destruction of another user's files, software, programs, and accounts (including monitoring another user's data communications) without permission of the owner;
- c. Use of University resources to interfere with the work of another student, a faculty member, or a University official, or that otherwise interferes with normal operation of University systems;
- d. Use of computing facilities and resources in violation of copyright laws (including unauthorized downloading or sharing of copyrighted files); and
- e. Violation of any other University policy regarding computers, networks, or electronic communication.



Misconduct within the Student Conduct Process

Misconduct related to the student conduct process (University Hearing and Appeals System) or an Equity investigation, including the following:

- a. Failure or refusal to appear upon request or to cooperate in the investigation, hearing, or administration of cases of alleged offenses as outlined in Respondent Rights and Responsibilities in UHAS on [page 108](#);
- b. Falsification, distortion, or misrepresentation of information in the investigation, hearing, or administration of cases of alleged policy violation;
- c. Institution of a frivolous or malicious student conduct proceeding (including an appeal);
- d. Any action that attempts to retaliate against, intimidate, threaten, coerce, discriminate against, or improperly influence any Northwestern community member for reporting alleged violations of policy or concern for the health or safety of a Northwestern community member, assisting another in making such a report, or participating in an investigation or resolution of such matters;

- e. Unauthorized release or disclosure of information related to a student conduct proceeding;
- f. Failure to comply with the sanctions or outcomes imposed for violations of this code or other University policies; and
- g. Failure to comply with the interim actions or informal resolution put in place by a University administrator, including, but not limited to, failure to comply with a no-contact directive.

Misconduct Related to Unrecognized Student Organizations or Groups

To knowingly affiliate with or provide assistance to any groups, teams, or organizations that have had their University recognition withdrawn, suspended or permanently revoked by the University for disciplinary reasons or not meeting the registered student organization annual requirements is prohibited. The definition of affiliation includes joining, rushing, pledging or being involved in any activity that would normally be associated with being a member of such an organization. This applies to organizations or social clubs that were created, even under a different name by members of a de-recognized organization, in an attempt to continue its presence in the community. Students perpetuating and/or affiliating with these organizations are subject to disciplinary action.

For a list of student organizations that are currently not recognized by the University due to disciplinary reasons, visit <https://www.northwestern.edu/communitystandards/data-statistics/student-organization-conduct-status-report.html>.

Misrepresentation

Acts of fraud, misrepresentation, or dishonesty, including the following:

- a. Forgery, alteration, or misuse of University documents, records, or identification or other materials;
- b. Knowingly furnishing false, forged, or inappropriately altered information to the University, any University official, or emergency response personnel;
- c. Intentionally misrepresenting the University, any University official, your status at the University or utilizing the University's brand without permission; and
- d. Possession, use, manufacture, or distribution of identification cards or devices that are false or fraudulent or that misrepresent an individual's identity, age, or other personal characteristics, including using another individual's identification.



- e. Intentionally initiating or causing to be initiated any false report, warning, or threat of emergency or crisis;

Unauthorized Taking

Unauthorized taking of property, including the following:

- a. Taking (e.g., stealing, theft) of property or services that do not belong to you without permission from the owner; and
- b. Knowing possession, sale, or distribution of stolen property or materials.

University Properties (Use of)

Unauthorized access to, entry to, presence in, or use of University properties, including the following:

- a. University facilities, property, systems, or services;
- b. Roofs, balconies, or fire escapes of any University building or facility for any purpose except in case of an emergency;
- c. Hosting an event in a University-owned or University-operated facility, property, or space that exceeds policies governing that space, including capacity or time restrictions; and
- d. Possession, duplication, distribution, or use of keys, access codes, access cards, or other means of entry or access to any University property, premises, or location.

Violations of Other Policies

Actions that violate federal, state, or local laws or ordinances or that violate other University policies may also be violations of the Student Code of Conduct.

Weapons and Related Items

Misconduct related to firearms, weapons of any description, fireworks or explosive devices, or dangerous substances and materials (see listing at www.northwestern.edu/up/docs/Weapons-on-Campus-Policy_5-14-15final.pdf), including the following:

- a. Possession of any such item on University premises or at University activities or events (except as specifically authorized); and
- b. Use or brandishing of any such item, even if legally possessed, in a manner that harms, threatens, causes fear to, or otherwise endangers others.

SANCTIONS

When a student or student organization is found in violation of the Code of Conduct, any of the following types of sanctions may be assigned. Sanctions should be appropriate to the policy violation(s) for which they are assigned.

- to reestablish alignment with the community standards while considering the common good, which sometimes necessitates the temporary or permanent removal of the Respondent from the University community;
- to repair the harm for those impacted by the Respondent;
- to restore the Respondent to good standing within the University community, provided the safety of the community is not jeopardized by the individual's presence; and
- to address the cause of the violation and to allow Respondents to reflect upon their actions and their impact on themselves, others, and the University community.

The following factors may be considered to guide the range and variation of sanctions:

- nature, context, and severity of an incident;
- developmental needs of the student/student organization;
- level of accountability and responsibility taken by the student/student organization;
- need to stop the misconduct and prevent its recurrence;
- impact of the conduct on the reporter when one exists;
- impact of the conduct on the community or the University;
- need to remedy and address the impact or effects of the conduct on others;
- disciplinary history of the student /student organization;¹
- best interests of the University community, and;
- any other aggravating, mitigating, or relevant factors.

A student's use of alcohol or other drugs prior to or in connection with an incident—even if lawfully consumed—will generally be viewed as an aggravating factor. Participation in high risk drinking or drug behavior, including, but not limited to, the participation in drinking games or other excessive abusive or irresponsible patterns of consumptions, are generally seen as additional aggravating factors.

The Four Types of Harm: In an effort to understand the context related to the three sanctioning factors related to impact – impact to the reporter, impact to the community, and the need to remedy and address those impacts – the parties and the University may choose to

1. For student organizations, the deciding body will review the group's history for the three years prior to the incident date.



reflect on or consider distinct types of harm resulting from an incident. Northwestern's conduct process is not a fully restorative one but does incorporate restorative practices such as the four types of harm (Karp & Armour, 2019) for the purposes of sanctioning. The first, emotional/spiritual harm, involves incidents that create emotional or spiritual strife for another individual. Material or physical harms occur when a behavior results in something broken or it creates a financial cost to another individual. Communal or relational harm arises when behaviors damage the relationship between parties. Structural or historical harm result from incidents that replicate historical or structural harms within a community. For more information on the four types of harm, visit <https://www.northwestern.edu/communitystandards/student-handbook/sanctions/index.html>.

* Karp, D. R., & Armour, M. (2019). *The little book of restorative justice for colleges and universities: Repairing harm and rebuilding trust in response to student misconduct*. Good Books.

Where it is reasonably believed that a violation of any University policy has been committed against any person or group because of the person's or group's race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, genetic information, or any other classification protected by law or policy, or because of the perception that a person or group has some such characteristic, sanctions may be enhanced up to and including separation from the University (e.g., University Suspension, Degree Revocation, Expulsion, or Group Dissolution).

Compliance with all assigned sanctions within the time allocated is mandatory. Failure to complete or comply with any assigned sanction, or failure to meet an assigned deadline (if applicable), may result in further disciplinary action, and/or the placement of a hold on a student's University account. If a student withdraws or takes a leave from Northwestern prior to the completion of their sanctions, they must complete all assigned sanctions before they will be able to re-enroll.

Disciplinary Sanctions (Individual)

University Warning. Formal notice that a student's actions violated a University policy, that such actions are not acceptable in our community, and that further misconduct, or any other violation of a University policy, may result in more impactful disciplinary action. Students are thus expected to reflect upon their decisions and to be mindful of how their future choices and actions may impact themselves, others, and the University community.

Conduct Review. Conduct Review indicates that a student's behavior is a significant violation of University policy either because the student

has had one significant incident or because the student is beginning to show a pattern of concerning behavior. Conduct Review is imposed for a specific period of time to encourage students to reflect upon their choices and behavior and to demonstrate the ability to abide by University policies and expectations. During this time, a student's behaviors will be observed and any policy violations committed during this period will likely result in a heightened level of response and a more significant sanction such as disciplinary probation or separation from the University. Conduct Review will be assigned for a minimum of three months and typically a maximum of a year.

Though Conduct Review does not place any formal restriction on a student's privileges or activities, it may impact opportunities for which a student's disciplinary record is considered as a criterion for participation.

Disciplinary Probation. A status imposed for a specific period of time to alert the student to the fact that their behaviors are substantially inconsistent with University policy and expectation. During this time, students are asked to take active steps toward improving their decisions and behaviors and to demonstrate that they can abide by University policy and succeed as a member of the Northwestern community. Any policy violation while the student is on disciplinary probation, will result in strong consideration of whether the student is a good fit for the Northwestern community and of whether separation from the University (i.e., suspension, expulsion) is necessary. Probation will frequently be accompanied by a Loss or Restriction of Privileges or Activities sanction (see below).

Disciplinary probation may impact other opportunities for which a student's disciplinary record is considered as a criterion for participation.

Suspension. A status, imposed for a minimum of one full academic quarter, in which students are removed from the University and may not register for classes, attend classes, submit coursework, receive academic credit, remain in University housing, or participate in any function or event sponsored by the University or any of its departments, groups, or organizations (unless specifically authorized by the Dean of Students, or designee). A suspended student may also be banned, during their suspension, from entering, visiting, or being present on University property or facilities including for the purposes of work (unless specifically authorized by the Dean of Students, or designee). Suspension may also include the imposition of conditions for reenrollment. The maximum length of a suspension is two years.

Suspensions from the Pritzker School of Law are noted on student transcripts. Suspensions of those enrolled in other schools are not noted on a student's official transcript.

If a student who has been suspended does not reenroll in the University within two years of the end of the suspension term (or longer if

specified), the student may not reenter the University without acceptance of a formal application by the Office of Admission and approval of the Vice President for Student Affairs, or designee (and completion of any other conditions that may have been imposed for reentry).

A student who is suspended after having satisfied all degree requirements will not be awarded their degree until the period of suspension is over and they have met all conditions for reenrollment. The student may not participate in commencement exercises until the period of suspension is over and they have been approved to reenroll.

In the event a disciplinary suspension and an academic or medical withdrawal occur simultaneously, the leaves of absence are to be effective consecutively, and not concurrently, unless otherwise determined by the Case Resolution Coordinators or panel.

Degree Revocation. A student's degree is revoked. Degree revocation includes forfeiture of all rights and responsibilities associated with the degree, and forfeiture of tuition and fees. All restrictions outlined under Expulsion also apply, including the prohibition from applying to be a student at Northwestern University in the future. Degree revocations are noted on all student transcripts.

Expulsion. Expulsion is the permanent removal of the student from the University. Expulsion includes forfeiture of all rights and degrees not conferred at the time of the expulsion, withdrawal from all courses, and forfeiture of tuition and fees. A student who has been expelled may not register for classes, submit coursework, receive academic credit, attend classes, remain in University housing, or participate in any function or event sponsored by the University or any of its departments, groups, or organizations (unless specifically authorized by the dean of students, or designee). A student who is expelled is also banned from entering, visiting, or being present on University property or facilities including for the purposes of work (unless specifically authorized by the Dean of Students, or designee). A student who has been expelled may never apply to be a student at Northwestern University again. Expulsions are noted on student transcripts.

Fine. Fines are punitive monetary costs intended to dissuade students from violating the Code of Conduct. Fines collected are used by the University to fund services and programs for students.

Financial Restitution. Restitution is monetary compensation required of students who have taken, misused, damaged, or destroyed University, public, or private property or services. Amounts charged to students may include the cost to repair, replace, recover, clean, or otherwise account for the property or services affected.

Loss or Restriction of Privileges or Activities. The withdrawal of the use of services or privileges as a student or member of the community,

or the loss of the privilege to participate in an activity or event. Examples include:

- Restriction on representing Northwestern University in any official capacity;
- Restriction from holding positions of leadership in any University recognized student group or organization or from being hired by University departments to serve in leadership roles;
- Restriction from attendance at University events or activities;
- Restriction on use of University resources;
- Restriction on entry or access to particular locations, premises, or events;
- Restriction on contact with another member or group of members of the University community;
- Restriction on ability to study abroad; and
- Additional conditions as deemed appropriate by the Case Resolution Coordinators/panel.

Restrictions on Access or Contact. Restrictions or prohibitions on a student's entry or access to particular locations, premises, or events, or on a student's contact with another member of the University community.

Disciplinary Housing Sanctions (Individual or Group)

Housing sanctions may be imposed in conjunction with violations of residence hall policies, in conjunction with violations related to on-campus residential facilities (including fraternity and sorority houses), or as otherwise appropriate. Housing sanctions include the following:

Housing Warning. Formal notice that a student's actions violated a Housing policy, that such actions are not acceptable in our community, and that further misconduct, or any other violation of a Housing policy, may result in more impactful disciplinary action. Students are thus expected to reflect upon their decisions and to be mindful of how their future choices and actions may impact themselves, others, and the Housing community.

Housing Probation. A status, imposed for a specific period of time, to allow students to reflect upon their choices and behavior and to demonstrate the ability to abide by policies and expectations. Any violation that occurs while on this status may result in a sanction of relocation, suspension, or removal from a residential facility or fraternity/sorority house. Students may be required to resign any office or committee appointment associated with Residential Services or its affiliated student organizations. Housing Probation is typically assigned for a minimum of the rest of the quarter.

Housing Suspension. Requires a student to vacate their residence hall, residential college, or fraternity/sorority house for a specified period of time, with the understanding the student may return to a space within the housing system at the conclusion of that period. Students suspended from housing must comply with all University vacancy procedures, including properly turning in keys and checking out of the hall. All access to the residence hall, residential college, or fraternity/sorority house may be terminated and students may not be able to enter into or visit any residence hall, residential college, or fraternity/sorority house during the suspension period. Housing fees may be forfeited. Housing Suspension is typically assigned for a minimum of the rest of the quarter, and may be assigned for up to two years.

Housing Relocation. Requires a student to move to a different residential facility or housing unit. The new location and timeline for move are determined by Residential Services.

Housing Removal. Permanent removal from residence halls, residential colleges, and fraternity/sorority houses. Students removed from housing must comply with all University vacancy procedures, including properly turning in keys and checking out of the housing unit. All access to the residence hall, residential college, or fraternity/sorority house may be terminated and students may not be able to enter into or visit any residence hall, residential college, or fraternity/sorority house. Housing fees may be forfeited.

Restriction on Guest Privileges. A student's privileges with respect to hosting guests in a residential facility may be restricted or revoked for a specified period of time.

Financial Housing Restitution. When damages are done to housing facilities, Financial Housing Restitution may be assigned. Amounts charged to students may include cost to repair, replace, recover, clean, or otherwise account for the property or services affected. When responsible individuals cannot be identified, restitution may be charged to all residents of the smallest applicable area of the housing unit, the total being divided equally. Alternately, residence hall governments may be assessed.

Disciplinary Sanctions (Group)

Group Formal Warning. Formal notice and censure that a student group's or organization's actions violated a University policy, that such actions are not acceptable in our community, and that further misconduct, or any other violation of a University policy, may result in more serious disciplinary action. Student groups and organizations are thus expected to reflect upon their decisions and to be mindful of how their future choices and actions may impact themselves, others, and the University community.

Group Conduct Review. Group Conduct Review indicates that a group's

behavior is a significant violation of University policy either because the group has had one significant incident or because the group is beginning to show a pattern of concerning behavior. Conduct Review is imposed for a specific period of time to encourage groups to reflect upon their choices and behavior and to demonstrate the ability to abide by University policies and expectations. During this time, a group's behaviors will be observed and any policy violations committed during this period will likely result in a heightened level of response and a more significant sanction such as group probation, suspension or dissolution. Conduct Review will be assigned for a minimum of three months and typically a maximum of a year.

Group Probation. A status imposed on a student group or organization for a specific period of time to alert the group to the fact that their choices and behaviors are significantly inconsistent with University policy and expectations. During this time, the group is asked to take active steps toward improving the actions of their group and to demonstrate that they can abide by University policy. Any policy violations while a group is on Disciplinary Probation will result in strong consideration of Group Suspension or Group Dissolution. Group Probation will be assigned for a minimum of three months and typically not more than two years. Probation will frequently be accompanied by a Loss or Restriction of Privileges or Activities sanction (see [page 46](#)).

Group Suspension. This action is a total separation of the group from the University for a specified period of time. This includes total restriction on the organization and its members or supporters conducting any activity on the campuses of the University or at off-campus University-associated events that in any way promote the goals, purposes, identity, programs, membership, or activities of the organization. Group suspension is typically assigned for a minimum of the remainder of the academic year. Once the suspension period is over, if the group has met all other terms of its sanction, it will be allowed to resume activity as a recognized group.

Group Dissolution. Group Dissolution is the termination of the group or organization's recognition by the University. This action is a total separation of the group from the University. This includes total restriction on the organization and its members or supporters conducting any activity on the campuses of the University or at off-campus University-associated events that in any way promote the goals, purposes, identity, programs, membership, or activities of the organization. Once dissolved, a group or organization may only reapply for recognition once all current members have left the University community.

Fine. Fines are punitive monetary costs intended to dissuade student groups from violating the Code of Conduct. Fines collected are used by the University to fund services and programs for students. Fines for student groups and organizations will be assessed to the student group as a whole.

Financial Restitution. Restitution is monetary compensation required of student groups who have taken, misused, damaged, or destroyed University, public, or private property or services. Amounts charged to student groups/organizations may include cost to repair, replace, recover, clean, or otherwise account for the property or services affected. Financial Restitution for student groups and organizations will be assessed to the student group as a whole.

Loss or Restriction of Privileges or Activities. The withdrawal of the use of services or privileges as a student group or organization or the loss of the privilege to participate in an activity or event. Examples include:

- Restriction on representing Northwestern University in any official capacity;
- Restriction from participation in University-affiliated programs, events, and/or activities;
- Restriction on the group's use of University resources (e.g., ability to receive University affiliated funding, reside in University Housing)
- Restriction on the group's entry or access to particular locations, premises, or events;
- Restriction on the group's ability to host or participate in programs or events;
- Restriction on the group's ability to host programs or events with alcohol;
- Restriction in the group's co-programming with other groups or organizations on campus; and
- Additional conditions as deemed appropriate by the Case Resolution Coordinators/panel.

Educational, Interventional, and Restorative Sanctions (Individuals and Groups)

Sanctions of an educational, intervening, developmental, restorative, supportive, and sustaining nature will be used to ensure students learn the most from their actions and are best equipped to make better decisions in the future. Options include but are not limited to the following.

Educational Requirements. Participation or completion of a project, class, or other activity to build awareness or knowledge relevant to the nature of the offense or oneself, including research papers, personal reflections, workshops, organizing events, designing community education, or preparing an action plan.

Disciplinary Service Hours. Disciplinary service hours may be assigned, and must be completed (a) at a nonprofit organization, (b) under supervision of an employee or volunteer coordinator who is

not a friend or relative of the student, and (c) without payment or other compensation for the work performed. Disciplinary service hours may, but need not, be completed for an office or department of Northwestern University. Disciplinary service hours may not count towards service learning hours or other community service required by another program, scholarship, or organization. Court-mandated community service may count towards disciplinary service hours. Deadlines for disciplinary service hours may vary.

Referrals to Other Offices, Departments, Programs, or Agencies. Attendance at and completion of any educational programs, interventions, or assessments to which a student is referred. This includes referrals to on and off-campus resources for services including, but not limited to, substance-use assessments and interventions and interventions/education programs for abusive/controlling behaviors.

Mental Health/Medical Assessment and/or Treatment (individual only): Requirement that a student seeks a mental health, medical, substance use, or threat assessment from Counseling and Psychological Services, Health Services, or other appropriate professional and follows through with the recommendations of the professional.

Restorative Actions. Requiring a student to engage in actions to restore the impact of a violation and repair the harms resulting from misconduct on other members of the community. These actions may include letters of apology, drafting and implementing a plan of resolution, engaging in restorative justice conferences, and developing plans for reintegration.

Parent or Family Notification. Contact with a student's parents or legal guardians may occur or be required in certain circumstances in connection with a matter involving alleged student misconduct, including when (a) there has been a determination that the student's use or possession of alcohol or a controlled substance constitutes a violation of University policy or any federal, state, or local law and the student is under the age of 21 at the time of disclosure; (b) knowledge of such information is necessary to protect the health or safety of a student in connection with an emergency; or (c) the disclosure is otherwise authorized by law and University policy.

Notification to National Organization Representatives, Officers, or Advisers (group only). The organization's national representative, officers, and/or advisers may be notified of the violation for which the student organization has been found responsible.

Other Reasonable Sanctions. Any reasonable sanction may be assigned that appropriately promotes the education and development of a student or student organization, ensures safety, or otherwise furthers the mission of the Office of Community Standards.

CONDUCT RECORDS/ STUDENT STATUS

All student disciplinary files (paper and electronic formats) that involve matters resolved by the Division of Student Affairs are kept and maintained by the Office of Community Standards and are considered educational records subject to the federal Family Educational Rights and Privacy Act (FERPA) and University policy.

Disciplinary matters that result in suspension, expulsion, or degree revocation are kept permanently and will be reported to external third parties (such as graduate schools, employers, or licensing agencies) as required or permitted by law and University policy. Disciplinary matters that do not result in suspension, expulsion, or degree revocation are kept until a student's graduation plus an additional amount of time as specified by law or University policy (generally seven years) but will not be reported to external third parties unless required by law or specifically requested by the student.

The University may also report disciplinary matters that remain unresolved and pending at the time a student left or withdrew from the University, as required or permitted by law and University policy. Records of pending matters are kept indefinitely; once resolved, they are kept and maintained according to the policies stated above. Any response to a request for student disciplinary records will include a statement explaining the University's policy regarding retention and reporting of disciplinary records.

The final outcome of student organization/group conduct cases are not protected under FERPA. The Office of Community Standards publishes the final outcomes of student organization cases on the department's website. In circumstances where the resolution of a case is ongoing, information will not be shared publicly by the Office of Community Standards.

POLICY FOUNDATION

Building an effective community is facilitated primarily by residents' respect for one another and cooperation with fellow residents and hall staff. Policies and procedures are in place to ensure the successful development of our residential community and a safe and secure environment for all residents. In addition, all policies contained within, apply to residents, non-residents and guests that enter the residential facilities. Failure to comply with any University policies and procedures, including those outlined here, may result in action through the student conduct process, known as the University Hearing and Appeals System, as is outlined on [page 101](#) of this document.

During the year, Residential Services may find it necessary to update these policies and procedures to ensure the best interests of the campus community are maintained. If this situation occurs, Residential Services will notify all residents in a timely manner.



A photograph of a campus courtyard featuring several multi-story brick buildings. A paved walkway curves through a green lawn area. A large, semi-transparent purple geometric overlay, composed of various triangles, covers the upper and right portions of the image. The text 'RESIDENCE HALL POLICIES AND PROCEDURES' is centered in the lower half of the image, overlaid on the purple and green areas.

RESIDENCE HALL POLICIES AND PROCEDURES

RESPONSIBILITIES TO THE COMMUNITY

- Every community member has a role in creating and sustaining an inclusive environment. We expect you to explore your own beliefs and values, learn about people's experiences and identities, and engage in meaningful dialogue.
- As a member of this community you are empowered to have ongoing communication with your neighbors. This can include building meaningful relationships, navigating moments of conflict, or addressing violations of community standards. You are expected to approach community members with maturity and an intent to understand, in order to foster open dialogue and a sense of belonging.
- Your community is your home. You are encouraged to take pride in the presentation and upkeep of this shared space. As a resident, please take ownership of your community by properly caring for, maintaining, and respecting University property. Use your voice to uphold these standards and help others do the same.



Resident Rights

Members of the residential community at Northwestern University agree to uphold the following basic rights of all residents:

- The right to read, study, and live free from undue interference, un-reasonable noise, and other unreasonable distractions that inhibit the exercise of this right;
- The right to expect that others will respect one's personal belongings;
- The right to a reasonably clean environment in which to live, including the right to a smoke free environment;
- The right to access one's room and to the residential facilities, except when there is a significant threat to health or safety or violation of University policy;
- The right to personal privacy;
- The right to have any alleged violations of policy resolved through the University Hearing and Appeals System; and
- The right to be free from physical or psychological intimidation, harassment, and/or harm.

RESIDENCE HALL POLICIES AND PROCEDURES

The policies and procedures outlined below are included in the residence and board contract between student residents and Northwestern University. As such, all residents are responsible for complying with these policies and procedures in addition to the policies outlined in the Student Code of Conduct and all other University policies. Residents are responsible for the activities that occur in their room or apartment, regardless of whether they are present or not. When policy violations occur in a room or apartment, the University may follow up with all residents of that room or apartment. The residents who are responsible for, or whose guests or visitors are responsible for the violation, will be held responsible.

In conjunction with Student Code of Conduct, all residents and their guests are expected to comply with all reasonable requests and instructions of all University officials and emergency personnel, including Residential Services staff, resident assistants, graduate resident assistants, and community service officers. This includes the expectation that residents and their guests comply with requests such as responding to correspondence and opening doors to residential rooms, suites, and public spaces when there is a need to enter to ensure the general safety and welfare of students or to follow up on suspected violations of University policies, providing valid identification, and disposing of prohibited items when requested.

For the most up-to-date version of these provisions, see www.northwestern.edu/living/about-us/policies/index.html.

Access, Keys, and Key Cards

1. All keys and key cards (including Wildcards) are the property of Northwestern University. Residents and non-resident residential college members are prohibited at all times from giving and/or loaning their keys/access cards to anyone for any reason. Any duplication of University keys/access cards is strictly prohibited. Replacements for lost keys must be obtained from the building/area desk, and Wildcards must be replaced at the Wildcard office. If a room door key is lost, the door lock is automatically changed, for which the charge (including a new key) is \$106. If a key card is lost, or if a temporary access card isn't returned within 24 hours, there is a \$25 replacement fee. If a key is broken, it will be replaced without charge, provided all of the pieces are returned to the neighborhood desk. Damaged Wildcards must be reported to the Wildcard office to avoid a \$25 replacement fee.
2. If you become locked out of your room/suite/apartment, you may go to your area desk to borrow a temp key or access card.

If you are unable to go to your area desk physically, you may call the desk to request a staff member let you into your room/suite/apartment. You may receive one (1) free lock out per quarter, after which you will be assessed a \$10.00 charge for each subsequent lock out. Failure to return a temp key or access card by the time indicated may result in additional fees. All fees/charges will be assessed to your Student Account and must be paid as indicated by Student Finance.

3. Any student vacating a residence hall for any reason—including, but not limited to, withdrawal from the University, moving to a different residence hall, or vacating the hall at the end of the academic year in June—must notify Residential Services of their check out through the communicated check-out process within 48 hours of their room change or move-out date. Failure to return any keys or access cards assigned within this time limit will be cause for the assessment of damages as specified in the residence and board contract and an improper checkout charge.
4. Residents are prohibited from: entering vacated rooms, entering buildings during times when they are closed, entering other restricted areas, or entering and exiting through windows for any purpose except in case of an emergency.



Alcohol

1. Students under the age of 21 may not be present in any undergraduate residence hall location in which an alcohol policy violation is occurring. Students under the age of 21 are expected to leave the location in which the alcohol policy violation is occurring or notify appropriate staff members to stop the violation.
2. Students who live in substance free living units are not permitted to consume alcohol in their residence, regardless of age.
3. Residents (other than those living in substance free units) who are 21 years of age or older may consume alcohol in the privacy of their rooms/apartments so long as the only individuals under 21 are the student's roommates (or in the case of students in graduate residence halls, family members), the event does not become public, does not create a disturbance, and the number of individuals present does not exceed double the occupancy of the sleeping quarters (e.g., four people in a double room).
4. "Progressive parties" involving multiple rooms or multiple floors where alcohol is present are prohibited.
5. Residents and their guests may not possess or use alcohol, regardless of age, in any common area of a residential facility in-

cluding all residence halls and graduate housing facilities (except as specifically authorized by Residential Services).

6. Graduate students, residing in graduate housing facilities, who are over the age of 21, may consume alcohol in community lounge spaces, not including children's play areas, so long as no disturbance is created, common source containers (i.e. – kegs) are not present, and all individuals consume responsibly.
7. No alcohol is permitted in any undergraduate residence hall at any time during Wildcat Welcome, regardless of age.
8. Participation in activities that facilitate or promote the rapid, dangerous, and/or forced consumption of alcohol (i.e. drinking games) is prohibited.
9. Outside of approved alumni events, alcohol may not be sold or distributed in the residence halls. This prohibition includes, but is not limited to: cash bars; events to which admission tickets are sold or fees are charged (e.g. entertainment charge or annual dues); fees for access to an open bar; and, parties at which alcoholic beverages are served and for which contribution or donations to offset the costs of the party are sought.

Facility Use

1. Rooms must be maintained in good sanitary condition and free of any noxious odors. A noxious odor is any aroma of such intensity that it becomes apparent to others within the community. Any odor may become noxious or offensive when it is too strong. Some examples are excessive perfume, air freshener, or large amounts of dirty laundry. When the source of a noxious odor can be traced to an individual room or space, the occupants of that room may be subject to disciplinary action.
2. Rooms must be returned in the same condition as when first occupied, with ordinary wear and tear excepted. Damage to students' rooms, including costs for replacing missing furnishings, will be charged to the last known student occupants of that room. Assessments for damages are made as needed, but at least annually, by the University.
3. Students must vacate rooms at the end of the fall and spring quarters as outlined in the housing agreement, and within 48 hours from the effective date of an approved room change.
4. The removal or opening of window screens, or of stops designed to limit the opening of the window, by residents, either permanently or for a short period of time, is prohibited.

5. All University furnishings and fixtures must remain in the room they are assigned to at all times. Furniture in lounges and common areas must not be removed from the room they are located in.
6. Playing musical instruments in any resident's room is prohibited when the playing disturbs the community.
7. Engaging in physical activities of any kind in public spaces, outside of areas designated for physical activity (e.g. fitness centers), in the residential facilities is prohibited. Examples of prohibited activities include skateboarding, tossing a football or basketball, use of hover boards, and riding bicycles.
8. Residence halls are restricted areas and may not be used for sale and solicitation of goods and services, for the collection of information, or to gain support for organizations or causes without permission from Residential Services. Residents must occupy their assigned spaces solely as personal residences. Students may not operate a business or other commercial enterprise, including those conducted online or via the Internet, from their residence hall room or building. Students may not use room/apartment addresses, phone numbers, data jacks, or wireless internet access for nonresidential purposes. Any exception to this policy requires written approval from the Executive Director of Residential Services or designee.
9. Subletting, purchasing, or rental of rooms to another individual outside of the assigned resident is always prohibited (e.g., AirBnB, HomeAway, etc.).
10. No one is permitted to place materials on, at, or under resident room doors unless for official University business or communication between known acquaintances. At no time and under no circumstances will door-to-door solicitation be permitted within the residence halls.
11. Residents interested in posting information or flyers in residence halls, outside of canvassing, must contact the Residential Life main office for permission and public posting locations. For additional information about posting policies, see "Campus Publicity" on [page 96](#) and the "Postive Policy" on [page 61](#).



Please Note: We highly encourage the use of social media (i.e. Facebook, Instagram, Twitter, etc.) as a primary source of advertisement for promotion of an event or organization. Promotional materials will be approved on a first come basis with consideration of the volume of requests and available space. Not all promotion requests will be approved.

12. Canvassing is prohibited in and around the residence halls and apartment facilities managed by Residential Services, except for the purposes of political canvassing outlined below. Posting of

material(s) is permitted in the residence halls and apartments as outlined in this document. Solicitation is strictly prohibited in and around the residence halls and apartment facilities managed by Residential Services.

13. Political Canvassing Policy: Any recognized student organization (registered with Student Organizations & Activities), candidates for any elected university position, or local, state or national candidates for elected office may apply to canvass at the Residential Life main office, in 2122 Sheridan, Suite 150.
14. All applications must be completed and received at least three (3) business days (Monday-Friday) prior to the desired canvassing date, so that applications can be reviewed and access to buildings can be arranged. Applications can be submitted to the Residential Life email at residentiallife@northwestern.edu.
15. Residents may be held accountable for behavior they allow to occur in their room or apartment, even if they are not present.
16. If common areas are damaged and the responsible parties are not identified, the University reserves the right to hold all residents of the floor, unit, hall, or residential area responsible for the cost of repair and/or replacement of damaged items. Any such joint allocation of charges does not constitute a disciplinary action or a determination of violation of any University policy, rule or regulation and will not appear as such on any University record.
17. Items left in common areas, such as laundry, kitchen utensils, etc. will be disposed of by Residential Services after 48 hours.
18. In instances where a student unexpectedly leaves campus, does not communicate with Residential Services within 5 business days, and is unable to return to move out their belongings, they will be charged \$100 for abandoned property. Residential Services will share contact information and pricing from vendors who provide packing and shipping/storage services. If the student does not respond within 5 business days, the property will be considered abandoned and will be discarded and/or donated; the student will be charged an additional \$100. Students will be billed for housing until they take action or 5 business days after the initial notice from Residential Services.
19. At the conclusion of a student's housing contract, if personal property is left in an assigned room or common area, it will be removed from that space and temporarily stored for 7 days. The student will be charged \$200 for abandoned property. Residential Services will reach out to the student to share contact information and prices from vendors who provide packing and shipping/storage services. If the student does not respond within

5 business days, the property will be considered abandoned and will be discarded and/or donated; the student will be charged and additional \$100.

Fire Safety

1. Fire alarms, automatic sprinklers, extinguishers, and other devices are provided for the safety of residents in case of fire. Exiting through an alarmed security door (except in case of emergency) or propping open, disabling, or tampering with a fire door is prohibited. Tampering with these devices or using them for other purposes is prohibited, including covering devices or hanging items from sprinkler pipes. Sounding a false alarm is a violation of city and state law and University policy.



Persons found to have sounded a false alarm, misused security or fire doors, or tampered with extinguishers, smoke or fire detection devices, or automatic sprinklers may be fined, and other disciplinary sanctions may be applied up to and including removal from University housing.

2. Fire exit drills for residence halls, residential colleges, and graduate housing are required by Illinois and Evanston law. All occupants of a building must leave during a fire alarm or exit drill and gather in the designated emergency evacuation assemble area or in a space designated by emergency personnel or hall staff that is a safe distance from the building and out of the way of the fire department. Students may not reenter a building where an alarm has sounded until given permission to do so by emergency personnel or hall staff. Residents are encouraged to complete the Emergency Evacuation Training - Residential Building training offered by MyHr.
3. Under Illinois law, a person commits aggravated arson when, by means of fire or explosive, they knowingly damage, partially or totally, any building, and they know, or reasonably should know, that one or more persons are present therein. Aggravated arson is a Class X felony; imprisonment of not less than six years, without probation, must be sentenced upon conviction.
4. In conjunction with Student Code of Conduct, smoking, including, but not limited to, cigarettes, e-cigarettes, vaporizers, and hookahs, is prohibited in all areas of all residence halls, including, but not limited to, sleeping rooms, lounges, suite living rooms, dining rooms, corridors, stairwells, courtyards, washrooms, and within 25 feet of any entrance, open window, ventilation intake, or similar feature of a University building.
5. Residents are responsible for minimizing the risk of fire hazards

by not placing any items on radiators or radiator covers. In addition, electrical outlets should not be overloaded with multiple plug adapters or extension cords.

Guests

1. Only residents assigned by Northwestern University may reside in their assigned rooms. Residents may not invite or permit any other person to reside in their assigned room or in any other area of the residence hall.
2. A resident may have overnight guests, limited to one guest per resident at any one time with approval of all roommates/suitemates. Overnight guest privileges are limited to a maximum of three consecutive nights and a total of seven nights per resident per quarter. A guest is defined as any person who does not have a contract to live in a given space.
3. A resident may host non-overnight guests at any time with approval of all roommates/ suitemates. All guests who are not residents of the building must be escorted by a resident at all times and must be registered with the community service officer on duty.
4. Residents are accountable for the conduct of their guests and may be subject to disciplinary action for violations of University policy committed by their guests.

Information Technology

1. All telecommunication services in the residence halls—including, but not limited to, telephone and data services —are provided exclusively through Northwestern University Information Technology (Northwestern IT). Residents agree to comply with all applicable Northwestern IT policies and agree to pay all charges incurred. Wireless internet is provided to all residents in their rooms and commons spaces in all residence halls. Residents must provide their own computers. Operation of file or web servers is prohibited.
2. Northwestern IT will repair without charge all interior telecommunication wiring to ports in student rooms, except when damage to ports or wiring is caused by vandalism or tampering with the ports, lines, or equipment. In the case of such damage, Northwestern IT will perform the repair and charge the cost of the repair to the person or persons responsible.
3. Pursuant to the University's Computer and Telecommunications Equipment, Facilities, and Services Policy, additions to, modifica-

tions of, and unauthorized connections to existing wiring systems are prohibited and will be removed at the student's expense. Such systems include electrical, telephone, data, and television/radio signal wiring and distribution systems. Residents are prohibited from installing additional wiring or distribution systems, including satellite dishes. Any such unauthorized wiring will be removed at the owner's expense. Only the jacks and outlets provided in a resident's room may be used for obtaining electrical power or for connecting telephone and data transmission equipment. Use of unapproved wireless access points to transmit data to or from the University's or a private network is prohibited. No cameras or recording devices may be installed in any area of the residence hall.

4. In conjunction with the Public Showing of Copyrighted Videos and Material Policy on [page 93](#), residents may not show copyrighted videos or materials outside of their own rooms.
5. Residents are prohibited from using University email listservs for the promotion of personal business ventures and from carrying out jokes or pranks on other residents. In addition, it is prohibited to misrepresent oneself or impersonate another person or organization on a university sponsored listserv.

Non-Residents

1. Any student entering a residential community is considered a non-resident if they do not live in that community. Non-residents are held responsible for all residential policies while present in the spaces. Specifically, non-residents should be aware of the following:
 - a. Non-residents are only allowed to enter the common spaces within the residential area and are explicitly prohibited from entering the residential areas of the building unless it is as the guest of a current resident in that community.
 - b. Non-residents are prohibited from removing any amenities (e.g., video game consoles, pool tables, etc.) from the common spaces at any time.

Occupancy

1. Only approved residents may remain in the undergraduate residence halls during break periods. Residents not approved must check out of their residence hall within 24 hours of their last scheduled final exam in the fall quarter. In addition, all residents must check out and remove all personal belongings from the residence halls within 24 hours of their last scheduled final exam in June. Personal items may not be stored in residence halls during

the summer. Northwestern University will not be responsible for any loss due to fire, theft, or other casualty.

2. If any resident unreasonably refuses to accept a roommate or hinders the University in the assignment of or occupancy by a roommate, the University may, at its discretion, require that resident to be responsible for the total rent for the room.
3. Residents or guests may not occupy or sleep in common areas of the residence hall.
4. Residents may not occupy and/or use any other sleeping room aside from their University assigned bed space without permission from Residential Services.
5. Individuals should use the restrooms on the residential floors that align with their gender identity or in which they feel safest.

Restrooms: Residential Services provides both gender specific and all gender restroom options in each residential area. More information on where to find all gender restroom options throughout our residential spaces and about all gender housing options is available in the [*All Gender Housing Guide*](#).



Residents may not host an event, in a residence hall room or common area, that becomes public or when the number of individuals exceeds double the occupancy of the sleeping quarters.

Posting Policy

Residential Services oversees undergraduate and graduate housing areas with designated posting areas. Flyers may be delivered to the Residential Services office located at 2122 Sheridan Rd., Suite 150, during business hours (Monday through Friday from 8:30 a.m. to 5:00 p.m.). Staff will approve and post flyers in designated locations within the buildings. Postings in residential buildings are subject to the following:

- a. Postings must be for events or activities sponsored by an organization affiliated with Northwestern University,
- b. Postings and events must not include reference to alcohol, drugs, or illegal activities,
- c. Postings must include location, date, time, and the name of the sponsoring organization or individual,
- d. Postings may be no larger than 11" x 17",
- e. Postings must have a Residential Services posting approved stamp,

- f. Postings must be for events that take place within the next month. Only one set of flyers per event will be posted.

Approved postings will be distributed by Residential Services for posting and should be submitted two weeks in advance of the event. Residential Services will not print or copy postings/flyers for distribution. A copy of the flyer may be emailed to residentiallife@northwestern.edu for approval prior to printing.

Resident Assistants, Graduate Resident Assistants, Area Councils, Residential College Board, and Residential College Executive Boards may consult with their advisors or supervisors regarding additional posting opportunities.

Please refer to <https://www.northwestern.edu/living/services/posting-policy.html> for the maximum number of copies that will be posted based on location. Residential Services is able to accept up to a maximum of 160 copies for an activity or event. Smaller amounts of copies can be distributed to subsets of buildings if desired.

Prohibited Items

1. The Evanston housing code forbids the use or storage in sleeping rooms of any appliances for cooking, preparation, or heating of food or beverages, including, but not limited to,

- a. microwaves,
- b. hot plates,
- c. crock pots,
- d. coffee pots (except for Keurig machines with self-contained heating elements),
- e. blenders,
- f. toaster ovens and toasters,
- g. water heaters,
- h. candle warmers,
- i. rice cookers,
- j. appliances or items with warming elements

Students are also expected to abide by the expectations outlined in your housing contract related to prohibited items and to all local ordinances.

2. The following items are also prohibited or restricted:

- a. Refrigerators (other than those provided by the University) with interiors larger than three cubic feet are prohibited.
- b. Room decorations such as:
 - 1. *Hanging blankets, tapestries, rugs or fishnets*
 - 2. *Any decoration that covers more than 50 percent of the wall or window space*
 - 3. *Combustible decorations on or near heat sources such as radiators or light bulbs*
 - 4. *Dart Boards*
- c. Any method of affixing decorations that puts holes in or marks walls, woodwork, doors, or furnishings is prohibited, including mounting TVs or other items on the walls.
- d. No decorations, flags, banners, or other items may be hung on the exterior or draped from a window or doorway, from the ceiling, or from exposed pipes of any residence hall.
- e. Signs or posters in windows or on doors must have the approval of all roommates and are subject to the approval of the University.
- f. Lighted candles, live holiday trees, lit incense, and open flames are prohibited. Students who have religious needs to burn candles are encouraged to speak to their Resident Director for accommodations. Candles with unburnt or cut off wicks are permitted.
- g. The possession or use of firearms or other weapons of any description and for any purpose is prohibited. Air soft guns, pellet guns, and other plastic guns/weapons whether real or fake are prohibited. Knives that are used for cooking purposes and pocket knives with blades less than four-inches are allowed, while all others including, hunting, combat, and switchblades are prohibited.
- h. Fireworks, explosives, and incendiary materials are prohibited. Flammable items, such as lighter fluid, charcoal, gasoline, and propane, cannot be stored in residence halls.
- i. Bicycles may not be stored in any area of a residence hall other than in areas specifically designated for such use. Motorized bicycles (scooters, mopeds, etc.) parked in stairwells or on ramps, attached to handrails, or otherwise impeding egress from a building will be removed at the bicycle owner's expense. Bicycles inappropriately parked in the common areas surrounding residence halls may also be removed.

- j. No motorcycle or other motor vehicle, including hoverboards, or electronic self-balancing scooters, may be charged, operated, stored, or used inside any residence hall, including dining facilities, or any other Northwestern University building.
- k. The installation of air conditioners by residents is prohibited.
- l. The building, installation, or use of “lofts,” or any structures used to increase the height, width, or length of the bed, including, but not limited to, cinder block, wooden platforms, and bed risers or extenders, is prohibited. Many sleeping rooms are equipped with furniture that has built-in bunking and lofting systems. Students must place a maintenance request to have their room furniture readjusted.
- m. The use or possession of items containing large amounts of water that could pose a safety and facilities hazard such as water beds or inflatables (hot tubs, pools, etc.) are prohibited.
- n. No pets or animals of any kind (except for documented and approved service and assistance animals) are permitted in the residence halls at any time for any reason. Students planning to bring their service or assistance animal to reside in a residence hall should submit an accommodation request online through the Residential Services website: www.northwestern.edu/living/housing-assignments/housing-dining-accommodation/index.html.
 - i. Any approved animals must follow all guidelines documented in the agreement completed at the time of approval. Owners are responsible for the actions/behaviors of the animal and responsible for ensuring the animal is only present in approved locations.
- o. During winter months (December 1st-March 30th), residents are required to keep their windows closed and locked to avoid pipes from freezing and bursting in the residence halls. When leaving the residence halls for winter break period, students should always plan to close and lock windows during breaks to avoid potential problems from occurring in the residence halls. Residents who leave windows open are responsible for any resulting damage.

Quiet Hours and Noise

Unreasonable noise is never acceptable in any residential facility. All residents are expected to be courteous with regard to noise at all times and to respond appropriately to requests for quiet. Quiet hours and courtesy hours are established and enforced according to the following procedures.

- a. **Quiet hours.** Quiet hours identify times when quiet is essential and required. Generally, during quiet hours, any noise that prevents a resident (who is in their room with the door closed) from sleeping or studying is unreasonable.

Quiet hours run from 12:00 a.m. to 8:00 a.m. Monday through Friday and 1:00 a.m. to 10:00 a.m. Saturday and Sunday.

During finals weeks, all residents are expected to comply with 24-hour quiet hours. Quiet hours begin at 5:00 p.m. on the Friday before finals week, and end at 5:00 p.m. on the Friday at the end of finals week.

- a. **Courtesy hours.** All other times are considered courtesy hours. During courtesy hours, residents may ask another resident to lower the volume of noise of their activity if it is disturbing to their sleep or studying.
- b. **Enforcing quiet and courtesy hours.** Residents are expected to talk directly with persons causing noise and respectfully ask them to reduce the noise. If a resident does not honor a reasonable request to reduce the noise, a resident/graduate housing assistant should be contacted for assistance. Residents are responsible for ensuring that their guests abide by quiet hour policies.

RESIDENCE HALL PROCEDURES AND LOGISTICS

Room Change Information

1. **Housing freeze.** A housing freeze, a time when no students are permitted to move from their assigned spaces, is in effect at the beginning of each quarter. The freeze lasts three weeks to provide adequate time for students to return and for staff to account for vacancies.
2. **Room changes.** After the housing freeze, students can add themselves to the room change wait list which allows students to preference up to three buildings and room types (i.e. single or double). Students who want to live together should form a roommate group and all involved students need to submit room change requests. Before a room change is approved, students in double or triple rooms need to have completed their roommate agreement and demonstrated an effort to resolve any existing conflicts with the help of their RA and/or RD.

In general, to be eligible for space in a residential college, the student must either already live in that facility or be a non-resident member of that residential college.

A student who is added to a waiting list remains on that waiting list for fall, winter, and spring quarters. As always, room changes are predicated on availability, and there are no guarantees that requests will be accommodated, regardless of the number of spaces that may open up in a building.

Mail Security

The Foster-Walker and Kemper Mail and Package Centers follow strict guidelines from the United States Government around mail delivery, specifically mail that comes from the United States Postal Service.

Each student room is assigned a mailbox with a combination lock and students can learn their combination by logging into the Housing Portal. Students can learn how to use their combination lock using the directions posted near mailboxes or online (<http://bit.ly/Combo-HowTo>). For additional help, students with mailboxes in 560 Lincoln, Willard, Sargent, and Allison can ask the Desk Clerk for assistance from 8:00am-4:00pm. Students with mailboxes elsewhere on campus should ask a member of the Mail & Package Center staff for assistance. If there is a problem with a combination lock, students should complete the maintenance request form on the Housing portal.

Per the U.S. Code (18 U.S.C. § 1708), “whoever...attempts so to obtain, from or out of any...letter box, mail receptacle...shall be fined under this title” which Residential Services interprets as “no person should remove mail that is not addressed to them from a mailbox that does not belong to them.” It is critical for the Mail and Package Center staff to be immediately notified of any concerns regarding mail and/or packages to assure that troubleshooting mail and packages reported lost or missing is effective.

Residential Services staff members with access to mailboxes cannot retrieve mail from inside a mailroom to deliver it by hand to a resident. The Mail and Package Center Supervisor and full-time Office Clerks can assist residents in obtaining their mail when necessary after the combination lock has been tried; these staff members will report this delivery to their supervisor.

Northwestern University Authority

1. To comply with City of Evanston housing codes and to ensure the general safety and welfare in the residence halls, the University reserves the right to enter and inspect rooms for health or safety reasons, for fire safety, during an emergency, to protect life or property from imminent danger, to look into a potential violation of policy, or to provide repair or maintenance services. Absent an emergency or imminent threat to health or safety or reasonable belief of a policy violation, no search of the contents will be made

without either approval of a resident of the room or a search warrant, except as otherwise permitted by law. Closets that are part of the room may be opened and inspected. Any hazardous conditions or violations noted during any safety inspection must be corrected upon notification of the residents.

2. The University shall not be responsible for disruption or nonperformance as a result of a major campus disruption, strike, fire, flood, wind or snowstorm, or other acts of God, act of terrorism, or other events beyond the University's control. In the event of such occurrences as described in the preceding sentence or for the convenience of the University for construction or other purposes, the University may at any time, and at its sole discretion, close all or part of any residence hall. If all or a part of any residence hall is prematurely closed, the affected residents shall vacate that hall within 24 hours of such closing and shall be relieved of all subsequent room obligations for that building after the closing date.
3. The University reserves the right to relocate residents with prior written notice for the purposes of consolidation of residents. Such consolidation may be undertaken to promote individual or community health or safety, to reduce costs, or for such reasons as deemed necessary by the Vice President for Student Affairs.
4. At the University's sole discretion, construction may take place near residential units. No adjustment will be made to any residence charges at any time based solely on that construction.



A photograph of a university campus. A wide, light-colored paved path leads from the foreground into the distance. To the left of the path, a person in a black shirt and jeans walks towards the camera. To the right, a person on a bicycle and another person walking away from the camera are visible. The path is flanked by lush green trees and foliage. In the background, a large, historic stone building with a tall tower is visible under a clear blue sky. A large, semi-transparent purple shape is overlaid on the right side of the image, containing the text.

OTHER UNIVERSITY POLICIES AND PROCEDURES

OTHER UNIVERSITY POLICIES AND PROCEDURES

To aid students in awareness of their responsibilities as members of the Northwestern community, the following policies also govern or cover different aspects of student life here at Northwestern; this is not a comprehensive list. Violations of these policies may be resolved through the Office of Community Standards and the University Hearing and Appeals System or other designated resolution procedure.

Addresses and Telephone Numbers

It is the responsibility of the student to keep the University informed of up-to-date permanent and local address and telephone information as well as emergency contact information. All changes should be reported promptly through the Profile tile in CAESAR. Changes to parent addresses must be reported to the Office of the Registrar. Instructions can be found on the Office of the Registrar website:

<https://www.registrar.northwestern.edu/records/student-information-privacy/address-change.html>.

Alcohol at Events for Undergraduate Students

Community Alcohol Coalition's Philosophy Statement: A caring, safe, and well-informed community fosters an environment in which we can all live and learn. To that end, the Northwestern community shares responsibility for promoting healthy behavior. In supporting each individual's health and wellbeing, we assist students, staff, and faculty in understanding the risks associated with consuming alcohol while seeking to minimize the harm to self and others caused by the misuse and abuse of alcohol.

This policy reflects one aspect of broader coverage of issues related to alcohol that can be found in the Student Handbook. The University takes a harm reduction approach and supports strategies to mitigate the negative consequences of alcohol for students, Northwestern, and in the community, and implores students to consider the impacts of their actions in the same way.

The following provisions shall govern on-campus or off-campus undergraduate events where alcohol is present:

1. The possession, use and/or consumption of alcoholic beverages by undergraduate students must at all times be in compliance with all applicable local ordinances and laws of the State of Illinois and policies of Northwestern University, including the Student Code of Con-

duct and the prohibited use or possession of alcohol by individuals under the age of 21. Violation of this policy is grounds for discipline under Northwestern's disciplinary policies.

2. Alcohol may not be purchased using University funds (including student group funds held by SOFO, the Student Organization Finance Office) for undergraduate student events. In no case shall University funds be used for the purchase of alcohol with any intent to be served to those under the age of 21.
3. All undergraduate student events where alcohol will be available for purchase by attendees who are over 21 years of age (e.g., an event hosted at a restaurant) must be approved by the Vice President of Student Affairs. Failure to secure such approval will result in a denial of all payment and contractual requests submitted for any such event and may result in the denial of future event requests by such student organizations or organizers.
4. Exceptions to this policy may be granted for religious observance in accordance with Illinois state law. Event planners must submit the documented need for an exception, write a harm-reduction and risk management plan, be in compliance with this policy statement, and seek approval by the Assistant Vice President for Student Engagement.
5. The decision of whether to approve an undergraduate event where alcohol is available for purchase by attendees who are over 21 years of age will be based on the following factors outlined in a Risk Management plan, with harm reduction and health, safety and wellness as the guiding principles:
 - a. **Size:** What is the expected attendance at the event? What is the expected number of attendees who are over 21 years of age? What is the capacity of the venue?
 - b. **Staffing:** Will University or venue staff be overseeing the event? How many sober student monitors will be responsible for event oversight? These individuals may not consume alcohol prior to or during the event.
 - c. **Duration:** How long is the event? What is the beginning and ending time of the event? What are the alcohol service times within the event hours?
 - d. **Food/water:** What food, water and/or non-alcoholic beverages will be available for the event (snack machines are not acceptable)?
 - e. **Focus:** What is the focus of the event? Events and publicity must be centered on food and/or activities and be related to the University's mission.

- f. **Audience:** Who is the intended audience for the event? Are attendees required to be 21 years of age or older? If not, what specific measures will be taken to ensure alcohol is only available to those of legal drinking age (wrist bands, separate area for over 21, etc.)? What percentage or number of attendees are expected to be under 21?
 - g. **Location/travel:** Where is the event taking place? What is the expected transportation used to and from the event? What is the plan in case of emergency?
 - h. **Venue:** How will the venue enforce the minimum drinking age and monitor consumption? How will the venue meet Northwestern's insurance and indemnification requirements? How will the venue contractually assume all responsibility for the purchase, sale, and distribution of alcohol? If the event is on campus, alcohol service must be contracted to a Northwestern- approved caterer or vendor or compliant with bring-your-own-beverage (BYOB) check-in and distribution procedures.
 - i. **Event type:** Is this a guest-restricted, ticketed, private, or open event? Is the event occupying an entire venue, or a portion of a venue? Does the event include any activities whereby alcohol increases the risk of injury to students?
 - j. **Timing and Calendaring:** When does the event take place? Does the event conflict with other University events?
 - k. **Partnerships:** Has the event occurred before or is there a pre-existing relationship with the venue? Have the organizers worked with appropriate University offices (e.g., NUPD, HPAW, Risk Management, Campus Life) to ensure the guiding principles of health, safety, and wellness are achieved?
 - l. **Notification:** Who will be contacted in the case of an emergency at the event?
6. All approved undergraduate events with alcohol must comply with the following requirements, in addition to all applicable University policies set forth in the Student Handbook:
- a. Alcohol may only be consumed by students who are 21 or older;
 - b. A screening process shall be in place either by the venue and/or organizers to identify and turn away any students arriving at the event who are already intoxicated;
 - c. In the case of full-venue rental, no hard liquor may be served to attendees at the event;

- d. Alcohol must be sold on a per drink basis at no less than the published price open to all establishment patrons (i.e., no open bars; no free drink tickets; no pitchers or common containers; no drink specials may be part of the event);
- e. Water must be available free of charge for the duration of the event;
- f. Food must be available throughout the duration of the event. Snack machines are not acceptable;
- g. Alcohol must be purchased and served by a licensed and insured pourer who has signed the Northwestern University Undergraduate Events With Alcohol Rider;
- h. Alcohol that gets purchased and is unopened must be returned to the licensed and insured pourer, or returned to the place of purchase. It cannot be given away, even to those over 21 years of age. If opened, the contents must be disposed of on site.
- i. The venue and event organizer must ensure controls are in place to prevent the 'passing' of alcoholic drinks to underage attendees;
- j. Generally, alcohol can be served for no longer than 5 hours at events, and alcohol service should conclude at least 1 hour before the end of the event;
- k. "Drinking games" are prohibited;
- l. Advertising of events must emphasize the purpose and scope of the event and not be related to alcohol;
- m. Events occurring off-campus and outside of Evanston shall have contracted transportation for all attendees to and from the event;
- n. Organizers and organizations are prohibited from receiving payment for alcohol; all alcohol will be sold by third party vendors;
- o. The number of people in the event at any given time cannot exceed the fire capacity for the venue;
- p. Individuals responsible for overseeing an event, at a 1:25 ratio of sober monitors to participants, are prohibited from consuming alcoholic beverages prior to or during the event.

- q. Any emergencies shall be immediately reported to 911 first and second to the Dean on Call, and non-emergency incidents involving student safety or misconduct shall be reported to the Dean on Call.

An individual, group, or organization may be held responsible as representatives of the University for the actions and behaviors of its members and guests.

Athletic Facilities Policies of Conduct

The use of tobacco, electronic smoking devices, and other nicotine delivery systems is prohibited in all Northwestern athletic facilities regardless of whether there is a scheduled University athletic event.

At and during scheduled Northwestern athletic events, students are prohibited from engaging in any conduct which may be illegal, disruptive or otherwise violates Northwestern policies. Such activities may include, without limitation, throwing or projecting objects of any kind; wearing inappropriate, inflammatory, or offensive clothing that violates Northwestern discrimination or harassment policies; using disruptive or abusive language or gestures; inappropriate verbal or non-verbal behavior directed at participants; distracting other patrons or interfering with the progress of any athletic event by the use of cameras, stadium horns, radios, miscellaneous items (e.g., banners, signs, placards, etc.); or entering the floor, field, or playing surface of any athletic facility before, during, or after an athletic event without prior approval.

Any student who violates this Section may be immediately ejected from an athletic event and may be subject to corrective actions as determined by the Office of Community Standards.

Behavioral Consultation Team

Northwestern University's Behavioral Consultation Team (BCT) works to enhance campus safety and violence prevention by conducting fact-based threat assessments. The safety of individuals and the Northwestern community is the primary focus of the team and a shared goal of all members of the community. Community responsibility and engagement in the reporting process enhances campus safety and the ability to effectively respond to potentially dangerous situations.

The BCT is a multidisciplinary group that engages in early identification, conducts risk assessments, and provides interventions and supportive services with members of the University community who display aberrant, dangerous or threatening behaviors that might adversely affect the safety or well-being of the campus community.

The BCT consists of representatives trained in threat assessment from

departments across the University, including Northwestern Police, Dean of Students Office, Office of Human Resources, Counseling and Psychological Services (CAPS), Office of Equity, Office of the Provost, and Office of General Counsel. Team members meet regularly or upon demand if the situation warrants it.

Per the BCT policy, members of the Northwestern community, including faculty, staff, and students, are expected to report concerning and threatening behavior immediately. Individuals who report these behaviors will not be subjected to any acts of retaliation for reporting concerns in good faith. The University will use available resources such as University Police, the Faculty and Staff Assistance Program, Human Resources, the Division of Student Affairs/Dean of Students Office, and applicable programs and policies in responding to alleged acts/threats of violence.

For further information, contact the facilitator of Threat Assessment at **847-467-5375** or visit the website www.northwestern.edu/up/your-safety/behavioral-consultation-team/. Community members who prefer to report anonymously may do so by utilizing the [Wildcats Aware: Concerning Behavior Reporting Form](#).

Bicycles

Bicycle safety is of great importance at Northwestern. Members of the University community can register their bicycle, and receive a free helmet and light. The process can be completed on-line at www.northwestern.edu/up/community-services/bicycle-information/bicycle-registration-and-locks.html or in person at the University Police station on either the Evanston or Chicago campus.

Biking in Evanston

- There are more than 2.5 miles of bicycle paths on the Evanston campus.
- A detailed bicycle map of Evanston is available at: <https://www.cityofevanston.org/home/showdocument?id=4374>
- Sidewalks are for pedestrians only in Evanston, and bikes must be walked if on a sidewalk.
- White headlights and red rear reflectors are required after dark in Evanston. When biking during hours of darkness, the bicycle or rider must have a lamp emitting a white light visible at least five hundred feet (500') to the front. Your bicycle must also be equipped with a red reflector visible from a distance of five hundred feet (500') to the rear.
- Bicycles parked on campus must be registered with University Police. Registration can be done at www.northwestern.edu/up/community-services/bicycle-information/bicycle-registration-and-locks.html.
- For more information on bicycle safety and the security of your bicycle, please visit www.northwestern.edu/up/community-services/bicycle-information/bicycle-safety-and-security.html

Bicycle Parking and Storage

- Bicycles must be secured to bicycle racks or in other designated storage areas.
- Bicycles parked in unauthorized places such as stairwells, railings, walkways, ramps, and benches are subject to removal at the owner's expense. Students who have had their bicycle removed may contact **847-491-5201** to arrange pick-up. There is a \$25.00 fee due at the time of pick-up, payable by check or money order only, cash is not accepted. The University will not reimburse bicycle owners for locks that are required to be cut in order to remove the bicycle. Bicycles are stored for 30 days. If not claimed after 30 days the bicycles are donated to a charitable entity.
- Residential Services offers a winter storage program on a limited basis. Contact your Resident Assistant or Resident Director to apply to participate in the program.



Civility, Mutual Respect, and Unacceptability of Violence on Campus

Individuals covered by these policies include faculty, staff, and students, including postdoctoral fellows and research and academic staff.

1. **Policy.** As members of the Northwestern community, its faculty, staff, and students are expected to deal with each other with respect and consideration.
2. **Expected behavior.** Each community member is expected to treat other community members with civility and respect, recognizing that disagreement and informed debate are valued in an academic community.
3. **Unacceptable behavior.** Demeaning, intimidating, threatening, or violent behaviors that affect the ability to learn, work, or live in the University environment depart from the standard for civility and respect. These behaviors have no place in the academic community.
4. **Violence.** Violence is behavior that causes harm to a person or damage to property or causes fear for one's safety or the safety of others. Examples of violent behavior include physical contact that is harmful and expression of intent to cause physical harm. Such behavior is unacceptable in the Northwestern community.
5. **Weapons.** Weapons of any kind are prohibited on campus except for those carried by sworn police officers.
6. **Responsibility to act.** A member of the community who is involved in or witnesses behavior on campus that poses imminent danger should immediately contact the University Police. In situations that do not involve imminent danger or for advice on the appropriate course of action, a member of the community is to notify a supervisor, department head, or student affairs staff member. Alternatively, the observer may report the incident to the Office of the Provost, the Department of Human Resources, or the Office of the Vice President for Student Affairs.
7. **Orders of protection.** Community members who have obtained restraining or personal protection orders are encouraged to provide a copy of the order to University Police for enforcement on campus.
8. **Visitors.** Visitors, vendors, and the families of members of the community are expected to comply with the provisions of this policy. Noncompliant behavior leads to removal from the campus.
9. **Resources.** Guidance for identifying potential threatening or violent behavior and for the best ways to deal with incidents is available through the Department of Human Resources.

10. **Violation.** A community member who has violated this policy is subject to disciplinary action, which may include separation of the offending party from the University, consistent with established disciplinary procedures.

Computer and Telecommunications Equipment, Facilities, and Services

The University provides computing facilities for faculty, staff, and student use. These facilities and services extend to include (but are not limited to) Information Technology, the University Library, many departmental computers and servers, residence hall computers, and telephone instruments (voice and/or data transmission) in offices, residence halls, and other buildings. Misuse of these facilities, services, and equipment is a violation of University policies and may also be a violation of federal, state, and local laws. Such misuse includes unauthorized use of the facilities, services, equipment, account numbers, or files; damage to facilities and/or equipment; tampering with or destruction of programs, files, or accounts; and similar activities. Students who violate these or any other computing or telecommunications facilities policies shall be subject to University disciplinary procedures that may include fines, restitution of funds, probation, or suspension from the University.

Computers and Networks

Individuals covered by these policies include all persons accessing computer or network resources through any University facility.

General Policy

It is the policy of Northwestern University to maintain access to local, national, and international networks for the purpose of supporting its fundamental activities of instruction, research, and administration. Users of the networks are to take the necessary measures to safeguard the operating integrity of the systems and the accessibility of other users. Users are also required to comply with software licenses, applicable laws (including copyright), Northwestern Information Technology policies, and other University policy regarding computers, networks, or electronic communication. Northwestern Information Technology policies are posted at www.it.northwestern.edu/policies, including the Rights and Responsibilities policy at <https://policies.northwestern.edu/docs/appropriate-use-policy-final.pdf>.

The Northwestern Chief Information Security Officer should be notified about violations of copyright laws and Northwestern Information Technology policies, as well as about potential issues in the security of any computer systems and networks at Northwestern. Contact the Chief

Responsibilities of Users (from the Northwestern Information Technology Policy on Rights and Responsibilities)

There are also responsibilities that must be met as part of the privilege of network access. Network users are expected to live up to these responsibilities. If users knowingly violate a network responsibility, their network access will be suspended. Depending on the seriousness of the violation, users could be referred through the University disciplinary procedure process. Violations that also violate federal or state laws can also result in referral to the appropriate legal authority.

1. Users are responsible for the use of their network ID (NetID) and all computer accounts that are assigned to them. Users may not give anyone else access to their NetID or computer accounts. Users must not use a NetID or a Northwestern University computer account that was not assigned to them. Users may not try in any way to obtain a password for another user's NetID or computer account. The NetID and its associated password are the property of Northwestern University Information Technology. Applications and services that require their use must be approved by the Office of the Vice President for Information Technology or by a director within NUIT.
2. Users may not misrepresent themselves or their data on the network.
3. Users are responsible for the security of their passwords. This includes changing passwords on a regular basis and making sure no one else knows them.
4. Users must not use Northwestern's network resources to gain or attempt to gain unauthorized access to remote computers.
5. Users must not deliberately perform an act that will seriously impair the operation of computers, terminals, peripherals, or networks. This includes, but is not limited to, tampering with components of a local area network (LAN) or the highspeed backbone network, otherwise blocking communication lines, or interfering with the operational readiness of a computer.
6. Users must not run or install on any of Northwestern's computer systems, or give to another, a program that could result in eventual damage to a file or computer system and/or the reproduction of itself. This is directed towards, but not limited to, the classes of programs known as computer viruses, Trojan horses, and worms.

7. Users must not attempt to circumvent data protection schemes or exploit security loop holes or interfere with standard technical measures that identify and protect the rights of copyright owners.
8. Users must abide by the terms of all software licensing agreements and copyright laws. Users must not make copies of, or make available on the network, copyrighted material, including, without limitation, software programs, music files, video files, still and digital images, radio and television broadcasts, and written text works, unless permitted by a license, by the consent of the copyright owner, by a fair use limitation under copyright law, or under the Digital Millennium Copyright Act (DMCA) when made by a library or archive for preservation purposes or when incidental to computer maintenance and repair. Please see the more complete discussion of software copyright protections available on NUIInfo and the discussion of copyright law available on Northwestern's Office of General Counsel website.
9. Users must not deliberately perform acts that are wasteful of computing resources or that unfairly monopolize resources to the exclusion of other users. Any person operating a network intensive application or a defective computer that overloads University networks will be notified, and steps will be taken to protect the overall University network. This may include disconnecting the offending computer system from the University network until the problem is resolved. If the condition is an imminent hazard to the University network, disrupts the activities of others, or violates applicable law, then the offending computer system or the subnet to which it is attached may be disconnected without prior notice.
10. Users may not place on any University-owned computer system information or software that infringes on the rights of another person or gives unauthorized access to another computer account or system.
11. Users must not attempt to monitor another user's data communications, nor may users read, copy, change, or delete another user's files or software, without permission of the owner.
12. Computing and networking resources are provided to support the mission of the University. These resources may not be used for commercial purposes.
13. Any network traffic exiting the University is subject to the acceptable use policies of the network through which it flows, as well as to the policies listed here.
14. All University computing and networking facilities are provided for use by faculty, staff, and students for relevant academic, research, or administrative pursuits. As with all other University

facilities, private use must be approved in advance in keeping with policies expressed in the Northwestern University Employee Handbook and Student Handbook.

15. The content of any information made available to others via the University's network is the sole responsibility of the person who created that information. It is that person's responsibility to become educated and aware of all applicable federal laws, state laws, and University policies. (See also the discussion of copyright law available on Northwestern's Office of General Counsel website). That person will be liable for any violations of federal laws, state laws, or University policies.
16. Continued violations of system and network policies will be referred to the appropriate office for discipline. Sanctions may include fines, restitution of funds, termination of computer or network access, probation or suspension from the University.

The Northwestern Information Technology security officer should be notified about violations of copyright laws and these Northwestern Information Technology policies, as well as about potential loopholes in the security of any computer systems and networks at Northwestern. Contact the Northwestern Information Technology security officer at security@northwestern.edu.

Wireless Policy

Information Technology has developed a policy so as to provide the best possible quality of wireless network service, ensure wired and wireless network security and integrity, and minimize the interference between the campus wireless network and other products deployed throughout campus.

Installation, engineering, maintenance, and operation of wireless networks serving University faculty, staff, or students, on any property owned or tenanted by the University, are the sole responsibility of Northwestern Information Technology. Any independently installed wireless communications equipment shall be removed from service.

The use of the campus wireless LAN shall be subject to the University Policies and Guidelines on Computers, Systems, and Networks at www.it.northwestern.edu/policies/csn-use.html and the University's Policy on Wireless Networks at www.it.northwestern.edu/policies/wireless.html.

Use of Student Residence Computer Networks

Student residence computer networks are shared, finite resources installed by the University to promote scholarship and learning for all students. Accidental or intentional disruption of a residence network

will deprive others of access to important University resources. Computers attached to student residence networks must adhere to the Use of Student Residence Computer Networks Policy at www.it.northwestern.edu/policies/resnet.html.

System and Network Use

System and network users are responsible for

- Using the system and network in ways that do not interfere with or disrupt their normal operation;
- Respecting the rights of other users, including their rights as set forth in other University policies for students, faculty, and staff; these rights include but are not limited to privacy, freedom from harassment, and freedom of expression;
- Knowing and obeying the specific policies established for the system and networks they access; and
- Complying with applicable laws and terms of applicable license agreements.

Under no circumstances may users give others access to any system or network that they do not administer.

Network Administration

Administrators of systems and networks have the responsibility to protect the rights of users, to set policies consistent with those rights, and to publicize those policies to their users. They have authority to control or refuse access to anyone who violates these policies or threatens the rights of other users, and they will make reasonable efforts to notify users affected by decisions they have made.

Appeal of an Administrative Action

Individuals who disagree with a Northwestern Information Technology administrative decision may submit an appeal of the decision to the appropriate office. Students may submit appeals to the Vice President for Student Affairs, faculty members may appeal to the Provost, and staff members may appeal to the associate vice president for human resources.

COVID -19

The health and well-being of our community is Northwestern's highest priority. As such, Northwestern has developed the following expectations for all students who are registered for classes or participate in any University program (even remotely). As a part of attesting to the Northwestern Student Handbook, enrolled students are also attesting to reading and understanding the following summary of expectations and complying with them.

Northwestern University may modify these expectations at any time as guidance from federal, state, and local governments and/or the University evolves. Substantive modifications will be communicated to students via email and other methods. As a reminder, in addition to the expectations set forth below, all students are expected to follow policies applicable to students, including those contained in the Student Handbook and your specific academic program.

- Regularly monitoring the University's guidelines related to COVID-19 on the COVID-19 site and staying updated on any guidance provided by the University.
- Abiding by any additional safety or hygiene standards recommended by Northwestern, the Illinois Department of Public Health, local public health authorities, or the CDC, including standards regarding social distancing, limiting gatherings, hand washing and sanitizing, and cleaning shared surfaces.
- Wearing a mask or face covering when and where required by the University, unless a medical condition restricts the ability to do so. Using face covering that meet guidelines from the Centers for Disease Control and Prevention (CDC) and Northwestern's guidance.
- Understanding that you may be asked to submit to COVID-19 testing and will comply with COVID-19 testing recommendations.
- Cooperating with any contact tracing efforts by the University.
- Performing and documenting any self-monitoring or self-screening of health symptoms that the University asks me to complete, including monitoring my personal health daily and reporting any conditions as required by the University.
- Participating in any additional health screening required by the University.
- Immediately reporting any exposure to COVID-19 to Northwestern University and not participating in in-person activities until cleared by the University.
- Following all applicable guidelines regarding self-isolation and quarantine, including the University's guidelines on self-isolation and/or quarantining, and any governmental requirements in effect, including any travel-related requirements or restrictions.
- For Northwestern Qatar students only – Regular monitoring the guidelines related to COVID-19 on the Northwestern Qatar and My-NUQ websites and following applicable State of Qatar international travel self-isolation and quarantine requirements.
- Recognizing that individuals with the following conditions may have a higher risk from COVID-19 infection: age 65 or older, HIV, asthma, chronic lung disease, diabetes, serious heart condition, chronic kidney disease being treated with dialysis, severe obesity, immunocompromised, and certain pregnancy related conditions.

- If residing in University housing, you will review the Expectations for Residents During COVID-19 and follow the expectations set forth therein.

I will complete training programs related to COVID-19 required by the University.

If you do not follow these expectations, you may be referred to the Office of Community Standards or your dean's office for follow up, and understand that the consequences of regular non-compliance may include removal from campus and/or the University. If you have questions, you may raise them with the appropriate University office.

Northwestern cannot control risks associated with COVID-19 or guarantee that the campus (including any building) is free of the virus, or that you will not be exposed to COVID-19, and that such exposure may result in illness and/or a disruption to my student experience.

Northwestern may need to make sudden changes to the campus environment in response to emerging public health developments – including transitioning to fully remote learning and/or requiring students to leave campus – which may also impact student experience. Accordingly, some or all instruction for all or part of a term may be delivered remotely, activities may be cancelled or postponed, and courses with in-person components may shift to online delivery at some point. The University and its schools and units may also adjust other features of the academic experience, like course offerings and grading. Such changes will be communicated to students by the University, their school, or program. Tuition and fees will not be refunded or prorated in these circumstances. Tuition and fees also will not be refunded or prorated if I choose to participate in courses offered remotely.

The University reserves the right to investigate and resolve any report or incident in which a student is alleged to violate any of the COVID-19-related principles or policies published by the University or local, state, or federal laws or policies, regardless of the location where the incident occurs. Students are expected to follow the policies and procedures of institutions they may visit, including during international travel.

University and residence hall guests are expected to follow all University policies, including any COVID-19-related requirements. Students who host are accountable for the conduct of their guests and may be subject to disciplinary action as the responsible party for violations of University policy incurred by those guests, whether they may be individuals, groups, or recognized student organizations.

The University has informed students of these risks, and students share the responsibility for minimizing risk of exposure to and spread of COVID-19. Enrollment in a given term constitutes student voluntary resuming their academic program. If a student declines the option to resume their academic program, they are doing so with consider-

ation for any programmatic or financial implications of that decision. Students with questions about this are responsible for contacting their academic program.

Students with a disability in need of a reasonable accommodation, are expected to contact AccessibleNU to go through the accommodation process.

By enrolling in classes in a given term, students acknowledge that they have read and understand this statement and I am agreeing to the terms set forth above.

Crime and Safety Information

The Department of Safety & Security is part of the Office of the Senior Vice President of Business and Finance, encompassing University Police, Transportation & Parking, Security Systems & Technical Services, and Emergency Management.

Northwestern's Annual Security Report (ASR) contains specific information on campus crime, safety and security policies and fire safety for all Northwestern University campuses. This document is created in line with requirements outlined in the Jeanne Clery Disclosure of Campus Security Policy and Crime Statistics Act (Clery Act). The report also outlines the University policy relative to emergency notifications for our community.

Drones (Unmanned Aircraft Systems)

In order to promote safe, responsible, and respectful operations of unmanned aircraft systems (UAS, commonly known as drones) and provide guidance to the Northwestern community on UAS operations, this policy establishes procedures and other conditions for the operation of UAS at Northwestern. All operations of UAS either (i) on or above University property or (ii) in any location, when conducted on behalf of Northwestern, must follow the procedures set forth in the Interim Policy on Unmanned Aircraft Systems. This policy may be reviewed at: www.policies.northwestern.edu/docs/interim-drones-policy-041417-final.pdf.

Email Notification

Email is a valid mechanism for official communication with students at Northwestern University. The University has the right to send official communications to students by email. The University has the right to expect that students will receive email and will read email in a timely fashion.

At the University all students will be assigned an official University email address. All official University communications will be sent to this official University email address in order to ensure such communications reach the

intended recipient. This address will be maintained in the official University email directory for each student.

The University will provide a convenient mechanism so that a student may have email forwarded from the official University email address to another email address of the student's choice. Students who choose to have email forwarded to another email address do so at their own risk. The University is not responsible for email forwarded to any other email address. A student's failure to receive or read in a timely manner official University communications sent to the student's official email address does not absolve the student from knowing and complying with the content of the official communication.

Faculty may assume that a student's official University email is a valid mechanism for communicating with a student, and faculty may use email for communicating with students registered in their classes.

This policy will ensure that all students will be able to comply with course requirements communicated to them by email from their course instructors.

EthicsPoint

EthicsPoint is a confidential resource for students and other members of the University community to anonymously report concerns or activities that may be in violation of federal, state, and local laws and regulations, Northwestern policies, and/or the Faculty Handbook, Staff Handbook, or Student Handbook. EthicsPoint is managed by a third party (Navex Global), does not require use of a NetID, and is available 24 hours a day, 365 days a year. You may file a confidential, anonymous report via telephone (**866-294-3545**) or by accessing EthicsPoint online at: <https://secure.ethicspoint.com/domain/media/en/gui/7325/index.html>.

Once submitted, EthicsPoint reports are routed to individuals in University Compliance. Reports are reviewed and routed to an appropriate office or individual based on the incident. Any required investigation or follow-up is initiated by an appropriate office or individual. Reports are handled as promptly and discreetly as possible. Northwestern's Policy on Non-Retaliation strictly prohibits retaliation against any member of its community for reporting or inquiring in good faith about what the member believes to be wrongful or unlawful activity, or for participating in an investigation or proceeding related to such activity.

EthicsPoint is not a substitute for, nor does it supersede, any existing reporting methods or protocols already in place at Northwestern for reporting suspected problems or complaints. The EthicsPoint system is a complement to those protocols, providing a means for reporting issues when individuals are uncertain about where to report and/or for reporting issues without disclosing their identity. If you have any

questions about EthicsPoint, please contact university.compliance@northwestern.edu.

EthicsPoint is not a 911 or emergency service. Do not use EthicsPoint to report events presenting an immediate threat to life or property or other emergency. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please call 911.

Family Educational Rights and Privacy Act (FERPA)

Under the Family Educational Rights and Privacy Act (FERPA), all students have certain rights with regard to their educational records. A copy of Northwestern's student records policy is available at the Office of the Registrar's website, www.registrar.northwestern.edu/records/student-information-privacy/privacy-policy-ferpa.html. FERPA grants students the rights to:

- Inspect and review their educational records at Northwestern University;
- Request an amendment of their records to ensure the records are not inaccurate, misleading, or in violation of privacy rights;
- Consent to release or to restrict disclosure of personally identifiable information contained in their educational records, except under certain limited circumstances when, by law, consent is not required; and
- File a complaint with the US Department of Education concerning alleged failures by Northwestern University to comply with FERPA requirements.

Consistent with FERPA, the University reserves the right to inform parents or legal guardians of students under the age of 21 who violate University policies or local, state, or federal laws governing the use or possession of drugs or alcohol. Additionally, the University reserves the right to release information to an appropriate third party in connection with an emergency, if such information is necessary to protect the health or safety of the student or other persons, and to educational agencies or institutions that request records when a student seeks to enroll, or is already enrolled.

Financial Obligations

The Office of Student Finance is responsible for billing and collection of tuition, fees, and room and board charges.

As a Northwestern student, you are responsible for fulfilling your financial obligations to the University. If your account becomes overdue, you must pay a late payment fee. In addition, you are liable for any costs associated with the collection of your unpaid bills, including, but not

limited to, collection agency costs, court costs, and legal fees.

The Director of Student Finance may cancel or prevent the registration of students whose accounts are overdue. Students whose University bills are unpaid when due may not be issued their diploma or transcript or have their enrollment or degrees confirmed until all financial obligations are paid in full.

Complete financial regulations for Northwestern students can be found on the Student Finance website:

www.northwestern.edu/sfs.

Fraternity and Sorority Recruitment for First-Year Students

Northwestern University restricts first-year students from joining the Interfraternity Council, Multicultural Greek Council, National PanHellenic Council, or Panhellenic Association member groups until winter quarter. During fall quarter no fraternity or sorority may offer an invitation of membership to any first-year student. A first-year student may accept an invitation of membership from a chapter only after the start of winter quarter. Upperclass students and transfer students are permitted to participate in fall, winter, or spring quarter informal or formal recruitment programs sponsored by the chapters and/or governing councils. Alcohol is not permitted at any recruitment or new member/pledge activity.

In the fall quarter during Wildcat Welcome (New Student Week) first-year students may not attend an event sponsored by an individual fraternity or sorority chapter. Additionally, during Wildcat Welcome, first-year students may not visit a fraternity or sorority house except to visit a close relative, carry out official University business, or meet obligations of employment. Starting on the first day of classes, first-year students are permitted to attend chapter-sponsored events and enter chapter houses unless University policy violations are occurring or their presence is otherwise prohibited under the policies governing fraternity and sorority chapters. Both first-year students and chapters are subject to discipline for violating this policy. Check with Fraternity and Sorority Life for additional policies and procedures.

Gambling

Illinois law and University policy prohibit gambling in any form, the sponsoring of lotteries, and the sale of lottery tickets, except lotteries and raffles conducted in accordance with state and local law. It is also Northwestern University policy that any event that suggests University endorsement of gambling is not permissible. Students and student organizations involved in gambling-related incidents may face legal and disciplinary actions.

Gambling includes any game of chance or skill played for money or any other thing of value, but it may be permissible to offer prizes, awards, or other compensation to the actual contestants in any bona fide contest for the determination of skill. Prohibited activities include blackjack, poker, euchre, any other card game, craps, roulette, and other comparable games when these games are played for money or any other thing of value, including, but not limited to, cash or prizes. Events featuring bona fide games of skill, such as darts or billiards, at which prizes are awarded may be permissible, but betting will not be allowed. Any requests for events at which games of skill will be played must be approved by Campus Life or other designated University officials.

Identification Cards (Wildcard)

The University identification card (Wildcard) identifies registered students and should be carried at all times. The Wildcard is the property of the University and is not transferable; its privileges may be canceled at any time if the card is misused. Students are required to surrender their Wildcard to University officials upon request.

The student's ID number is encoded on the card and indicates whether the student is currently registered and if the card is valid. The card identifies the holder for admission to the library during hours of limited access and is always needed to borrow books. If students carry a meal plan, the Wildcard admits them to residence hall dining facilities. It also identifies the holder at Health Services, Norris University Center, student functions and elections, Henry Crown Sports Pavilion and Aquatic Center, University athletic events, a resident of an on-campus living unit and permits one to ride the Campus shuttles.

All student Wildcards provide authorized cardholders with access to secured on-campus buildings, labs, and residence halls (as applicable).

Hundreds of local businesses participate in the Wildcard Advantage program by offering discounts to students on a wide range of products and services. For more information, visit <https://www.northwestern.edu/wildcard/services/wildcard-advantage-discounts.html>

A cardholder may open a personal U.S. Bank student checking account, allowing the Wildcard to be used as an automatic teller machine (ATM)/debit card. Cardholders can then make purchases wherever debit cards are accepted. For more information, please view: www.usbank.com/northwestern

Immediately report a lost or stolen card to the Wildcard Office, **847-467-NUID (6843)**, or e-mail wildcard@northwestern.edu. ID cards may be replaced at the Wildcard Offices in Evanston or Chicago, for a \$25 fee (location details below). Found cards should be returned or mailed to the Wildcard office.

Evanston Campus

Evanston Campus: Norris University Center, 1999 Campus Dr.
Underground level

Phone: 847-467-NUID (6843)

Email: evanstonwildcard@northwestern.edu

Hours Monday – Friday, 8:30 a.m. – 5 p.m.

Chicago Campus

Evanston Campus: 345 E. Superior,
15th Floor

Phone: 312-503-0548

Email: chicagowildcard@northwestern.edu

Hours Monday – Friday, 8:30 a.m. – 5 p.m.

International Students and Policies on Student Immigration Status

International students agree to maintain and follow the regulations of their F-1 and J-1 nonimmigrant status. They should refer to the requirements described at www.northwestern.edu/international in order to remain in compliance with US immigration regulations, which govern their academic study, travel, and employment in the United States.

Involuntary Leave of Absence

Northwestern University is committed to maintaining a campus environment that supports student success, furthers academic achievement, and respects the rights and privileges of all members of the campus community. If the University receives information that a student has engaged or threatens to engage in behavior that poses a significant risk to the health and safety of themselves or others, or a significant disruption to the programs, services, or activities of the University, then the University may determine an involuntary leave of absence is necessary.

As part of this process, the University will conduct an individualized risk assessment, using current medical knowledge and the best available objective evidence, and considering whether reasonable accommodations are available to reduce or eliminate the risk. To the extent practicable, students will be given the option to take a voluntary leave of absence before a decision is made with respect to an involuntary leave.

Students placed on an involuntary leave of absence will receive a letter

with guidance on steps needed to resume studies at Northwestern. In addition, during an involuntary leave of absence, the student will be assigned an Assistant Dean from the Student Assistance and Support Service (SASS) team to provide case management and support to help the student meet the requirements for a return from leave. Students who are placed on an involuntary leave of absence may be eligible for tuition refunds for the quarter in which they are placed on leave. For more information, please review the full policy on involuntary leave of absence at www.northwestern.edu/studentaffairs/dos/resources/health-and-wellness/involuntary-leave-of-absence-policy.html.

Library Materials

The libraries of Northwestern University provide information resources and services of the highest quality to sustain and enhance the university's teaching, research, professional, and performance programs. Our libraries provide settings conducive to independent learning and resources for users throughout the university and broader scholarly communities.

Students must observe policies on the use of library facilities, computers, and materials. Most University Libraries policies are posted at <https://www.library.northwestern.edu/about/administration/policies>. These apply to all libraries on the Evanston campus and in general to those on the Chicago campus. Additional services and policies for Chicago campus locations can be found at their respective websites:

- Galter Health Sciences Library <https://galter.northwestern.edu>
- Pritzker Legal Research Center www.library.law.northwestern.edu

Proper conduct is required in all library facilities. Specific policies include: limitations on where food and drink can be consumed; prohibition of disorderly conduct towards staff and other library users; regulations about the presence of animals; and bans on commercial activities, smoking, skateboards, and bicycles. Special permission is required for filming and photography and for the use of certain rooms and facilities.

The use of computers and digital library resources is subject to the university policies noted elsewhere in this handbook, especially in matters of copyright, privacy, and network security.

Theft, mutilation, graffiti, vandalism or any other actions that render books, periodicals, or other library materials or facilities inaccessible or unfit for use is a serious offense against the University community. Students who commit any of these offenses shall be subject to University disciplinary procedures and, if found responsible, sanctions as defined in this handbook. These offenses may also lead to police investigation and prosecution.

More information pertaining to borrowing periods, fines, refunds, room reservations, recommendations for purchases, permissions for reproduction of images, and other library services of the University Libraries are listed on their website www.library.northwestern.edu.

Loss of Student Property

The University bears no responsibility for the loss of, theft of, or damage to personal property of students. Students and their parents are encouraged to purchase insurance that will cover the student's personal property while the student is away from home attending school. Any loss, theft, or damage to personal property should be promptly reported to the University Police Department.

Medical Leave of Absence Protocol

The purpose of a voluntary medical leave of absence (MLOA) is to provide students time away from campus for treatment of a physical or mental health condition that impairs a student's ability to function safely and successfully as a member of our community. Students can apply for a MLOA up to the eighth week of the quarter in which the student wishes to take a leave. Each leave is individualized based on the needs of the student and handled on a case-by-case basis. Students who request and obtain a voluntary MLOA during an academic quarter may be eligible for a number of benefits, including:

- Larger tuition refunds
- Later course withdrawals
- A coordinated treatment plan

For international students, depending upon the circumstances, an MLOA may provide a way to remain in the United States while maintaining legal status and receiving treatment.

Students are expected to complete all recommended treatment before submitting a request for reinstatement.

An MLOA may not be used to circumvent or supplant the procedures of the student conduct or academic integrity processes. In the event of a disciplinary suspension or suspension for academic integrity violations, and an MLOA occur simultaneously, the leave and suspension are to be effective consecutively, and not concurrently.

All MLOAs for undergraduate students, The Graduate School, and master's degree programs in the School of Communication, Medill and McCormick students are processed in the Dean of Students Office. Students can begin the process on the Dean of Students Office website, www.northwestern.edu/studentaffairs/dos/programs-services/medical-leave-of-absence/index.html.

Motor Vehicles

Policies regarding the possession, operation, and parking of motor vehicles on campus are available on the web at www.northwestern.edu/transportation-parking/evanston-parking/index.htm

Non-Enrolled Students

During any leave of absence at any time in the academic quarters - fall, winter, spring, and summer — where a student is not enrolled in at least one credit-bearing course, the student no longer has the privileges afforded to enrolled students. A student on leave is not registered for courses and is not permitted to live in University housing, use University facilities and services without permission, maintain or initiate student employment, and/or participate in any Northwestern-sponsored extra-curricular activities/registered student organization membership or leadership in ways that are not also open to the general public. Students also must adhere to academic policies per their individual school, college, and department, or any other conditions possibly placed upon a leave of absence. Students who believe they have a need to access campus resources while not enrolled may contact the Dean of Students Office for consideration of an exception.

Northwestern Police Department

The Northwestern Police Department provides service to both the Evanston and Chicago campuses 24 hours a day each day of the year. The police department is a full-service agency, employing state certified police officers, Community Service Officers (CSOs) and dispatchers. Police officers have the same authority as other police officers throughout the state of Illinois while operating within their designated jurisdiction. In addition to exercising police authority, University police officers also serve as University officials. As an official of the University they assist in assuring compliance with University policies and are expected to report alleged violations to the appropriate administrative office.

Community members are encouraged to direct questions, comments or other feedback regarding the University Police Department via phone at 847-491-3456 or via the web at www.northwestern.edu/up/how-to-report/feedback-on-police-service.html.

Off-Campus Noise

Northwestern students live and engage in activities in neighboring municipalities and cities, many in Evanston. Students are expected to be responsible neighbors and abide by local noise ordinances in the municipalities and cities in which they reside or visit. Such city ordinances often limit the time, volume and type of noise which is allowed within city limits (i.e., Evanston ordinances on noise and related

subjects are found in Title 9, Chapter 5, of the Evanston City Code).

The University may respond with student conduct action when a student is cited for violation of a city noise ordinance or a complaint is made regarding loud, unnecessary, or unusual noise from a residence. All students living in an off-campus residence, not just the student who is cited, may be required to meet with a University official to resolve the matter.

Patents and Inventions

The University's Patent and Invention Policy, which may be found at www.invo.northwestern.edu/invention-disclosure/policies-forms/index.html, applies to all members of the University community, including students. Acceptance of this policy is a condition of employment and enrollment. Questions regarding this policy should be directed to the Innovation and New Ventures Office, **847-467-2097**, invo@northwestern.edu.

Public Showing of Copyrighted Videos and Material

The Federal Copyright Act (Title 17 of the United States Code) governs how copyrighted materials, such as movies and television shows, may be used. Neither the rental nor the purchase of media, including but not limited to DVDs, Blu-Rays, or streaming service (such as Hulu, Netflix, Disney+, etc.), carries with it the right to show the video outside the privacy of home.

Public showing of copyrighted material without the appropriate performance rights not only may result in civil penalties but also could lead to criminal penalties, including imprisonment. It is also prohibited by University policy and may result in disciplinary action.

Regardless of the number of people in the room and the cost of entry to the video, unless students are in the privacy of their own homes, they may not show a rented, streamed or purchased media without authorization from rights-holding agency of media. A Public Performance Site License is a site-based license allowing entertainment films that are produced for "home use only" to be exhibited in a specific public setting. Exhibitions of a video to groups outside the privacy of a home setting can be construed as a public showing that, absent authorization, may constitute copyright infringement. Such performances require specific permission from the copyright owner. For more information see www.swank.com/college-campus/copyright/ and <https://www.criterionpicusa.com/request-a-quote>.

For questions regarding movie rights or what constitutes a legal showing on campus, see "Campus Movie Guidelines" or "Film Screenings" here <https://www.northwestern.edu/studentorgs/org-officers/poli->

[cy-index/index.html](#) and contact an adviser in Student Organizations & Activities or an appropriate Residential Services official.



Respect NU - Bias Incidents

At Northwestern we are committed to maintaining an open and supportive environment, free of acts of bias, hate, discrimination, and harassment, that impede access to educational programs, activities or opportunities or diminish the dignity of any member of the University community.

Northwestern University prohibits discrimination and harassment on the basis of race, color, religion, national origin, sex, pregnancy, reproductive health decision making, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, or genetic information.

A bias incident is an act of conduct, speech, or expression to which a bias motive related to the incident is evident as a contributing factor. Bias also attends to the ways in which power and privilege have differential impact on individuals involved based on their identity groups membership. The Bias Incident Response Team (BIRT) pays attention to how those dynamics impact those involved in the bias incident, student experience, and the larger Northwestern community. Bias Incident Reports are reported to and reviewed by the BIRT. The Bias Incident Response system and team is an informal Northwestern system for students to report identity-based concerns that arise when interacting with a member of the Northwestern community. BIRT was created in response to feedback students gave during community forums after racial incidents that occurred in during 2012.

BIRT is a non-punitive process that centers community, resources, and education within its process. BIRT does not duplicate systems that already exist within the university, rather it engages such systems through referrals. In cases where an additional response is required by university policy, law, or requested by the reporter, BIRT will route the report to the appropriate resource including the [Office of Equity](#), the relevant School, College or student affairs dean's office, or to Human Resources.

Therefore, the University expects all community members who witness or experience an act of bias, hate, discrimination, or harassment to report these incidents to the University. When an incident is reported, the University will take reasonable steps to address the situation, such as

- Collect information and document the incident
- Provide resources and support to individuals affected by such incidents, and
- Consider the impact on the community and offer educational resources to the involved parties.

- For comprehensive information about bias incidents, including multiple avenues for reporting such events, visit the Respect NU website at www.northwestern.edu/inclusion/respectnu.

Additional information about the University's response to bias incidents affecting students is available by contacting Daviree L. Velázquez Phillip, Executive Director of Campus Inclusion and Community, 847-467-3419, www.northwestern.edu/inclusion.

SafeRide

Safe Ride is a service provided to members of the Northwestern community as a safe and free alternative to walking alone after dark. SafeRide is a service provided under a contract with Via Transportation. Safe Ride operates from 7:00 pm to 3:00 am seven days a week during the academic year when classes are in session; excluding summer session. Safe Ride drivers provide rides to and from campus within our defined boundaries. Safe Ride is not intended to be a taxi rather, it is a safety service intended to be used in conjunction with other transportation strategies such as walking in groups, the Northwestern Shuttle Service, rideshare services, or one of the local taxi services. Visit the Safe Ride website at www.northwestern.edu/saferide/index.html

Service, Assistance, and Other Animals

Students are encouraged to review the University policy on Service, Assistance, and Other Animals at Northwestern: policies.northwestern.edu/docs/animal-policy-final-012717.pdf. Students planning to bring their service animal are encouraged to notify Residential Services so that the animal can be taken into consideration for room assignments. Students with disabilities who require an assistance animal to reside in a residence hall should submit an accommodation request online through the Residential Services website: <https://www.northwestern.edu/living/current/housing-dining-accommodation-requests.html>.

Shuttle Bus Service

Northwestern operates several shuttles for students on the Evanston and Chicago campuses. A valid Wildcard is required to ride the shuttles. Schedules are posted at all designated stops and are available at www.shuttle.northwestern.edu. For service updates, call 847-467-5284. Students can track shuttle arrivals and departures through Northwestern smartphone applications and online at www.northwestern.edu/uservices/gps/index.html.

Student Organizations

Student Organizations and Activities at Northwestern University have additional policies which pertain to recognized student organizations (RSOs). All RSOs are responsible for these policies when hosting events for the

Northwestern community and conducting any sponsored activities. For a complete set of policies, applications, and information on hosting any type of event for the Northwestern community and conducting any sponsored activities., go to the Office of Campus Life- Student Organizations & Activities on the third floor of Norris University Center, or online at www.northwestern.edu/studentorgs, or to the office that is responsible for advising the particular group (e.g., Fraternity and Sorority Life, Residential College Office, Residential Services, Multicultural Student Affairs, Religious & Spiritual Life, Competitive Sports or the appropriate academic department).

Student organizations must be registered via Wildcat Connection through Student Organizations & Activities annually. The RSO is responsible for the organization's Wildcat Connection pages, specifically listing the accurate president, treasurer, and advisor to ensure their group receives necessary communication to stay in good standing. The recruitment of first-year students is restricted until the first day of classes of the fall term; to apply for an exemption your group must contact Joseph Lattal at joseph.lattal@northwestern.edu. Registered student organizations and their members are responsible for staying knowledgeable about this information, and can find all related materials in the "Org Officers" section at www.northwestern.edu/studentorgs.

In the spirit of an engaged community, students engaged in a student organization must be enrolled in a credit bearing course; see "Non-Enrolled Students" [page 92](#) of this handbook.

Campus Publicity

It is the policy of Northwestern University that only registered organizations of the Northwestern community are allowed to advertise and promote their events on University property. Furthermore, all advertisements and other forms of publicity must clearly state the name(s) of the sponsoring student(s) and/or organization(s). Specific procedures for publicizing events on campus can be found on the Division of Student Affairs website and/or in the pamphlet "Campus Publicity Policies and Procedures," published annually and available from the Dean of Students Office (Scott Hall, lower level), the Norris Events Planning and Production Office, and Student Organizations & Activities, as well as online at www.northwestern.edu/studentorgs/org-officers/campus-advertising-guide/index.html.

Student or student group violations of the campus publicity policy and/or procedures should be referred to Student Organizations & Activities. Student Organizations & Activities will resolve the matter administratively or refer the complaint to the University Hearing and Appeals System or other designated resolution procedure.

Copyright Law and Public Showing of Videos and DVDs

Student organizations and groups, including residence halls and residential colleges, that wish to show copyrighted material, including movies and television shows, in a public forum are required to secure appropriate

performance rights before displaying the material. For more information, see “Public Showing of Copyrighted Videos and Material” on [page 93](#).

Gambling Policy for Student Groups

See “Gambling” on [page 88](#) of this Student Handbook.

Hazing Policy for Student Groups

See “Hazing” on [page 33](#) of this Student Handbook.

Fiscal Responsibility, Contracts, and Business Practices

Student organizations, through their affiliation with Northwestern University, may enjoy numerous “umbrella” benefits, including recognition, sponsorship, tax-exempt status, and certain insurance and legal services. However, for an organization to enjoy these benefits, it must meet various requirements—University, federal and local—and be subject to the restrictions that accompany them.

These requirements include restrictions and procedures governing fiscal responsibility and the use of University monies (including the use of SOFO, SAFC, and other University funds, accounts, and financial systems), making and executing contracts (including restrictions on who may sign contracts), and business dealings (including conflicts of interest). These policies are in place to assist student organizations in maintaining fiscally sound and ethical practices and to comply with University policies. Many of these policies also include provisions governing the conduct of a student organization’s officers and provide specific administrative actions and penalties that may be imposed in the event of a breach.

The Policies and Procedures handbook from the Student Organization Finance Office (SOFO) contains the most comprehensive outline of the guidelines, practices, and policies governing the fiscal and business practices of student organizations. This document is available online at www.northwestern.edu/norris/services/sofo/assets/sofopoliciesandprocedures2010.pdf. For more information about SOFO policies and other guidelines governing student organizations, please contact Student Organization & Activities, the Student Organization Finance Office, or the office that is responsible for advising the particular group.

Crowdfunding

As students investigate new sources of funding for projects and activities, turning to the internet for crowdfunding is an ever more relevant option. Student organizations can apply to the CATalyzer program via www.catalyzer.northwestern.edu/.

Before entering into a crowdfunding agreement, please work with your faculty or staff advisor, staff in Student Organizations & Activities, and Alumni Relations and Development utilizing the information posted on

the Northwestern Group Fundraising section found here:

<https://wewill.northwestern.edu/s/1479/282-giving/grid-campaign.aspx?sid=1479&gid=282&pgid=29383>.

If a group or individual choose to use another tool, it may only be under the following conditions:

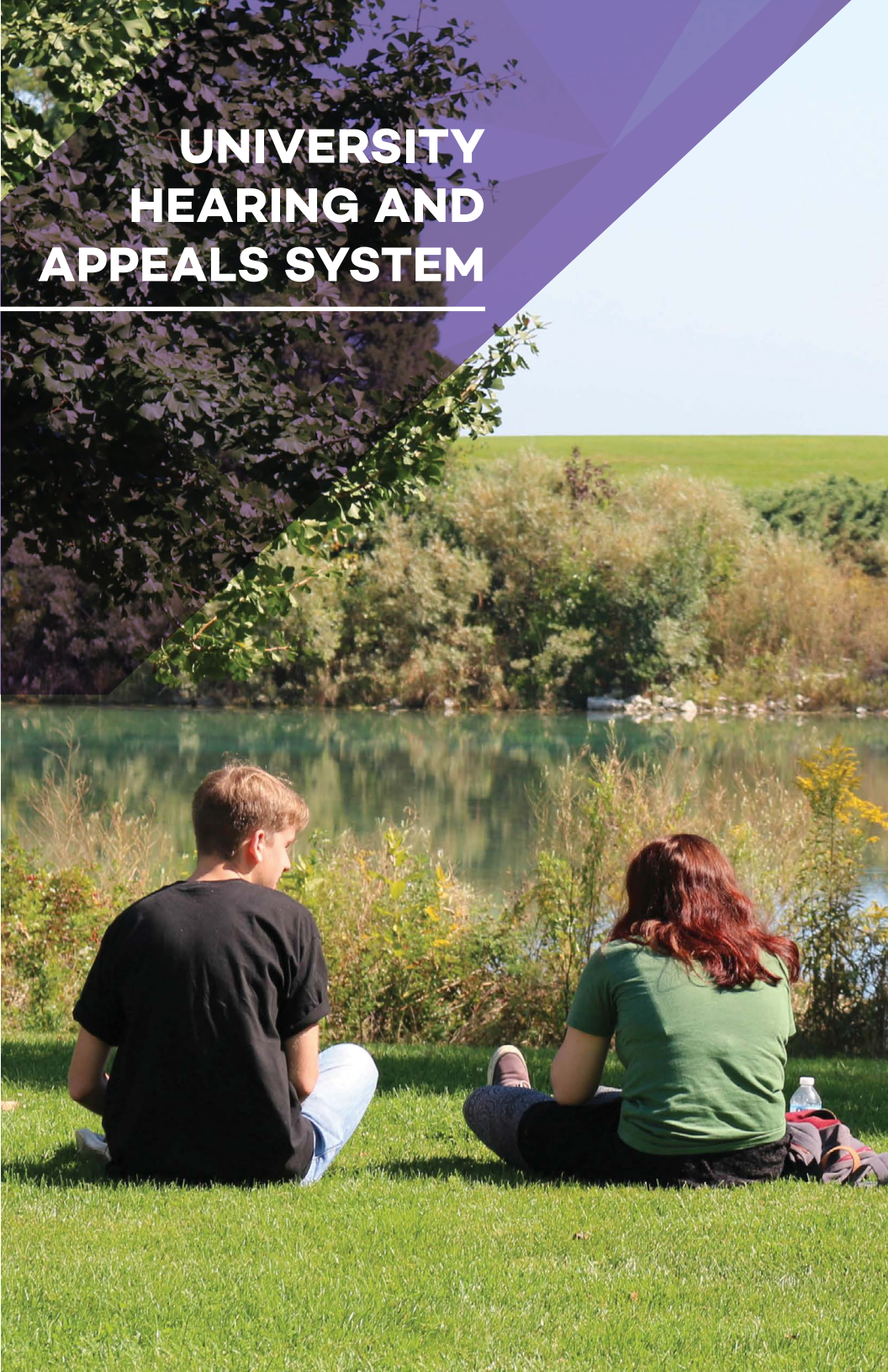
- Review the terms and conditions of the agreement, including tax issues
- Use individual name, or the name of your group or organization (not Northwestern University)
- You may identify your role at Northwestern but clearly state that you are launching the project separate from Northwestern
- You may not use any official NU images for marketing
- Do not make any statements about charitable contributions to Northwestern University

Study Abroad

Before students may be approved to study abroad for credit at Northwestern, they must— in addition to all other requirements—demonstrate emotional stability and maturity, indicating the ability to lead a stable, responsible, and healthy life abroad as a representative of Northwestern and the United States. To make thorough assessments, the Global Learning Office consults with the Division of Student Affairs to determine whether applicants have committed any disciplinary or housing violations and to ascertain the circumstances surrounding any such violations. This information is used in determining a student's suitability for study abroad and may also be shared with the program to which that student applies. Students who have serious or repeated disciplinary and/or academic violations may not be permitted to study abroad. A student who is placed on disciplinary probation that extends into the program's term will not be permitted to study abroad. In some cases, students denied access to study abroad due to disciplinary probation may have the opportunity to appeal.

All students studying abroad for credit also must adhere to Northwestern University policies, as explained in this Student Handbook. Students studying abroad on any program, including programs administered by Northwestern and those administered by outside institutions, who violate Northwestern policies may be subject to further disciplinary action upon returning to Northwestern. The onsite resident director, program administrator, or Northwestern University may require the withdrawal of any student whose conduct or academic standing warrants such a step. Furthermore, Northwestern reserves the right to deny credit to students who do not complete their study abroad programs on site, whether they were dismissed from the program or left voluntarily.

UNIVERSITY HEARING AND APPEALS SYSTEM



UNIVERSITY HEARING AND APPEALS SYSTEM

The purpose of the student conduct process is to promote integrity, civility, respect, and accountability within the University community and to provide prompt, fair, and impartial means for resolving situations in which a Northwestern student(s) or student groups/organizations are alleged to have violated a nonacademic standard or policy of the University.

This section of the Student Handbook explains the student conduct process, also known as the University Hearing and Appeals System (UHAS). This is the process used to resolve alleged violations of University policies by Northwestern students. A number of factors, including the conduct alleged, the potential sanctions, and the interest and willingness of a reporter to engage in the student conduct process will determine the specific aspects of this process that are utilized in each case. The process is detailed in this section as follows:

- **Overview** – In order to fully understand the UHAS, it is important to have an understanding of some of the foundational aspects of the system
- **Report and Initial Inquiry** – The student conduct process begins when the Office of Community Standards receives a report or a referral.
- **Interim Actions** – At times, the University may take action to ensure the safety and security of the Northwestern community and its members while resolution of a student conduct case is pending.
- **Informal Resolution** – Reporters may prefer or the University may determine that an allegation is best resolved through informal means.
- **Formal Resolution** – For non-separation level cases the University uses administrative hearings to determine responsibility for alleged policy violations and, when applicable, to assign sanctions. For separation-level hearings the University uses formal investigations and, when applicable, sanctioning panels to assign sanctions.

OVERVIEW

Office of Community Standards

The Office of Community Standards (OCS) is responsible for ensuring students honor and respect themselves, their peers, and the Northwestern community. The OCS does this by maintaining and enforcing the Student Code of Conduct and the student conduct process known as the University Hearing and Appeals System. The Office of Com-

munity Standards is responsible for resolving nonacademic student conduct matters, for ensuring student compliance with all nonacademic conduct conditions and sanctions assigned through the student conduct process, and for maintaining official nonacademic student conduct records. The Office of Community Standards designates individuals or entities to administer the student conduct process, including the appointment of University Conduct Investigator(s), University, and the University Sanctioning Panel.

The Office of Community Standards fosters individual and community development through thoughtful engagement with Northwestern University's policies, expectations, and standards. We aim to build trust with our students and community partners by implementing a fair, transparent, and equitable student conduct process that acknowledges individuals' capacity to learn and grow from challenging experiences.

The Office of Community Standards values and believes in:

Collaboration

Partnering with students, faculty, staff and community members in a collegial manner that is consistently respectful, and empathic.

Community

Acknowledging the interdependence of the culture and climate of our community and the values and standards we uphold.

Developmental Growth

Educating in a manner that respects the process of growth in the individual and the community through accountability focused on reflection, restoration, skill-building, and resource connection.

Equity

Striving to ensure students understand resolution processes, inviting students to share their stories, and valuing the importance of equitable responses to student behaviors.

Humanity

Seeking first to understand. Listening and working to empathize with the experiences of those we serve, respecting one's challenges, imperfections, and resilience.

Inclusivity

Creating an inclusive climate that empowers a diverse representation of community members to inform fair, equitable processes and standards for Northwestern.

Purview

UHAS is used to resolve alleged violations of non-academic University policies by Northwestern students. Alleged violations of academic related policies are resolved through the faculties of the University's individual schools, and in accordance with the procedures adopted by each school. Cases involving allegations of violations of Northwestern's Policy on Institutional Equity or the Interim Policy on Title IX Sexual Harassment by Northwestern students are resolved through the Complaint Resolution Process or the Title IX Sexual Harassment Complaint Resolution Process respectively, outlined in the policies linked on [page 129](#).

Alleged violations of University policy or professional standards not related to academic policies or the Policy on Institutional Equity, or the Interim Policy on Title IX Sexual Harassment by students in the School of Professional Studies, Kellogg School of Management, Pritzker School of Law, and Feinberg School of Medicine may be resolved through the faculties of the school and in accordance with the procedures adopted by each school. Where cases have been formally resolved through a school, the case will not also be resolved through UHAS. Matters that violate the Student Code of Conduct may alternatively be referred to the Office of Community Standards for resolution, when appropriate.

Definition of Roles

In the student conduct process, the person impacted by an alleged policy violation is known as the reporter. The term reporter is synonymous with the term complainant which is used in other areas of the University. The person who is alleged to have violated University policy is known as the respondent. Parties is a term that refers to the reporter and the respondent collectively. Witnesses are people who have direct or indirect knowledge related to specific aspects of a conduct case. An advisor is a support person who may be present to provide support to a reporter or respondent throughout an investigation and/or hearing.

Case Resolution Coordinators

Case Resolution Coordinators is a conduct administrator assigned to a specific case of alleged misconduct. Case Resolution Coordinators are members of the University community, usually from within the Division of Student Affairs. Case Resolution Coordinator are trained by the OCS to investigate, hear, and resolve matters of student conduct according to the policies and procedures outlined here. It is the responsibility of the OCS to ensure Case Resolution Coordinator are able to act impartially in all cases they hear. If a student is concerned about the ability of a Case Resolution Coordinator to act impartially, they can request

that the Director of Community Standards review the assignment of the Case Resolution Coordinator. For an administrative hearing, this request should be made upon receipt of initial contact by the Case Resolution Coordinator, and in all cases, prior to the beginning of the hearing.

Student Representatives in Student Organization/ Group Cases

In non-separation cases involving a student organization/group a Case Resolution Coordinator may be accompanied by a trained student representative to serve as a co-Case Resolution Coordinator. Student organizations/groups will receive notification of the name of the Student Representative prior to the hearing. If the student organization/group representative is concerned about the Student Representative's ability to act impartially or participation in the hearing, they can request that the Director of Community Standards review the assignment of the Student Representative.

Advisors

Reporters and respondents may be accompanied by one advisor throughout the student conduct process, provided that the involvement of the advisor does not result in an undue delay of the process. It is the responsibility of each party to coordinate scheduling with their advisor for any meetings or hearings. An advisor is a support person who is present to provide support to either a reporter or respondent during the student conduct process. As such, advisors may not speak, write, or otherwise communicate with an investigator, Case Resolution Coordinator, or panel and may not represent the reporter or respondent in the process. Advisors may not engage in behavior or advocacy that harasses, abuses, or intimidates either party, a witness, or individuals involved in resolving the complaint. It is the responsibility of the party to coordinate scheduling with their advisor for any inquiry meetings, investigation meetings, or hearings.

To enhance integrity in the student conduct process, to help ensure fairness for all parties, and to ensure that the focus of the student conduct process remains the Northwestern community and its students, advisors cannot be witnesses or a party in the matter or a related matter, must be a member of the University community (faculty, staff, or student), and cannot be a family member of the reporter or respondent, or an attorney.

Advisors who do not abide by these guidelines may be excluded from the student conduct process, which will continue without the advisor present. Information on advisors related to alleged violations of Northwestern's Policy on Institutional Equity or the Interim Policy on Title IX Sexual Harassment by Northwestern students resolved through the Complaint Resolution Process or the Title IX Sexual Harassment

Complaint Resolution Process respectively, is outlined in the policies linked on [page 129](#).

Time Limitations

All reports should be made as soon as possible after the incident of alleged misconduct because the passing of time makes a review of the evidence much more difficult, and the memories of involved parties become less reliable. There is no time limit for when an incident of alleged misconduct may be reported; however, absent exceptional circumstances, the OCS typically will not investigate reports submitted over one calendar year after the occurrence of the alleged incident, over one year prior to the time the investigation was requested, or after the respondent has graduated.

Case Timelines

Though the University strives to resolve all cases in a timely manner, the typical timeline for a case varies based on the circumstances of the case. In most cases, the University investigates and resolves reports of policy violation, including initial determination of outcomes and sanctions, within 60 days of receiving a report. Extensions of time beyond this 60 day timeframe may occur for good cause including, but are not limited to, breaks in the academic calendar, the availability of the parties and witnesses (including due of leave of absence), the scope of the investigation, need for interim actions, and unforeseen or exigent circumstances. Many cases are resolved in a much shorter time.



Privacy

The University considers all aspects of the UHAS process, including the report, to be private matters for the parties involved. All participants in a UHAS investigation or hearing will be informed that confidentiality enhances the integrity of the investigation, protects the privacy interests of the parties, and protects the participants from statements that might be interpreted to be retaliatory or defamatory. For these reasons, the reporter and respondent will be asked at the beginning of the investigation to keep the information related to the investigation private, to the extent consistent with applicable law. Witnesses and advisors will be asked to maintain complete confidentiality, to the extent consistent with applicable law.

Retaliation

Northwestern strictly prohibits retaliation against any member of its community for reporting a violation of University policy, or for participating, in any manner, in the UHAS process. The University considers such actions to be protected activities in which all members of the Northwestern community may freely engage.

Members of the community are prohibited from engaging in actions, directly or through others, that are aimed to dissuade a reasonable party or a witness from reporting violations of University policy, or participating in an investigation or hearing. A detailed definition of retaliation and examples of retaliatory conduct are provided in the [University's Policy on Non-Retaliation](#).

The Northwestern community is strongly encouraged to report any alleged incident of retaliation under this policy to the Office of Community Standards, which shall investigate the matter and take appropriate actions to address such conduct through the UHAS process.

Respondent Rights and Responsibilities in UHAS



All who participate in the UHAS will be treated with dignity and respect and have the right not to be retaliated against for their participation. A respondent participating has the following additional rights:

- To be given timely notice of the allegations before the hearing and to have the allegations explained clearly and fully
- To a prompt, fair, and impartial investigation and resolution
- To a hearing—defined as the opportunity to be heard and to give one's account of the situation
- To be knowledgeable about the information being considered by the investigator/Case Resolution Coordinator and to have the opportunity to respond to that information
- To have the allegations resolved by Case Resolution Coordinator, panel members, and investigators who are properly trained and who are able to act impartially
- To be accompanied by an advisor, if desired (see “Advisors,” on [page 106](#))
- To be advised of the appeals process

The University expects respondents to participate fully in all aspects of the student conduct process. When the respondent is a student organization/group, the organization/group is expected to identify a representative to respond to the alleged policies of concern on behalf of the group/organization. A respondent's silence within the process will not be interpreted as evidence of responsibility for a violation of policy. If a respondent elects not to participate in any part of the process, the Office of Community Standards may proceed without the respondent's participation. Respondents will be held accountable for any outcomes issued, even if they fail to participate.

Individuals serving in the role of reporter for cases involving alleged crimes of violence will also receive the aforementioned rights throughout the UHAS process.

The University invites reporters and witnesses to participate fully in the student conduct process. In order for OCS to investigate a student conduct matter and/or enable a respondent to fully respond to the allegations, most situations will require the reporter's participation and that their identity be disclosed to the participants in the student conduct process. If a reporter decides not to participate, but wants student conduct action to be taken, the University will determine whether it is possible to move forward with a case without the participation of the reporter. In some cases, it will not be possible for student conduct action to be taken without the participation of the reporter. Should the reporter request anonymity or decide that they do not want student conduct action taken, the University will attempt to honor this request but, in some cases, the University may need to proceed with an investigation and/or hearing based on concern for the safety or well-being of the broader University community.

All participants also have responsibility to be completely honest at all stages of the process and with all conduct administrators, investigators, Case Resolution Coordinator, and hearing panel members. Students and others involved in the student conduct process are encouraged to be forthright and as specific as possible but may choose the extent to which they share information. Any person who knowingly makes a false statement in connection with UHAS matters may be subject to disciplinary action. This provision does not apply to a good faith report that is not substantiated or proven by a preponderance of the evidence

REPORTS AND INITIAL INQUIRY

Reports of Alleged Misconduct

The University encourages anyone with knowledge of an alleged violation of University policy to report the information to the University. Reports can be submitted in the following ways:

- Reports of alleged violations of University policy by Northwestern students can be submitted to the OCS. A link to file a report online can be found on the OCS web page (www.northwestern.edu/communitystandards/index.html). Reports can also be submitted by contacting the office at community-standards@northwestern.edu or 847-491-4582.
- Reports of alleged violations of the Northwestern Policy on Institutional Equity or the Interim Policy on Title IX Sexual Harassment by students can be made to the Deputy Title IX Coordinator for Students in the Office of Equity. Information on filing reports can be found on the web page: www.northwestern.edu/sexual-misconduct

- Reports of alleged bias or hate related incidents can be reported to the Bias Incident Response Team. Information on filing reports can be found on the web page: <https://www.northwestern.edu/inclusion/respectnu/incident-report.html>

The OCS also commonly receives incident reports through University entities including but not limited to Residential Services, Northwestern University Police Department, and Office of Fraternity and Sorority Life, as well as the other law enforcement agencies.

While anonymous incident reports will be reviewed by the OCS, the University's ability to address alleged misconduct reported by anonymous sources is significantly limited; therefore, anonymous reports are discouraged.

Initial Inquiry

When a report is received, a student conduct administrator designated by the Office of Community Standards will gather information regarding the alleged incident in order to determine the appropriate means of resolution, including through meeting with the reporter and potentially with others who have knowledge of the incident. During the initial inquiry, the administrator will review all available information related to a report. Based on the information available, the level of detail known about an incident, the interest and willingness of a reporter to participate in the student conduct process, and whether the report is related to a University policy, the administrator will determine the appropriate path for each case. Available options include:

- **Close the Case:** The OCS may close cases when insufficient information exists to move forward or when the alleged misconduct—even if substantiated— would not be a violation of policy. The OCS may, in its discretion, reopen a case in the future if additional information becomes available.
- **Informal Resolution:** Informal resolution involves action taken by the University in response to a situation or report of violation of University policy when formal resolution is not desired by the reporter or when there is not enough information to proceed with a formal resolution process.
- **Formal Resolution:** The OCS may determine that there is reasonable information to suggest a policy violation may have occurred. In these cases, the OCS will refer the case to formal resolution for further investigation and formal resolution.
- **Summary Resolution:** Summary resolution involves administrative action taken when exigent circumstances require immediate action to protect the welfare and safety of the University community.

Additionally, the OCS administrator will determine whether interim actions should be taken while the case is pending. OCS Interim actions

may include measures taken prior to the formal resolution to ensure the safety and security of the campus community.

INTERIM ACTIONS

Upon receipt of a report but prior to the resolution of an allegation of misconduct, the Office of Community Standards or designee(s) may take interim action (including protective measures and accommodations) to ensure the safety and security of the University community, University community members, or University property. Interim actions are all placed pending prompt hearing through UHAS. In such instances the University will typically attempt to speak with the respondent and give them an initial opportunity to respond to the allegation of policy violation prior to issuing the interim actions.

Interim actions may be applied to the reporter, the respondent or the broader University community and include (but are not limited to):

- A no contact directive placed between students or between a student and another member of the University community
- Changes in academic, work, or living arrangements
- Assistance in requesting academic allowances
- A formal request or warning that a student cease current behaviors
- Removal of privileges or suspension of activity (including attendance in a specific class)
- Issuance of a timely warning to the University community
- A forensic threat assessment or fitness for duty evaluation and required follow-through on recommendations at the decision of the Behavioral Consultation Team

Interim Action Review

In the event the University imposes an interim action, it will provide the Respondent with notice and an opportunity to challenge the interim action decision immediately following its issuance. You may also request a review as new material information comes to light, the University reviews these matters on an ongoing basis. In cases involving an interim action for a student organization or group, the University will automatically reevaluate interim actions and issue an updated explanation within 25 business days of the initial interim action notification.

Please note reevaluation of interim actions will be based on both the original and any new information collected related to the safety and security implications for the University community. Should no new or not enough new material information be collected to provide enough clarity around safety and security implications for the University community at the time of a review, the original interim action will stand.

Should enough additional information be collected, the University will review both the original and new material information to determine if any interim actions should be changed.

Please note interim action determinations are not directly related to findings of responsibility, and that an interim action may be lifted, amended, or stayed, and the respondent may later still be found either responsible or not responsible for the policies of concern as determined by an investigation.

Interim Relocation or Removal from Campus Housing

The University may issue an interim relocation or removal from campus housing for reasons related to the safety and wellbeing of the parties involved, the residential community, or the residence hall property. An interim relocation or removal from campus housing may be imposed by the Executive Director of Residential Services, or designee, and shall become effective immediately without prior notice. The Residential Services Executive Director & Director of Operations and Services may take the same action for students who reside in fraternity/sorority-affiliated on-campus housing.

Interim Suspension

An interim suspension of a student from the University for allegations of nonacademic misconduct (including alleged violations of the Policy on Institutional Equity or the Interim Policy on Title IX Sexual Harassment) may be imposed by the Vice President for Student Affairs, or designee, in their discretion and shall become effective immediately. The Vice President for Student Affairs, or the designee, issuing the interim suspension will make a reasonable attempt to speak with the student and give the student an initial opportunity to respond to the concerns before issuing the interim suspension. Allegations that may warrant an interim suspension include, but are not limited to:

- Sale, distribution, use, or possession of illegal drugs
- Possession of dangerous weapons
- Sexual misconduct
- Theft of or damage to property
- Obstruction or disruption of teaching, research, administration, hearing procedures, or other University activities
- Action or threat of action that endangers or threatens to endanger the health, safety, or wellbeing of any person (including oneself).
- Fraud

Any student who receives an interim suspension will be required to remove themselves immediately from the residence halls and/or fraternity or sorority residences, will not be permitted to attend class, and will be excluded from University property and University events unless the student's presence on campus or at University events is explicitly authorized by the Vice President for Student Affairs or designee issuing the interim action.

Any respondent who has received an interim suspension should expect a prompt and fair formal resolution to their alleged misconduct. The University must balance the need for a prompt outcome with the need to protect the integrity of the system and to ensure a fair, thorough, and equitable student conduct process and outcome.

The University retains the right to postpone a hearing and/or appeal through the UHAS if the University determines the respondent's presence in the University community would pose an unacceptable threat to the University community or would otherwise significantly disrupt the educational or other activities of the University community. In the event the University postpones a formal resolution procedure, it will advise the student of the conditions that must be met, which may include a forensic threat assessment (see "Interim Actions" above) prior to the hearing and/or appeal through the UHAS or other designated resolution procedure.

INFORMAL RESOLUTION

Informal resolution involves action taken by the University in response to a situation or report of violation of University policy when formal resolution is not desired by the reporter or when there is not enough information to proceed with a formal resolution process. An informal resolution is similar to an interim action but serves as final resolution and is not put in place pending a hearing through UHAS. Informal resolution does not result in findings related to responsibility or in sanctions. Options for informal resolution include, but are not limited to:

- A no contact directive placed between students or between a student and another member of the University community
- Changes in academic, work, or living arrangements
- An educational meeting with a student or community
- A formal advisory letter and/or request that a student cease current behaviors
- Deferred conduct action

Deferred Conduct Action

In appropriate situations, conduct cases may be deferred. When a case is deferred, the University refrains from taking any action on a case for

a designated period of time (generally up to one year from the date of the incident), during which time a student may be given the opportunity to satisfy certain conditions or obligations as a means of avoiding further conduct action. Sanctions may also be deferred.

RESTORATIVE RESOLUTION

In matters where a complaint has been filed and has passed initial inquiry, the parties may elect to resolve the matter through the University's Restorative Justice Program.¹ Restorative resolution is voluntary and the University will not require parties to engage in this process. Parties interested in restorative resolution will receive a written notice disclosing: the allegations, the requirements of the restorative process including the circumstances under which it precludes the parties from resuming a complaint arising from the same allegations, and notice that at any time prior to agreeing to a resolution, any party has the right to withdraw from the restorative resolution process and resume the Complaint Resolution Process with respect to the complaint. In the event a party withdraws from the restorative process, records from the restorative process will not be shared with those investigating the matter but may be maintained by the Restorative Justice Program. All parties will be asked to provide voluntary, written consent to the restorative process before it begins.

1. The University's Restorative Justice Program is expected to become available during the 2021-2022 academic year. The restorative resolution option will become available upon the launch of the program.

FORMAL RESOLUTION

The University Hearing and Appeals System (UHAS) is not a court, legal, or trial system, and the resolution options, including formal resolution, available through UHAS are not constrained by the rules of procedure or evidence typically used in a court of law. UHAS operates under a standard of fairness, which includes an opportunity for the student(s) or student group to be notified of the alleged misconduct and the policy violations under consideration and an opportunity to be heard. As such, if a case is referred for formal resolution, the respondent will be notified of the alleged misconduct and will be given an opportunity to respond.

Depending on the circumstances and in its discretion, the Office of Community Standards may consolidate for investigation and resolution multiple incidents involving the same respondent, and/or cases in which parties have made allegations against each other.

Please note, allegations of policy violation related to the Policy on Institutional Equity and the Interim Policy on Title IX Sexual Harassment are resolved through the Complaint Resolution Process or the Title IX Sexual Harassment Complaint Resolution Process respectively, as linked on [page 129](#).

Standard of Evidence

The Office of Community Standards uses the preponderance of the evidence standard in investigations and hearings. This means that the investigator(s) and Case Resolution Coordinator must determine more likely than not what occurred. A preponderance of the evidence means that over 50% of the information supports a finding that the misconduct occurred.

Notification

The respondent will receive notification of the allegation of misconduct typically three or more days prior to the administrative hearing. In circumstances that require further investigation, respondents will be notified typically three or more days prior to the investigative meeting. The notification will typically include a brief description of the alleged misconduct, including the time, date, and place the incident allegedly occurred, a list of any University policies allegedly violated, and a description of the steps toward resolution. The University may modify the list of policies allegedly violated based on additional information revealed during investigation.

Acceptance of Responsibility

Acceptance of Responsibility for an Individual Student

In cases typically used for separation level matters, prior to the conclusion of an investigation, the respondent may elect to take responsibility for the prohibited conduct by contacting the Office of Community Standards via the link in their initial letter. Following the submission, the OCS may solicit additional information relating to the matter from the Respondent and any relevant parties. The Director of Community Standards or designee will issue a brief outcome determination, inclusive of any information collected, summarizing the timeline and allegations and stating the respondent has accepted responsibility. The Office of Community Standards will then refer the matter to a sanctioning panel. Following the determination of sanctions, a respondent may appeal the sanctions but not the finding(s) of responsibility. In the event a Respondent decides to accept responsibility for some but not all the allegations, the Office of Community Standards will determine whether to sever the matter and send the allegations for which the respondent has accepted responsibility along to a sanctioning panel for sanctioning.

Non-Separation Level Cases for Student Organizations

Student organizations may engage in both self-governance and collaboration with the University to resolve a non-separation level complaint. When an organization accepts responsibility for the prohibited conduct or presents credible information and accepts responsibility for Stu-

dent Organizations some charges the case may be resolved collaboratively with University staff in lieu of engaging in a Formal Non-Separation Level Meeting.

While the Collaborative Resolution Meeting is typically available for non-separation level cases, the Office of Community Standards (OCS) will consider other circumstances for proceeding with an adaptable resolution that include: the overall safety and appropriateness to utilize this process, the complexity of the violation, the organization's motivation and ability to participate, disciplinary history, and whether or not adequate resources exist to invest in the adaptable resolution (time, staff, etc.) as well as which form of resolution may be most successful for the student organization and the University.

In order to initiate a Collaborative Resolution Meeting, the student organization must meet the following criteria:

- The student organization must accept responsibility for the alleged policies of concern, either as the initial reporting party, during the course of the investigation, or prior to a Formal Non-Separation Level Meeting via the link available in their initial notice letter.
- The student organization must present a proposed action plan to correct the behaviors, inclusive of any Headquarters actions when applicable, which will be initially evaluated by an OCS, OFSL, SOA and/or an MSA staff member.
- The student organization will participate in an informal collaborative sanctioning meeting with three individuals designated by OCS, including at least one student and one staff representative. These three individuals and the student organization will discuss the proposed action plan, modify it as necessary, and determine an appropriate final action plan. The local advisor or a Headquarters representative may participate, only to speak to the stated or available action items they are able to make available for the organization. Should the advisor violate the limited nature of their participation, they may be removed.
- The action plan is not considered final until it is reviewed and signed by the Director of Community Standards or their designee. This action plan will be indicated on the student organization's conduct record, and the outcome of responsibility and action plan are not appealable.

If both parties agree to the terms of the action plan, the case is considered resolved so long as the action plan is completed, including that any designated deadlines for action items are met. If the action plan is not completed as agreed upon, the case will be referred to a Formal Non-Separation Level Meeting.

Separation Level Cases

In cases typically used for separation level matters, prior to the conclusion of an investigation, the respondent group or organization,

in conjunction with their Headquarters when applicable, may elect to take responsibility for the prohibited conduct by contacting the Office of Community Standards (OCS) via the link in their initial letter. Following the submission, the OCS may solicit additional information relating to the matter from the group or organization and any related parties. The OCS will issue a brief outcome determination, inclusive of any information collected, summarizing the timeline and allegations and stating the responding group or organization has accepted responsibility. The OCS will then refer the matter to a Sanctioning Panel.

Should the responding organization or group wish, the responding group or organization can submit a copy of any applicable action plans as developed by the responding organization or group, including those issued by a Headquarters when applicable, within five days of receiving the outcome determination and prior to the Sanctioning Panel, which will be shared with the Sanctioning Panel as a part of their materials for evaluation. The document should be no longer than five pages in length, inclusive of attachments.

Following the determination of sanctions, the responding group or organization may appeal the sanctions but not the finding(s) of responsibility. In the event a responding group or organization decides to accept responsibility for some but not all the allegations, the OCS will determine whether to sever the matter and send the allegations for which the responding group or organization has accepted responsibility along to a Sanctioning Panel for sanctioning.

If a finding and sanction(s) are issued by a non-Northwestern governing body (e.g., inter/national Headquarters) prior to the resolution of the UHAS formal student organization conduct process, the University may give the responding student organization or group, (inclusive of the non-Northwestern governing body) the option to follow the acceptance of responsibility process above. The Director of Community Standards or designee may then choose to either come to a mutual agreement between the University and the organization or group as to sanctions or consult with a Sanctioning Panel to determine the appropriate sanctions from the University, both based on the sanctioning factors [\(pg. 40\)](#). Acceptance of responsibility and the proposed University sanctions prevents the need for a full investigation through the UHAS process.

The OCS reserves the right to investigate and, as appropriate, hold any individuals accountable for their behaviors that may be related to the matter for which the responding organization or group accepted responsibility.

Withdrawal of Complaint

Prior to the completion of any investigation (as described below), the reporter may request to withdraw the complaint by contacting the Director

of Community Standards in writing. The Director of Community Standards or designee will determine whether to close the case or conclude the investigation without the reporter's continued participation.

Types of Formal Resolution

Non-Separation Level Cases

Matters that do not have the potential to result in separation (i.e., suspension, degree revocation, expulsion, group dissolution) from the University will be resolved through an Administrative Hearing. An Administrative Hearing is a conversation between a respondent and a Case Resolution Coordinator. The potential of an alleged violation to result in separation from the University will be determined by the Director of Community Standards or their designee following initial inquiry.

Investigation

The Case Resolution Coordinator assigned to a case of alleged misconduct may begin by conducting an investigation into what occurred. This investigation may include, but is not limited to, reviewing documentation, speaking with the reporter, respondent, and/or witnesses; reviewing material available electronically; or requesting written statements from any person involved in the alleged incident. The scope of the investigation will vary depending on the particular facts and information available in each case.

Format of Administrative Hearings

An Administrative Hearing is structured as a discussion or conversation and is conducted in private. The Case Resolution Coordinator will review the incident report and/or findings of their investigation with the respondent and give the respondent an opportunity to respond. In all cases both the reporter and respondent will have equal opportunities to share information and have their information considered. The Case Resolution Coordinator will determine whether the respondent is responsible for the alleged policy violation(s) and, if so, will issue appropriate sanctions. At times, the Case Resolution Coordinator will communicate the outcome of the Administrative Hearing at the end of the meeting. However, at times, the Case Resolution Coordinator will need additional time to consider all of the information related to a case and will communicate the outcome with the respondent in a reasonable timeframe after the Administrative Hearing.

Notification of Outcome

Upon the conclusion of a hearing, the Case Resolution Coordinator will promptly notify the respondent in writing of the outcome of the hearing including; the findings related to violations of policy, the rationale for these findings, the sanctions imposed, and the information regarding review procedures.

Administrative Appeals

The respondent has the right to request an Appeal of the outcome of an Administrative Hearing. In a case of a crime of violence, the reporter or respondent may request an appeal. Requests for Appeals must be submitted in writing via the Appeal submission form within a reasonable time as designated by the Case Resolution Coordinator in writing to the student (typically, within three calendar days of receiving the outcome of an Administrative Hearing). Appeals must be limited to fifteen (15 pages). The Director of Community Standards or another Appellate Coordinator as designated by the Director will review appeals. In cases where the Director of Community Standards served as a Case Resolution Coordinator for a case (or in which the director cannot be impartial), an Appeal will be reviewed by the Dean of Students or designee. The original finding and sanction are presumed to have been decided reasonably and appropriately, and the only grounds for appeal are as follows:

- New information discovered after resolution of the case that could not have reasonably been available at the time of resolution and is of a nature that could materially change the outcome
- Procedural errors within the student conduct process that may have substantially affected the fairness of the hearing
- An outcome (findings and/or sanctions) that was manifestly contrary to the weight of the information presented during the case (i.e., obviously unreasonable and unsupported by the great weight of information)

The full case, beyond the aspects of the case outlined in the appeal may be considered. If none of the grounds for appeal are present in the case, the outcome (findings and sanctions) of the Case Resolution Coordinator will be upheld. If any of the grounds for appeal are present in the case, the decision of the original Case Resolution Coordinator may be amended or a new outcome (findings and sanctions) may be issued. The reviewer of the appeal has final authority to determine the outcome of the case. No additional appeal can be requested or granted and all sanctions will take effect immediately. In an extraordinary circumstance, the reviewer of the appeal may refer the case back to the Case Resolution Coordinator for further review. If the case is referred back to the Case Resolution Coordinator, the reviewer of the appeal may recommend that alternate policies or sanctions be considered. Additionally, if a case is referred back to the Case Resolution Coordinator, the new decision of the Case Resolution Coordinator is considered final (no additional Appeal will be granted). Following the Appeal, a written decision will be delivered as outlined in “Notification of Outcome” on [page 120](#).

Separation-Level Cases

In matters where the Director of Community Standards, or designee has determined, based on initial inquiry, that the alleged violation(s) has the potential to result in separation from the University (i.e., suspension, degree revocation, expulsion, or group dissolution) the matter will be investigated and resolved by two investigators and sanctions will be assigned (if applicable) by a Sanctioning Panel.

Notification

The respondent will receive notification of the allegation of misconduct typically three or more days prior to the initial investigative meeting. The notification will typically include a brief description of the alleged misconduct, including the time, date, and place the incident allegedly occurred, a list of any University policies allegedly violated, and a description of the steps toward resolution. The University may modify the list of policies allegedly violated based on additional information revealed during investigation.

Investigation

Investigations are conducted by two investigators who are conduct administrators or other University staff trained as investigators or external investigators hired by the University and trained in Northwestern's policies and procedures. Investigators will be identified, trained, and assigned to cases by the Office of Community Standards or the Office of Equity.

An investigation typically involves, but is not limited to, reviewing reports of the incident, meeting with students to discuss the matter, gathering additional information from witnesses and other knowledgeable individuals, and otherwise exploring the circumstances of the incident. The reporter and the respondent will both have the opportunity to speak with the investigator, to present a list of witnesses from which they suggest the investigator solicit information, and to provide a list of questions they suggest the investigator ask the other party. Reporters and respondents may only present factual witnesses and may not present character or expert witnesses. The investigator will consider the question and witness lists provided by the reporter and respondent when identifying whom they will interview and what questions they ask. The investigators may also choose to interview witnesses of their choosing.

Evaluation and Notification of Process Change

Should the OCS determine at any point in an investigation prior to the issuance of the investigative report that the matter no longer warrants consideration of separation as a potential outcome, the OSC will notify the appropriate parties that the matter will now move forward under the non-separation process. In such a case, the OCS will determine in its discretion whether to issue an investigative report based on the circumstances at issue, will issue a findings letter inclusive of a rationale for the procedural shift, and should a responsibility finding be made, determine any sanctions.

REPORT REVIEW PROCEDURES¹

a. Preliminary Investigative Report:

After the parties have had the opportunity to meet with investigators, identify witnesses, and suggest questions, and the investigators have completed witness interviews and the gathering of evidence, the investigator(s) will prepare a preliminary report. The preliminary report will include the information provided by the reporter, the respondent, and each witness, and either a copy or written summary of all relevant evidence collected during the investigation. The preliminary report will not contain any findings.

The respondent will be provided with an opportunity to review the preliminary report and respond. Typically, the report will be provided to the respondent electronically. The respondent is expected to maintain the privacy of this document and may not distribute this document. Unauthorized distribution of this document may result in further disciplinary action.

The respondent may submit comments, feedback, additional documentary evidence, requests for additional steps in the investigation, names of additional witnesses, or any other information they deem relevant to the investigators, up to twenty (20) pages, within five (5) calendar days after the preliminary report is made available for review. **The comment and feedback portion of the response is limited to five (5) pages of the twenty (20) page limit.** The Director of Community Standards or designee may, in their discretion, waive or adjust the page or time limit for the feedback.

In the event new, relevant information is provided or identified by the respondent, the information will be incorporated into the preliminary report and the respondent will be provided a second and final opportunity to review and provide feedback regarding the new information before the investigators proceed with finalizing the report. The respondent may submit up to five (5) pages of feedback regarding the new information within five (5) calendar days after it is made available for review.

b. Investigation Outcome

The investigators will determine whether the preponderance of the evidence shows the respondent has violated university policy. The respondent will be notified in writing of the outcome of the investigation. The notifications will include findings related to violations of policy and the rationale for all findings.

1. Resolution of cases where no violation has been found

Respondents are informed of appeal procedures. As noted above, the

University encourages the respondent to maintain privacy of all communications related to findings. In cases involving a crime of violence, the reporter will be informed of appeal procedures.

2. Resolution of cases where a violation has been found

Following notification of the outcome of an investigation, a UHAS Sanctioning Panel will be convened.

Note: In cases involving the Policy on Institutional Equity where the Office of Equity determined, based on initial inquiry, that the alleged violation has the potential to result in separation of a respondent from the University, and a policy violation was found following an Office of Equity investigation, the matter will be referred to the Office of Community Standards to facilitate a sanctioning process using the Sanctioning Panel format described below.

FORMAT OF SANCTIONING PANEL

Panel members are students, faculty, and staff from the University community. Students panelists are not involved in the Policy of Institutional Equity matters. Panel members apply annually and are selected by the Office of Community Standards. Sanctioning Panels will typically be made up of three members. The Office of Community Standards should do its best to diversify each Panel—both in terms of social identities and affiliations within the University. No investigator, sanctioning or appellate panelist will make findings or determinations in a case in which they have a material conflict of interest or material bias. Any party who believes an investigator has a potential material conflict of interest or material bias must raise the concern to the Director of Community Standards within two (2) calendar days of discovering the perceived conflict so that the University may evaluate the concern and find a substitute, if appropriate. The Director of Community Standards or designee will determine whether a conflict of interest exists. The failure of a party to raise a concern of a conflict of interest or bias in a timely manner may result in a waiver of the issue for purposes of any appeal.

Following the delivery of the investigative report, respondents, and reporters as appropriate, will be provided a list of all potential sanctioning and appellate panel members prior to the Sanctioning Panel, and will be given the opportunity to express specific concerns about any potential panel member's material conflict of interest or material bias within 3 business days of receiving their Sanctioning Panel Memo. The Director of Community Standards or their designee will determine whether material conflict of interest or material bias exists.

In cases where there are exigent circumstances (including but not limited to concern for the safety or security of the University community or the academic progress of a student) or in cases where context

requires the case be heard within a constrained time period, trained Case Resolution Coordinators who have no prior involvement in the case can serve as sanctioning or appellate panelists.

The role of the Panel Coordinator is to ensure that the Panel follows the process set forth in this document, clarify any questions about the policies and procedures, and consult on any available sanctions and past precedent.

The Respondent will receive an opportunity to independently speak to the panel to provide input toward sanctioning. The purpose of this time is to allow the respondent to explain what sanction(s) they believe the panel should assign and the rationales for their proposals. The respondent will be given ten minutes to present a statement to the panel. The panel may then ask questions of the respondent. The respondent may choose to submit a written statement to be read to the panel in lieu of appearing at the hearing. Such written statements may not exceed five (5) pages, including attachments. In cases involving a crime of violence, the reporter will also receive an opportunity to speak with the panel. In circumstances where both parties are participating in the Sanctioning Panel, both parties will not meet with the panel together but may choose to listen to one another from a space provided by the Office of Community Standards. The reporter or respondent's decision whether to participate in the Sanctioning Panel and/or listen to the other party is completely voluntary.

Notification of Outcome

Upon the conclusion of a sanctioning panel, the Panel Coordinator will provide written notice of the sanction(s) to the respondent within seven (7) calendar days of the sanction decision. The notice will reference findings made and will include the sanction(s), a summary of the rationale, and information about the appeal process.

The respondent's academic program as well as other University programs (e.g., Athletics, offices of employment), may be notified of information related to a conduct case, including the outcome, whenever there is a legitimate educational interest to do so (for example, when a finding of responsibility impacts the respondent's participation in a University program, or as necessary to implement accommodations for a reporter). If Northwestern University is not a student's home institution (e.g., students who are studying abroad or on exchange at Northwestern), the University reserves the right to notify the student's home institution of serious violations of University policy or accommodations related to a student's enrollment at the home institution. For information on Sanctions, see [page 40](#).

Notification to the Reporter and/or alleged Victim

Pursuant to federal mandates and the Family Educational Rights and Privacy Act (FERPA), the Office of Community Standards may only offer written disclosure of the outcome of the case to a Reporter and/or

alleged impacted party if the allegations constitute:

- A violation of the University's Interim Policy on Title IX Sexual Harassment or Policy on Institutional Equity; and/or
- A crime of violence (alleged or attempted commission of the following offenses: arson, assault offenses, burglary, criminal homicide, manslaughter, murder, destruction/damage/vandalism of property, kidnapping/abduction, robbery, sexual assault, dating or domestic violence or stalking), as defined by FERPA.

The disclosure may include:

- the findings for each alleged violation;
- the sanction(s) imposed on the Respondent that directly relate to the reporter and/or alleged Victim. In a case related to alleged sexual assault, stalking, dating or domestic violence, the notification of sanction to the Complainant will also include the rationale and all sanctions imposed on the Respondent, not just those directly related to the Complainant; and/or
- appeal rights, if applicable.

Appeals

The respondent has the right to request an Appeal of the findings and, if sanctions are imposed, a determination of sanctions. In a case of a crime of violence the reporter or respondent may request an appeal. Requests for Appeals must be submitted in writing via the Appeal Submission Form within a reasonable time as designated by the conduct administrator in writing to the student (typically, within ten calendar days of their receipt of the outcome). Appeals must be limited to fifteen (15 pages). The Director of Community Standards will convene an Appellate Panel to review appeals. In cases where the Director of Community Standards served as an investigator (or in which the director cannot be impartial), an Appellate Panel will be convened by the Dean of Students or designee. The original finding and sanction are presumed to have been decided reasonably and appropriately, and the only grounds for appeal are as follows:

- New information discovered after resolution of the case that could not have reasonably been available at the time of the resolution of the case and is of a nature that could materially change the outcome
- Procedural errors within the student conduct process that may have substantially affected the fairness of the hearing
- An outcome (findings and/or sanctions) that was manifestly contrary to the weight of the information presented during the case (i.e., obviously unreasonable and unsupported by the great weight of information)

The Appeal is not a rehearing of the case; it is a written statement specifically stating the grounds for the appeal and any supporting information. In cases involving crimes of violence and multiple parties, the non-appealing party will be able to review the request for appeal and will be given an opportunity to submit a written response to the Appellate Panel within the

same time designated for the request for appeal. A written response is limited to fifteen (15) pages. The appealing party will be able to review the response.

Similar to the original investigation, the Appeal and response to the Appeal may not include any character or expert witness statements. The Appeal is solely conducted via written statements. Neither party will be allowed to request an in-person meeting with the Appellate Panel. In an extraordinary circumstance, the Appellate Panel may request an in-person meeting with the reporter and respondent. Should the Appellate Panel request a meeting with one party, a meeting will also be requested with the other party.

The Appellate Panel will review the Appeal, the investigator's report, and the case record. The Appellate Panel may consult in confidence with other members of the University community in order to substantiate the grounds for appeal or to seek clarification of issues raised in the Appeal. (Examples might include, but are not limited to, consulting the investigator(s) for the case on the specifics of the findings or consulting a panel coordinator about the student conduct process.)

The Appellate Panel may review the full case, beyond the aspects of the case outlined in the request for Appeal. If the Appellate Panel does not find that any of the grounds for appeal are present in the case, the Panel will uphold the outcome (findings and sanctions) of the Investigators/Sanctioning Panel. If the Appellate Panel finds that any of the grounds for appeal are present in the case, they may amend the decision of the original Investigators/Sanctioning Panel or may issue a new outcome (findings and sanctions). The Appellate Panel has final authority to determine the outcome of the case. No additional appeal or review can be requested or granted and all sanctions will take effect immediately. In an extraordinary circumstance, the Appellate Panel may refer the case back to the Investigators or Sanctioning Panel for further review. In this case, the Appellate Panel may recommend that alternate policies or sanctions be considered. Additionally, if a case is referred back to the Investigators/Sanctioning Panel, the new decision of the Investigators/Sanctioning Panel is considered final (no additional Appeal will be granted).

A written decision will be delivered by the Office of Community Standards within a reasonable amount of time, typically seven calendar days, following receipt of the Appellate Panel's review.

Disclosure of Appeal Outcome

If an Appeal is filed regarding the outcome of a case, the final outcome of the appeal(s) will be made to any appropriate parties beyond the Respondent, consistent with the terms outlined for disclosure of the original decision (p. 122-123). The disclosure may include, at minimum:

- Findings for each ground on which the Appellant appealed;

- Any alterations to sanction(s) that impact the respective party; and
- Information if the case was referred back to the investigators.

Appellate Panel

Appellate Panel members will be appointed by the Vice President for Student Affairs, or designee, and will be trained annually by the Office of Community Standards. The Appellate Panel will be made up of administrators and academic leaders who represent the Division of Student Affairs and the Office of the Provost. In non-Equity cases, the Appellate Panel may also include one appointed student panelist. Three members of the Appellate Panel must be involved in each appeal decision, and decisions are made by a majority vote. In times of exigent circumstances, a conduct administrator or panel member who has had no previous involvement in the case can be assigned by the OCS to fill in for a member of the Appellate Panel to ensure expediency of the decision. The Director of Community Standards or designee will be privy to all Appellate Panel discussions to ensure compliance with the UHAS procedures.

Record of Student Conduct Proceedings

Records of student conduct proceedings (i.e., hearings, investigations, sanctioning panels) are kept by the Office of Community Standards. Any party involved is welcome to take written notes during interviews and hearings, but audio or video recordings and typed transcripts by the parties are not allowed. Any exception to this policy is the sole discretion of the Director of Community Standards. Deliberations by conduct administrators or panels are never recorded by means of audio or videotaping and no transcripts are kept, and the University does not allow for the recording or transcribing of these proceedings.

Also to help protect the privacy interests of the parties, while the reporter and the respondent are in possession of the investigative report, they are not permitted to duplicate it or in any way retain a copy (including electronically) at the conclusion of the case. If a reporter or respondent wishes to view any portion of the student conduct case record, they may schedule an appointment to view the information in the Office of Community Standards. Copies of such records are not provided to the reporter or the respondent and cannot be made by the reporter or respondent. Any exception to this policy is in the sole discretion of the OCS. Conduct case records are only shared in accordance with FERPA and other University records policies.

SUMMARY RESOLUTIONS

Summary resolution involves administrative action taken when exigent circumstances require immediate action to protect the safety of the University community. These actions take the place of formal resolutions through the UHAS system, are considered final, and are not subject to further review or appeal.

Relocation or Removal from Housing

The Executive Director of Residential Services, or designee, has the authority to take administrative actions regarding the housing of students who live on campus, including relocating a student to a new room or residence hall or removing a student from on-campus housing. The Associate Vice President of Student Auxiliary Services, or designee, has the authority to take administrative actions regarding the housing of students who live in fraternity/sorority-affiliated on-campus housing, including relocating a student or removing a student from fraternity/sorority-affiliated on-campus housing. These actions are considered final and are not subject to further review.

ADDITIONAL INFORMATION ABOUT UHAS

Status of a Student/Group Pending Administrative Review or Appeal

Until a final resolution is determined, the status of a student/group will not change unless interim restrictions have been imposed to protect the health and safety of the student/ group or the University community. A student with disciplinary action pending, however, may not participate in commencement exercises until their case is resolved. A student currently on leave, suspended, or withdrawn from Northwestern who has a pending disciplinary matter is not eligible to seek reenrollment or readmission until that matter is resolved.

Effect of Withdrawal

If at any time after the University receives a report and prior to the final decision in a case, a respondent withdraws from the University, the respondent should expect the university to bring the case to resolution. If a good faith effort to participate in the appropriate process is not exhibited by the respondent, the university may elect to resolve the matter without that student's participation.

If a party withdraws from the University while any appeal initiated by that party is pending, that party's withdrawal shall constitute a withdrawal of the appeal, and the finding from the last decision shall become final.

Disciplinary Hold

At any time after the filing of a report, the Office of Community Standards may place a student conduct hold on the academic and/or financial records of any student pending the outcome of proceedings or to enforce a student conduct sanction. A student conduct hold may pre-

vent, among other things, registration, enrollment, matriculation, the release of transcripts, and graduation and the awarding of a degree.

Violations of the Law and the Student Code of Conduct

Students may be accountable to both legal authorities and to the University for acts that violate local, state, or federal laws. (Students are encouraged to seek advice of legal counsel when they face criminal charges.) Disciplinary action through the UHAS concurrent with criminal action does not subject a student to “double jeopardy.”

The University operates under different policies, procedures, and standards and thus is not bound by the findings of a court of law. If the court’s outcome satisfies the University’s interests, such outcome may be recorded on the student’s student conduct record without invoking the University student conduct process. Should any criminal proceeding result in a felony conviction, as a result of an incident on or off campus, the Vice President for Student Affairs reserves the right to summarily expel a student. This action is considered final and is not subject to further review.

University disciplinary action will normally proceed during the pendency of a criminal or civil action. Legal action may similarly proceed during pendency of a student conduct case and is not subject to restrictions placed by the University. A student may request, however, that the University student conduct process be placed on hold until criminal actions are resolved. The Director of Community Standards or designee, will decide whether this request will be granted. In such a case, interim restrictions may be imposed. The University reserves the right to proceed with the student conduct process at any point. The granting of any hold is at the full and sole discretion of the University.

Accommodations for Students with Disabilities

It is the policy of Northwestern University not to discriminate against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, or genetic information in matters of admissions, employment, housing, or services or in the educational programs or activities it operates, in accordance with civil rights legislation and University commitment. It is also Northwestern University policy to ensure that no qualified student with a disability is denied the benefits of, excluded from participation in, or otherwise subjected to discrimination in any University program or activity. In response to a request made by a qualified student with a documented disability, the University will arrange, at no cost to the student, for the provision of educational auxiliary aids, including sign language interpreters, real-time

captioners, note takers, readers, and tutors, determined by the University to be necessary to afford the student with a disability the opportunity for full participation in University programs.

The majority of accommodations and services for students with disabilities are coordinated by Accessible NU (ANU), which has locations on both the Evanston and Chicago campuses. For more information, visit www.northwestern.edu/accessiblenu/ or contact the office at **847-467-5530** or **847-467-5533** (teletypewriter).

Procedures

Northwestern University does not discriminate or permit discrimination on the basis of disability in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. The Director of Equal Opportunity and Access has been designated as the Section 504 coordinator and coordinates compliance with the nondiscrimination requirements of Section 504 of the Rehabilitation Act, the Americans with Disabilities Act (ADA), and applicable federal and state regulations. The coordinator may be contacted at Section 504 Coordinator, Office of Equity, 1800 Sherman, Evanston campus, **847-491-7458**, fax **847-467-0698**, eeo@northwestern.edu.

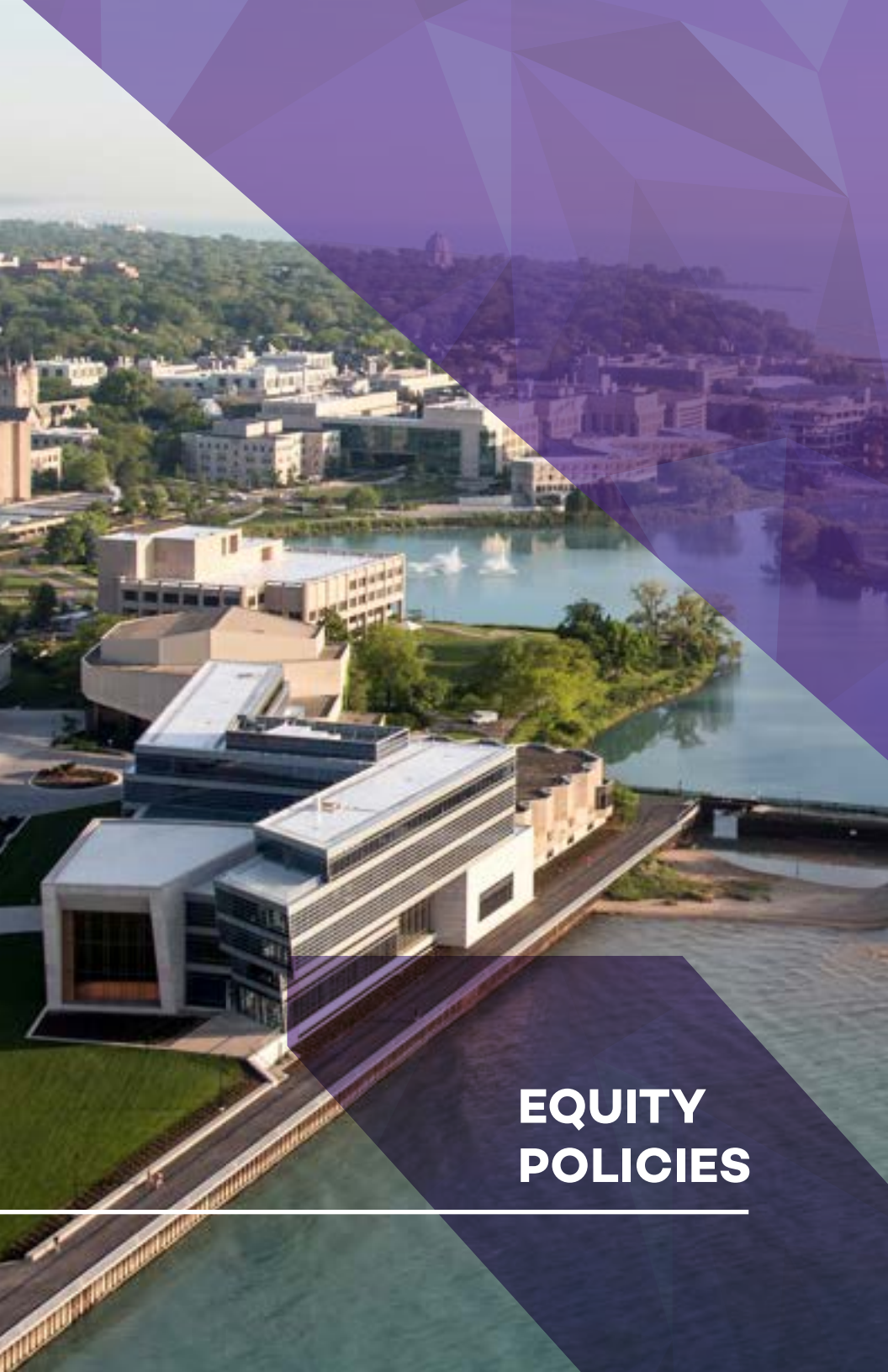
Northwestern University has adopted internal grievance procedures providing for prompt, equitable, and impartial resolution of grievances alleging any action prohibited by the ADA or Section 504. These procedures apply to reports of discrimination or harassment on the basis of disability by staff, faculty, students, applicants for both University employment and academic admission, vendors, contractors, and third parties.

For the complete Grievance Procedure, including information about filing a grievance, investigation and resolution of grievances, confidentiality, and other topics, please see www.northwestern.edu/equal-opportunity-access/respond/disability-grievance.html.

Complaints against Faculty and Staff

Where there exists a complaint against a member of the faculty, administration, or other staff of the University, there are established procedures for handling such complaints. A complaint against a faculty member should be filed with the appropriate dean and/or with the Office of Human Resources. A complaint against a member of the administration or staff should be filed with the appropriate superior and/or the Office of Human Resources.

Discrimination, Harassment, or Sexual Misconduct related cases concerning members of the faculty, staff, or third-parties can be filed directly with the [Office of Equity](#). Additional information about the Policy on Institutional Equity and the Interim Policy on Title IX Sexual Harassment can be found on [page 129](#).



EQUITY POLICIES

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. Harassment, whether verbal, physical, or visual, that is based on any of these characteristics is a form of discrimination. Further prohibited by law is discrimination against any employee and/or job applicant who chooses to inquire about, discuss, or disclose their own compensation or the compensation of another employee or applicant.

Northwestern University complies with federal and state laws that prohibit discrimination based on the protected categories listed above, including Title IX of the Education Amendments of 1972. Title IX requires educational institutions, such as Northwestern, to prohibit discrimination based on sex (including sexual harassment) in the University's educational programs and activities, including in matters of employment and admissions. In addition, Northwestern provides reasonable accommodations to qualified applicants, students, and employees with disabilities and to individuals who are pregnant.

Any alleged violations of this policy or questions with respect to non-discrimination or reasonable accommodations should be directed to Northwestern's Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, **847-467-6165**, equity@northwestern.edu.

Questions specific to sex discrimination (including sexual misconduct and sexual harassment) should be directed to Northwestern's Title IX Coordinator in the Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, **847-467-6165**, TitleIXCoordinator@northwestern.edu.

A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling **800-421-3481**. Inquiries about the application of Title IX to Northwestern may be referred to Northwestern's Title IX Coordinator, the United States Department of Education's Assistant Secretary for Civil Rights, or both.

THE POLICY ON INSTITUTIONAL EQUITY

Policy.....	132
<i>Policy Statement</i>	<i>132</i>
<i>Jurisdiction.....</i>	<i>132</i>
<i>Purpose</i>	<i>133</i>
<i>Accessibility</i>	<i>134</i>
<i>Definitions</i>	<i>134</i>
<i>Discrimination and Harassment.....</i>	<i>134</i>
<i>Sexual Misconduct.....</i>	<i>136</i>
<i>Implementation</i>	<i>141</i>
<i>Reporting.....</i>	<i>141</i>
<i>Supportive Measures</i>	<i>145</i>
<i>Interim Removal.....</i>	<i>146</i>
<i>Retaliation</i>	<i>146</i>
<i>Amnesty for Sexual Misconduct Complainants</i> <i>and Witnesses.....</i>	<i>147</i>
<i>Free Expression and Academic Freedom.....</i>	<i>147</i>
<i>Title IX and VAWA Statement.....</i>	<i>147</i>
<i>Consequences of Violating this Policy</i>	<i>148</i>
<i>Violations of Interim Measures Directives</i>	<i>149</i>
<i>Violations of the Policy on Non-Retaliation</i>	<i>150</i>
<i>Related Information.....</i>	<i>150</i>
<i>History.....</i>	<i>150</i>
<i>Policy URL.....</i>	<i>151</i>
Resources.....	151
<i>Confidential Support, Advocacy, and Counseling.....</i>	<i>152</i>
<i>Seeking Confidential Medical Assistance in the United States... </i>	<i>160</i>
<i>Preserving Evidence.....</i>	<i>164</i>
<i>Educational Training, Awareness, and Prevention Programs</i>	<i>165</i>
Sexual Misconduct Complaint Resolution Process	166
<i>Introduction and General Procedures</i>	<i>166</i>
<i>Initial Inquiry</i>	<i>171</i>
<i>Educational Response</i>	<i>171</i>
<i>Restorative Resolution.....</i>	<i>172</i>
<i>Formal Resolution.....</i>	<i>172</i>
<i>Appeals.....</i>	<i>178</i>

POLICY

Northwestern prohibits discrimination and harassment on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making, or any other classification protected by law (referred to as “protected classes”) in matters of admissions, employment, housing, or services, or in the educational programs or activities Northwestern operates. Prohibited discrimination based on sex includes sexual misconduct, including but not limited to, sexual harassment, sexual assault, sexual exploitation, stalking, and dating or domestic violence. Such conduct violates Northwestern’s values and disrupts the living, learning, and working environment for students, faculty, staff, and other community members.

Pursuant to the Department of Education’s 2020 regulations implementing Title IX, the University has adopted an Interim Policy on Title IX Sexual Harassment <https://www.northwestern.edu/equity/documents/interim-policy-on-title-ix.pdf>, which governs certain instances of sexual misconduct. Allegations of sexual misconduct that do not fall within the jurisdiction of the Interim Policy on Title IX Sexual Harassment may fall within the jurisdiction of this Policy. Other forms of misconduct not covered by this policy or the Interim Policy on Title IX Sexual Harassment may be addressed by other Northwestern policies (e.g. Student Handbook, Faculty Handbook, and Staff Handbook).

The University has adopted the following standards of conduct for all members of our community – students, faculty, and staff, as well as University vendors, contractors, visitors, guests, volunteers, interns, and third parties.

JURISDICTION

The Office of Equity oversees the University’s response to reports of discrimination and harassment, including sexual misconduct, as described below.

Northwestern may investigate any reported violations of this policy that occur in the context of a University program or activity or that otherwise affect the University’s working or learning environments, regardless of whether the reported conduct occurred on or off campus. Reports of violations of other University policies will be referred to the appropriate office.

For every report, the Office of Equity will review the circumstances of the reported conduct to determine the following:

- whether the University has jurisdiction over the parties involved;

- which University policy is applicable to the parties and the conduct being reported; and
- the actions within the University's control necessary to eliminate, prevent, and address the reported conduct. (Note: In circumstances where the Office of Equity finds a violation of policy, the Office refers the matter to the appropriate body/office for sanctioning as described in Complaint Resolution Process: [Formal Resolution](#).)

Specific conduct covered by the Title IX Regulations on Sexual Harassment is governed by the University's Interim Policy on Title IX Sexual Harassment and will be addressed according to the processes stated therein. All other forms of sex-based discrimination are governed by this Policy, including sexual harassment, as defined in this Policy that does not rise to the level of Title IX Sexual Harassment as defined in the Interim Policy on Title IX Sexual Harassment.

Conduct that is initially raised through a formal complaint under the Interim Policy on Title IX Sexual Harassment may also be addressed under this Policy, in the University's discretion, when: (i) the conduct at issue, or some part of it, may constitute a violation of this Policy irrespective of whether it constitutes Title IX Sexual Harassment under the Interim Policy on Title IX Sexual Harassment; (ii) the formal complaint, or some part of it, has been dismissed under the Interim Policy on Title IX Sexual Harassment; or (iii) a final determination of a formal complaint has been made under the Interim Policy on Title IX Sexual Harassment and separate or additional action may be necessary to enforce this policy.

If the Respondent is not a member of the University community or is no longer affiliated with the University at the time of the report or at the time the Complaint Resolution Process is initiated (including when the Respondent has graduated or left the University), the University typically is unable to take disciplinary action or conduct an investigation. **Individuals impacted by any form of discrimination, harassment or sexual misconduct, irrespective of whether it falls under this policy, may contact the Office of Equity to receive support, resources, and information.**

Allegations of misconduct alleged to have occurred prior to August 14, 2020 will be assessed under the policy definitions in place at the time of the conduct and resolved in accordance with this policy.

Individuals impacted by discrimination, harassment or sexual misconduct may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Complaint Resolution Process described in Section III below.

PURPOSE

Northwestern is committed to fostering an environment in which all

members of our community are safe, secure, and free from prohibited harassment, discrimination and sexual misconduct in any form. When learning of conduct or behavior that may not meet these standards, community members and the University are expected to take an active role in upholding this policy and promoting the dignity of all individuals.

ACCESSIBILITY

The Office of Equity is committed to making our services accessible to all members of the Northwestern community. The Office is cognizant of the physical accessibility of our space, the cultural competency of our staff, and the method and tone of the services we provide. Accessibility includes but is not limited to: providing reasonable accommodations to persons with disabilities, including mental health concerns, ensuring our online resources are accessible, providing translation services, and providing competent, respectful, and trauma informed service to people of all identities and expressions.

1. Information on the applicable state law definitions in Illinois, Florida, California, New York, and Washington, D.C. can be found at <https://www.northwestern.edu/sexual-misconduct/title-IX/relevant-laws.html>

DEFINITIONS

The following includes definitions of prohibited conduct under this policy. The Interim Policy on Title IX Sexual Harassment, criminal and other applicable state laws may use different definitions of these terms.¹

1. Discrimination and Harassment

Discrimination

Prohibited discrimination is treating someone differently because of their race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making, or any other classification protected by law (referred to as “protected classes”) in matters of admissions, employment, housing, or services, or in the educational programs or activities Northwestern operates.

In determining whether discrimination occurred, the Office of Equity examines the following:

- whether there was an adverse impact on the individual's work or education environment; and
- whether individuals outside of the protected class received more favorable treatment. If the first two conditions are met, the Office of Equity will consider whether there is a legitimate, non-discriminatory reason for the action.

Examples of discrimination can include:

- Refusing to hire or promote someone because of their membership in a protected class;

- Denying someone a raise or employment benefit because of their membership in a protected class;
- Reducing someone's job responsibilities because of their membership in a protected class;
- Denying someone access to an educational program based on their membership in a protected class; or
- Denying someone access to a University facility based on their membership in a protected class.

Harassment

Prohibited harassment is verbal or physical conduct or conduct using technology based on a protected class that has the purpose or effect of:

- Substantially interfering with, limiting or depriving a member of the community from accessing or participating in the academic or employment environment, and/or substantially interfering with an individual's academic performance or work performance; or
- Creating an academic or working environment that a reasonable person would consider to be intimidating, hostile, or offensive.

In determining whether the conduct is sufficiently severe or pervasive so as to meet the above standards, OE examines the context, nature, scope, frequency, duration, and location of incidents, as well as the relationships of the persons involved. A person's subjective belief that behavior is intimidating, hostile, or offensive does not make that behavior prohibited harassment under this Policy. The behavior must create a hostile environment and/or substantially interfere with access to a University program or activity from an objective perspective.

Examples of harassment include

- offensive jokes related to a protected class;
- the use of slurs and stereotypes related to a protected class;
- name calling related to a protected class;
- intimidation, ridicule, or mockery connected to a protected class;
- displaying or circulating offensive objects and pictures that are based on a protected class

Please note, general bullying or uncivil behavior that is not based on a protected class does not fall within the purview of this policy or the Office of Equity. However, such behavior may violate the University's expectations regarding Civility and Mutual Respect, Standards for Business Conduct, Northwestern's Student Handbook, or other University policy and should be reported to Human Resources and/or an individual's supervisor (for employees) or Community Standards (for students).

2. Sexual Misconduct

Consent

Consent represents the cornerstone of respectful and healthy intimate relationships. Northwestern expects its community members to communicate – openly, honestly, and clearly – about their actions, wishes, and intentions when it comes to sexual behavior, and to do so before engaging in intimate conduct. It is always the requirement of the individual initiating sexual contact or initiating a new type of sexual activity within an encounter to ensure that consent is present before acting and that consent is ongoing during sexual activity.

i. Capacity to consent

Consent is not present when an individual does not have the capacity to give consent, voluntarily or involuntarily, due to age (generally, the age of consent is 17 in Illinois), physical condition, or disability that impairs the individual's ability to give consent. Reasons why one could lack capacity to give consent due to a physical condition include, but are not limited to, consumption of drugs or alcohol (voluntarily or involuntarily) or being in a state of unconsciousness, sleep, or other state in which the person is unaware that sexual activity is occurring

“Incapacitated” refers to the state where a person does not understand the nature or fact of sexual activity due to the effect of drugs or alcohol consumption, medical condition or disability, or due to a state of unconsciousness or sleep. **When alcohol is involved, incapacitation is a state beyond drunkenness or intoxication. When drug use is involved, incapacitation is a state beyond being under the influence or impaired by use of the drug.** Alcohol and other drugs impact each individual differently, and determining whether an individual is incapacitated requires an individualized determination.

Some indicators of a lack of capacity to give consent due to consumption of drugs or alcohol may include, but are not limited to:

- Lack of full control over physical movements (for example, difficulty walking or standing without stumbling or assistance);
- Lack of awareness of circumstances or surroundings (for example, lack of awareness of where one is, how one got there, who one is with, or how or why one became engaged in sexual interaction);
- Inability to effectively communicate for any reason (for example, slurring speech, difficulty finding words).

2. For incidents that occur outside of the U.S. (e.g., study abroad programs), Illinois law will apply in determining a violation of this policy.

A person may appear to be giving consent but may not have the capacity to do so. **When determining whether a person has the capacity to provide consent, the University will consider whether a sober, reasonable person in the same position knew or should have known whether the other party could or could not consent to the sexual activity.** It is especially important, therefore, that anyone initiating sexual activity is aware of their own level of intoxication as it may impact their ability to assess another person's capacity to give consent. Being intoxicated or impaired by drugs or alcohol does not excuse one from the responsibility to obtain consent. Being intoxicated or impaired by drugs or alcohol is never an excuse to commit sexual misconduct.

3. Breast-feeding a child is not indecent.

4. Please note that actions need not be sexual in nature to constitute stalking.

ii. Aspects of Valid Consent

For purposes of this policy, consent is present when *clearly understandable words or actions manifest a knowing, active, voluntary, and present and ongoing agreement to engage in specific sexual or intimate contact.*

Consent must be all of the following:

- **Knowing:** All individuals understand, are aware of, and agree as to the “who” (same partners), “what” (same acts), “where” (same location), “when” (same time), and “how” (the same way and under the same conditions) of the sexual activity.
- **Active:** Consent must take the form of “clearly understandable words or actions” that reveal one's expectations and agreement to engage in specific sexual activity. This means that silence, passivity, submission, or the lack of verbal or physical resistance (including the lack of a “no”) should not – in and of themselves – be understood as consent. Consent cannot be inferred by an individual's manner of dress, the giving or acceptance of gifts, the extension or acceptance of an invitation to go to a private room or location, or going on a date.
- **Voluntary:** Consent must be freely given and cannot be the result of Respondent's intimidation (extortion, menacing behavior, bullying), coercion (severe or persistent pressure causing fear of significant consequences from Respondent if one does not engage in sexual activity), force (violence, physical restraint, or the presence of a weapon), threats (indications of intent to harm, whether direct or indirect), or fraud (misrepresentation or material omission about oneself or the present situation in order to gain permission for sexual or intimate activity).

- **Present and Ongoing:** Consent must exist at the time of the sexual activity. Consent to previous sexual activity does not imply consent to later sexual acts; similarly, consent to one type of sexual activity does not imply consent to other sexual acts. Consent to engage in sexual activity with one person does not constitute consent to engage in sexual activity with another person.

Consent may also be withdrawn at any time, provided the person withdrawing consent makes that known in clearly understandable words or actions.

Sexual Assault

i. **Sexual penetration without consent:** Any penetration of the sex organs or anus of another person when consent is not present; any penetration of the mouth of another person with a sex organ when consent is not present; or performing oral sex on another person when consent is not present. This includes penetration or intrusion, however slight, of the sex organs or anus of another person by an object or any part of the body.

ii. **Sexual contact without consent:** Knowingly touching or fondling a person's genitals, breasts, or anus, or knowingly touching a person with one's own genitals or breasts, when consent is not present.

This includes contact done directly or indirectly through clothing, bodily fluids, or with an object. It also includes causing or inducing a person, when consent is not present, to similarly touch or fondle oneself or someone else.

iii. **Statutory rape:** Sexual intercourse with a person who is under the statutory age of consent under the laws of the state² in which the incident occurred. In Illinois, the age of consent is 17 years old. However, if the offender is in a position of authority or trust over the victim, the age of consent is 18.

iv. **Incest:** Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

Sexual Exploitation

Taking sexual advantage of another person or violating the sexual privacy of another when consent is not present. This includes, but is not limited to, the following actions (including when they are done via electronic means, methods or devices):

- Sexual voyeurism or permitting others to witness or observe the sexual or intimate activity of another person without that person's consent;

² For incidents that occur outside of the U.S. (e.g., study abroad programs), Illinois law will apply in determining a violation of this policy.

- Indecent or lewd exposure or inducing others to expose themselves when consent is not present³;
- Recording any person engaged in sexual or intimate activity in a private space without that person's consent;
- Distributing sexual information, images, or recordings about another person without that person's consent;
- Recruiting, harboring, transporting, providing, or obtaining another person for the purpose of sexual exploitation;
- Inducing incapacitation in another person for the purpose of engaging in sexual conduct with someone who lacks capacity to consent, regardless of whether prohibited sexual conduct actually occurs.

3. Breast-feeding a child is not indecent.

Dating/Domestic Violence

Dating violence is any violence (including but not limited to emotional, physical, sexual, and financial abuse or threat of abuse) between two people who are or have been in a social relationship of a romantic or intimate nature. The existence of such a relationship will depend on the length and type of the relationship and the frequency of interactions between the persons involved.

Domestic violence is violence between two people who are or have been in an intimate or romantic relationship, who share a child in common, or who live or have lived together as spouses or intimate partners. Violence against any person by that person's caretaker or guardian (such as abuse against an elderly, young, or disabled person) may also be considered domestic violence. Examples of domestic violence include but are not limited to physical, emotional, sexual, technological, and economic abuse or threat of abuse.

Stalking

Knowingly engaging in a course of conduct directed at a specific person that one knows or should know would cause a reasonable person to fear for their safety (or the safety of a third party) or suffer substantial emotional distress. "Substantial emotional distress" means significant mental suffering, anxiety or alarm.

4. Please note that actions need not be sexual in nature to constitute stalking.

Conduct that can amount to stalking may include two or more actions directed at another person⁴, whether done directly, indirectly, through others, via devices, or via any other methods or means (specifically including electronic means e.g. cyberstalking), including but not limited to:

- Following a person;
- Being or remaining in close proximity to a person;

5. Sexual harassment is illegal in Chicago. Chicago law defines sexual harassment as: "any (i) unwelcome sexual advances or unwelcome conduct of a sexual nature; or (ii) requests for sexual favors or conduct of a sexual nature when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, or (2) submission to or rejection of such conduct by an individual is used as the basis for any employment decision affecting the individual, or (3) such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment; or (iii) sexual misconduct, which means any behavior of a sexual nature which also involves coercion, abuse of authority, or misuse of an individual's employment position.

- c. Entering or remaining on or near a person's property, residence, or place of employment; Monitoring, observing, or conducting surveillance of a person;
- d. Threatening (directly or indirectly) a person;
- e. Communicating to a person;
- f. Giving gifts or objects to, or leaving items for, a person;
- g. Interfering with or damaging a person's property (including pets); or i. Engaging in other unwelcome contact.

Sexual Harassment⁵

Sexual harassment is any unwelcome conduct of a sexual nature where:

- i. Submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any University program and/or activity, or is used as the basis for University decisions affecting the individual (often referred to as "quid pro quo" harassment); or
- ii. The conduct has the purpose or effect of:
 - Substantially interfering with, limiting or depriving a member of the community from accessing or participating in the academic or employment environment, and/or substantially interfering with an individual's academic performance or work performance; or
 - Creating an academic or working environment that a reasonable person would consider to be intimidating, hostile, or offensive.

Examples of conduct that may constitute sexual harassment include:

- Pressure for a dating, romantic, or intimate relationship;
- Unwelcome sexual advances;
- Unwelcome touching, kissing, hugging, or massaging;
- Pressure for or forced sexual activity;
- Unnecessary references to parts of the body;
- Sexual innuendoes, gestures, or humor; or
- Sexual graffiti, pictures, or posters.

IMPLEMENTATION

1. Reporting

Reporting Options

The University encourages reporting of discrimination, harassment and sexual misconduct. Members of the University community who believe they have experienced, witnessed or otherwise become aware of discrimination, harassment and sexual misconduct have the right to choose whether or not to report the incident to the University or law enforcement, and have the right to choose whether to engage with the University once the University receives a report.

(i) Reporting Incidents to the University

Any individual may report alleged or suspected discrimination, harassment or sexual misconduct to the Office of Equity. Reports to the Office of Equity may be made in person, by email, by regular mail, by phone, or electronically as explained below.

Individuals impacted by discrimination, harassment or sexual misconduct may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Complaint Resolution Process described in Section III below. Please see section III(A) (“Participation in Process”) for more information. To speak to someone confidentially without making a report to the University, please see the Confidential Resources listed in Section II(A) below.

While anonymous reports will be reviewed by the Office of Equity, the University’s ability to address misconduct reported by anonymous sources may be significantly limited.

There is no time limit for reporting an incident of discrimination, harassment or sexual misconduct. However, the University encourages reports be made as soon as possible after the incident. The passing of time makes reviewing the evidence more difficult and the memories of involved parties may become less reliable. The Office of Equity reserves the right to investigate or otherwise address any report, regardless of when it is made, based on concern for the safety or well-being of the University community.

The staff identified below are specially trained to work with individuals who report or are accused of discrimination, harassment and sexual misconduct and have knowledge about on- and off-campus resources, services, and options—including the availability of interim measures, as discussed below in Section I(F)(4).

Interim Title IX Coordinator

Contact: **Jessica Galanos**

Location: Office of Equity, 1800 Sherman Ave,
Suite 4-500, Evanston

Phone: (847) 467-6165

Email: jessica.galanos@northwestern.edu

To File a Report Electronically

Individuals may use the form at the following link to electronically file a report of sexual misconduct with the Office of Equity:

bit.ly/NUReportSexualMisconduct

Individuals may use the form at the following link to electronically file a report of discrimination or harassment with the Office of Equity:

bit.ly/NUReportDiscrimination

An immediate auto-response email with information about resources and options will be sent in response to reports filed electronically.

Other University Reporting Options

EthicsPoint

Third-party service for reporting complaints, including anonymous complaints, by phone or online

Phone: (866) 294-3545

Website: www.northwestern.edu/ethics/

Upon receipt of a report, an Office of Equity staff member will contact the person who may have experienced discrimination, harassment or sexual misconduct. The outreach from the Office of Equity staff member will generally include information about the reporter's rights and options, as well as resources available to them. For incidents involving sexual misconduct the outreach will also include information regarding medical and confidential counseling and support resources; options for pursuing a complaint and/or reporting the incident to law enforcement; how to request a protective order or no-contact directive; how to request interim measures from the University; how to preserve evidence; and where to access more information.

The outreach will also include an invitation to meet with or provide additional information to an Office of Equity staff member.

II. Reporting Incidents to Law Enforcement

An individual who has experienced sexual misconduct or discriminatory conduct constituting a crime has the right to choose whether to file a police report. Northwestern University encourages individuals to report such incidents to University Police or local law enforcement. Filing a police report can result in the investigation of whether sexual violence or other related crimes occurred and the prosecution of the perpetrator. Timely reporting to the police is an important factor in successful investigation and prosecution of crimes, including sexual violence.

The Office of Equity provides information on contacting local and campus law enforcement and will assist an individual in doing so. However, the Office of Equity will not compel an individual to go to law enforcement.

The Northwestern University Police has a written statement for sexual violence survivors (www.northwestern.edu/up/your-safety/sexual-violence/university-police-guarantee.html) that reflects its commitment to sensitivity and privacy. University Police can also assist in reviewing options with survivors and identifying and facilitating resources related to:

- Seeking medical attention;
- Seeking support, advocacy, and counseling services;
- Seeking protective orders from a court;
- Pursuing options under the University's sexual misconduct investigation process.

Employees of the University Police are University employees and therefore are obligated to promptly report incidents of sexual misconduct of which they become aware during the scope of their work as explained below. Employees of the University Police will make reports to the Office of Equity regardless of whether the individual who experienced the sexual misconduct chooses to pursue criminal charges.

Northwestern University Police Department

Evanston Campus: 1201 Davis Street, Evanston

Phone: 847) 491-3456 (24 hours)

Chicago Campus: 211 East Superior Street, Chicago

Phone: (312) 503-3456 (24 hours)

Website: www.northwestern.edu/up/

Evanston Police Department

Evanston Campus: 1454 Elmwood Avenue, Evanston

Phone: 911 or (847) 866-5000 (24 hours)

Website: www.cityofevanston.org/police/

Chicago Police Department – 18th District (covers Chicago campus)

Chicago Campus: 1160 North Larrabee Ave., Chicago

Phone: 911 or (312) 744-4000 (24 hours)

Website: www.chicagopolice.org/community/districts/18th-district-near-north/

Reporting Obligations

I. Discrimination and Harassment

All University employees (including student employees) and graduate students with teaching or supervisory authority, are obligated to promptly report incidents of discrimination and harassment of which they become aware in the scope of their work for the University to the Office of Equity unless they are a resource listed in Section II(A).

Note: This does not require a person experiencing harm to report the incident. Failure to fulfill this reporting obligation will be referred to the appropriate office for corrective action. The University encourages all individuals – including students not referenced above – to report discrimination and harassment.

II. Sexual misconduct

All University employees (including student employees) and graduate students with teaching or supervisory authority, are obligated to promptly report sexual misconduct of which they become aware in the scope of their work for the University to the Office of Equity unless they are a resource listed in Section II(A). **Note: This does not require a person experiencing harm to report the incident.** Failure to fulfill this reporting obligation will be referred to the appropriate office for

corrective action. The University encourages all individuals – including students not referenced above – to report sexual misconduct.

III. Incidents involving minors

As stated in the University's [*Policy on Minors at Northwestern*](#) all University employees, students, volunteers, and third-party contractors are obligated to report to the Illinois Department of Children & Family Services or applicable state agency (as well as University Police, in emergency situations) any suspected abuse and/or neglect of a child. This includes any and all incidents of sexual misconduct involving minors, which should be reported to the Office of Equity as well. Reporters should also contact their supervisor (if the reporter is an employee) or the Dean of Students (if the reporter is a student), as well as notifying the Office of Risk Management and the Office of Compliance, Audit, and Advisory Services in writing that a report has been made.

2. Supportive Measures

Supportive Measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the initiation of an investigation, or where no investigation has been initiated. Such measures are designed to restore or preserve equal access to the University's education programs or activities without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the University's educational environment, or deter discrimination, harassment and/or sexual misconduct. Supportive Measures may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, other changes to academic, living, dining, transportation, and working situations, honoring an order of protection or no contact order entered by a State civil or criminal court, and other similar measures. In providing Supportive Measures, the Office of Equity will make every effort to avoid depriving any student of their education or access to the University's program or activities. The Supportive Measures needed by each party may change over time, and the Office of Equity will communicate with parties to ensure that any Supportive Measures in place are necessary and effective based on the parties' evolving needs.

The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University's ability to provide the Supportive Measures in question. As noted above, an individual may request to receive support – including the Supportive Measures mentioned in this section – even if they do not choose to participate in the University's Complaint Resolution Process.

5. For additional information, see Northwestern's [Resource Guide on Sexual Misconduct and Title IX](http://www.northwestern.edu/sexual-misconduct/docs/Title-IXResourceGuide.pdf) (<http://www.northwestern.edu/sexual-misconduct/docs/Title-IXResourceGuide.pdf>). Print copies are available by contacting the Office of Equity, at (847) 467-6165.

3. Interim Removal

At any time after receiving a report of an alleged violation of this policy, the University may remove a student Respondent from the University's Education Programs and Activities on an emergency basis if an individualized safety and risk analysis determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations justifies removal. In the event the University imposes an interim removal, it will provide the Respondent with notice and an opportunity to challenge the removal decision immediately following the removal. Any emergency removal of a student will involve consultation with the Behavioral Consultation Team and the Division of Student Affairs.

In the case of a Respondent who is a non-student employee, and in the University's discretion, the University may place the Respondent on administrative leave at any time after receiving a report, including during the pendency of the investigation and hearing process. The decision to place a non-student employee on administrative leave will be made by the employee's unit director and the Office of the Provost (for faculty Respondents) or Human Resources (for staff Respondents) upon recommendation of the Office of Equity.

For all other Respondents, including third-party affiliates and guests, the University retains broad discretion to prohibit such persons from entering onto its campus and other properties at any time, and for any reason, whether after receiving a report or otherwise. Such individuals are generally not entitled to any process set forth in this policy, particularly upon removal from campus.

4. Retaliation⁶

Northwestern strictly prohibits retaliation against any member of its community for reporting an incident of discrimination, harassment or sexual misconduct or for participating, in any manner, in an investigation or hearing related to a report of discrimination, harassment or sexual misconduct. The University considers such actions to be protected activities in which all members of the Northwestern community may freely engage.

Members of the community are prohibited from engaging in actions, directly or through others, which are aimed to deter a reasonable party or a witness from reporting discrimination, harassment or sexual misconduct or participating in an investigation or hearing or done in retribution for such activities. A detailed definition of retaliation and examples of retaliatory conduct are provided in the [University's Policy on Non-Retaliation](#).

The Northwestern community is strongly encouraged to report any

6. Retaliation for reporting sexual harassment is illegal in Chicago.

potential incident of retaliation under this policy to the Office of Equity, who shall assess the matter and take appropriate actions to address such conduct.

5. Amnesty for Sexual Misconduct Complainants and Witnesses

Northwestern encourages reporting of sexual misconduct and seeks to remove any barriers to making a report. The University recognizes that an individual who has been consuming alcohol (including underage consumption) or using drugs at the time of the incident may be hesitant to make a report because of potential consequences for that conduct. To encourage reporting, an individual who makes a good faith report of sexual misconduct that was directed at them or another person or participates in an investigation as a witness will not be subject to disciplinary action by the University for a conduct or policy violation that is related to and revealed in the sexual misconduct report or investigation, unless the University determines that the violation was serious and/or placed the health or safety of others at risk. This Amnesty provision does not preclude or prevent action by police or other legal authorities. This Amnesty provision may also apply to student groups making a report of sexual misconduct.

6. Free Expression and Academic Freedom

Northwestern is firmly committed to free expression and academic freedom. The University is equally committed to creating and maintaining a safe, healthy, and harassment-free environment for all members of its community, and firmly believes that these two legitimate interests can coexist.

Discrimination, harassment, sexual misconduct, and retaliation against members of the Northwestern community are not protected expression or the proper exercise of academic freedom. The University will consider academic freedom in the investigation of reports of discrimination, harassment, sexual misconduct or retaliation that involve an individual's statements or speech.

7. Title IX and VAWA Statement

It is the policy of Northwestern to comply with Title IX of the Education Amendments of 1972 (and all other applicable laws regarding unlawful discrimination and harassment including, but not limited to, Title VII of the Civil Rights Act of 1964 and the Illinois Human Rights Act), which prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. The University's Interim Policy on Title IX Sexual Harassment may be found here: www.northwestern.edu/equity/documents/inter-

7. CARE is designated as the University's confidential advisor under the Illinois Preventing Sexual Violence in Higher Education Act.

[im-policy-on-title-ix.pdf](#). It is also Northwestern's policy to comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crimes Statistics Act, as amended by the Violence Against Women Act. Title IX prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. VAWA imposes additional duties on universities and colleges to investigate and respond to reports of sexual assault, stalking, and dating or domestic violence, and to publish policies and procedures related to the way these reports are handled. Northwestern has designated the Title IX Coordinator, with assistance of the Deputy Title IX Coordinators, to coordinate Northwestern's compliance with Title IX and VAWA and to respond to reports of violations. The University has directed its Clery Program Manager to coordinate Northwestern's compliance with the Clery reporting related VAWA requirements. A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling **1-800- 421-3481**. Employees may also file a charge with the Equal Employment Opportunity Commission regarding an alleged violation of Title VII by calling 1-800-669-4000 or visiting www.eeoc.gov/employees/howtofile.cfm. Employees may also file a charge with the Illinois Department of Human Rights (IDHR) regarding an alleged violation of the Illinois Human Rights Act by calling **1-800-662-3942** or **1-866-740-3953 (TTY)**. In addition, after the IDHR has completed its investigation of the complaint, an appeal process is available through the Illinois Human Rights Commission, which can be contacted by calling **312-814-6269** or **312-814-4760 (TTY)**.

CONSEQUENCES OF VIOLATING THIS POLICY

When a determination has been made that an individual has violated this policy, sanctions are determined based on several factors, including the severity of the conduct and any prior policy violations. Sanctions and corrective actions can include, but are not limited to:

- Verbal warning
- Written warning
- Advisory letter
- Conduct review
- Disciplinary hold on academic and/or financial records
- Performance improvement/management process
- Required counseling or coaching
- Required training or education
- Campus access restrictions
- Referral to the Fitness for Duty process

- No trespass order issued by NUPD (with respect to campus locations)
- No-contact directive (with respect to an individual)
- Loss of privileges
- Loss of oversight, teaching or supervisory responsibility
- Probation
- Demotion
- Loss of pay increase
- Transfer (employment)
- Revocation of offer (employment or admissions)
- Disciplinary suspension
- Suspension with pay
- Suspension without pay
- Expulsion
- Termination of employment
- Revocation of tenure
- Termination of contract (for contractors)

The University may assign other sanctions as appropriate to the particular situation. Sanctions and corrective actions will be imposed in accordance with relevant policies and/or procedures and other requirements set forth in the applicable Staff Handbook, Faculty Handbook, Student Handbook, other policies or handbooks that may be developed over time, or contracts. In addition to imposing sanctions, the University may take steps to remediate the effects of a violation on the impacted parties and others.

Following an investigation, the University may offer additional measures, and/or take other action to eliminate any hostile environment caused by the discrimination, harassment or sexual misconduct, prevent the recurrence of any such conduct, and remedy the effects of any such conduct on the Complainant and the University community. Such measures may include, but are not limited to, the actions referenced above in Section I(F)(2), as well as training or other measures.

1. Violations of Directives Related to Supportive Measures and Interim Restrictions

Violations of directives related to supportive measures or interim restrictions may lead to an investigation and disciplinary action, which may include, but is not limited to, any of the sanctions and corrective actions listed in the previous section, including expulsion or dismissal from the University; or termination of employment, including revocation of tenure.

2. Violations of the Policy on Non-Retaliation

Individuals who are found to have engaged in retaliation are subject to disciplinary action that may include, but is not limited to, any of the sanctions and corrective actions listed above, up to and including expulsion or dismissal from the University; or termination of employment, including revocation of tenure. Sanctions for retaliation may be applied regardless of whether there is a finding on the underlying discrimination, harassment, or sexual misconduct complaint.

RELATED INFORMATION

1. University policies and procedures

- [Interim Policy on Title IX Sexual Harassment](#)
- [Faculty Handbook](#)
- [Non-Retaliation](#)
- [Policy on Minors at Northwestern](#)
- [Policy on Consensual Romantic or Sexual Relationships between Faculty, Staff and Students](#)
- [Staff Handbook](#)
- [Student Handbook](#)

2. Other information

- [Department of Education Office for Civil Rights complaint forms](#)
- [EthicsPoint](#)
- [Resource Guide on Non-Title IX Sexual Misconduct Matters](#)
- [Resource Guide for Respondents in Non-Title IX Sexual Misconduct Matters](#)
- [Resource Guide on Discrimination and Harassment](#)
- [Sexual Misconduct Response & Prevention resource page](#)
- [University Police Annual Security & Fire Safety Report](#)
- [University Police Guarantee for Sexual Assault Victims](#)

HISTORY

This policy was enacted on August 14, 2020 and updated on September 1, 2021 and September 1, 2022. Midyear updates addressing changes to the City of Chicago's sexual harassment laws were made in July, 2022.

POLICY URL

Policy URL

www.northwestern.edu/equity/documents/policy-on-institutional-equity.pdf

RESOURCES⁸

Confidential Support, Advocacy, and Counseling Resources

The following Confidential Resources are available for individuals to discuss incidents and issues related to discrimination, harassment, and/or sexual misconduct on a confidential basis. Confidential Resources are not obligated to disclose reports of sexual misconduct to the Office of Equity (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

Confidential Resources can provide information about University and off-campus resources, support services and other options. As noted above, because of the confidential nature of these resources, disclosing information to or seeking advice from a Confidential Resource does not constitute a report or complaint to the University and will not result in a response or intervention by the University. A person consulting with a Confidential Resource may later decide to make a report to the University and/or law enforcement.

The Medical Resources in Section II(B) are also confidential resources and are not obligated to disclose reports of sexual misconduct to the Office of Equity (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

8. For additional information, see Northwestern's Resource Guide on Non-Title IX Sexual Misconduct (<http://www.northwestern.edu/sexual-misconduct/docs/NonTitleIXResourceGuide.pdf>). Print copies are available by contacting the Office of Equity, at (847) 467-6165.

On-Campus **Confidential** Resources

CARE: Center for Awareness, Response & Education^{6*}

CARE is a confidential space for students impacted by sexual violence, relationship violence, or stalking, including friends or partners of survivors. CARE can be an advisor through the University complaint resolution process. Advocates can provide a space to process, ask questions, safety plan, and learn more about the impact of trauma. CARE also hosts a trauma support group and can connect with legal and medical advocacy, free counseling, and support groups on and off campus.

Phone: (847) 491-2054

Evanston Campus: 633 Emerson Street, 3rd Floor

Email: care@northwestern.edu

Website: www.northwestern.edu/care

6. Note: Some staff and faculty may be confidential resources in some aspect of their work for the University (e.g. physicians), but are subject to the University's reporting obligation for information learned in connection with their work for the University outside of a confidential relationship. For example, physicians are confidential resources with respect to information shared with them by patients, but are obligated to report sexual misconduct of which they become aware through work not related to patient care, such as work in labs, classrooms, or student advising.

CAPS: Counseling and Psychological Services*

Provides counseling services to students, also provides a counselor on call 24 hours a day.

Evanston Campus: 633 Emerson Street, 2nd Floor

Phone: (847) 491-2151 (24-hours)

Chicago Campus: Abbott Hall, 5th Floor
710 N. Lake Shore Drive

Phone: (847) 491-2151 (24-hours)

Website: www.northwestern.edu/counseling/

Religious & Spiritual Life

Provides spiritual guidance for students and other members of the University community.

Evanston Campus: 1870 Sheridan Road

Phone: (847) 491-7256

Website: spiritual.life@northwestern.edu
www.northwestern.edu/religious-life/

Faculty Wellness Program*

Provides free consultations for faculty members to identify appropriate resources for personal and professional concerns. Resources may be offered over the phone, or faculty members can meet with the Faculty Wellness Program director for further discussion.

Contact: Director
Gaurava Agarwal, MD

Email: gagarwal@nm.org

Website: www.northwestern.edu/provost/faculty-resources/work-life/well-being-resources/faculty-wellness.html

Employee Assistance Program

Provides confidential crisis intervention and short-term counseling for faculty and staff, as well as their household family members at no cost.

Phone: (855) 547-1851 (24 hours)

Website: <https://www.northwestern.edu/hr/benefits/well-being/programs/employee-assistance-program/index.html>

Office of the Ombudsperson

Provides confidential and informal assistance for resolving university-related concerns, is independent of the university's formal administrative structure, and considers all sides of an issue in a neutral manner.

Contact: ombuds@northwestern.edu

Website: www.northwestern.edu/ombuds/

Off-Campus **Confidential** Resources

Hotlines

All hotlines provide 24 hour (7 days/week) crisis counseling and information regarding sexual assault, dating violence, and stalking. Survivors and friends of survivors can call.

Note: the hotlines can also provide information on local hospitals, such as what hospitals will have a victim advocate or SANE (Sexual Assault Nurse Examiner) available.

Chicago Metro Rape Crisis Hotline (YWCA): (888) 293-2080

Chicago Domestic Violence Line: (877) 863-6338

Evanston Domestic Violence Line (YWCA): (877) 718-1868

RAINN: Rape, Abuse &
Incest National Network (800) 656-HOPE
hotline.rainn.org/
(online hotline)

Center on Halsted (LGBTQ Services)

Services include: counseling services; connecting individuals with professional help, law enforcement, agencies, services, and other providers.

Main Office: 3656 N. Halsted St, Chicago
(7 days a week, 8 a.m. to 9 p.m.)

LGBTQ Violence (773)-472-6469
Resource Line: (Monday to Friday, 9 a.m. to 5 p.m.)

Website: www.centeronhalsted.org/

in*power (LGBTQ Survivor Support Services)

Services include: STI testing and treatment, short-term case management, linkage to community resources, holistic health referrals, support groups for young people and adults, legal advocacy

Main Office: 4025 N. Sheridan Rd, Chicago

Phone: (773) 388-1600 ext 3280

Email: in.power@howardbrown.org

Website: <http://www.howardbrown.org/inpower/>

Resilience (Formerly known as Rape Victim Advocates)

Services include: medical and legal advocacy, counseling services (individual and group). Services are free for survivors or friends/partners of survivors.

Main Office: 180 N. Michigan Ave, Suite 600, Chicago

Phone: (312) 443-9603

Website: www.ourresilience.org

YWCA- Evanston

Services include: counseling and support for survivors of dating/ domestic violence, legal advocacy, and residential services (emergency shelter)

Location: 1215 Church St, Evanston

Phone: (847) 864-8445

Website: www.ywca-ens.org

Life Span Center for Legal Services and Advocacy

Services include (for survivors of DV and SV and stalking): legal services, legal advocacy (i.e. assistance with Orders of Protection, etc.), and counseling

Location: 70 E. Lake Street, Suite 600, Chicago,

Phone: (312) 408-1210

Email: life-span@life-span.org

Website: www.life-span.org

Center for Contextual Change

Referrals for survivors of sexual and domestic/dating violence: individual and group counseling.

Referrals for perpetrators of sexual and domestic/dating violence: individual and group counseling

Location: 9239 Gross Point Road, #300, Skokie

Phone: (847) 676-4447 x304 (for appointments or a confidential assessment)

Website: www.centerforcontextualchange.org

Apna Ghar

Services include: 24/7 crisis line, legal advocacy, counseling, emergency shelter

Location: 4350 North Broadway, 2nd Floor
Chicago, IL 60613

Phone: (773) 334-4663

Website: www.apnaghar.org

Mujeres Latinas en accion

Services include: counseling, legal advocacy, medical advocacy

Location: 2124 West 21st Place
Chicago, IL 60608

Phone: (773) 890-7676

Website: www.mujereslatinasenaccion.org

Greenlight Family Services (Formerly Porchlight Counseling Services)

Services include: free counseling for survivors of sexual and/or domestic/dating violence

Phone: (773) 750-7077
(confidential helpline and intake)

Website: greenlightfamilyservices.org/services/counseling

KAN-WIN

Services include: (multi-lingual) free counseling, legal advocacy (assistance with protective orders/court accompaniment), and immigration protection for Asian-American or Asian immigrant survivors of sexual and/or domestic violence.

Location: Offices in Chicago and Park Ridge

(773) 583-1392 (Chicago)
Phone: (847) 299-1392 (Park Ridge)
24-hour Hotline: (773) 583-0880

Website: www.kanwin.org

DC Rape Crisis Center

Services include: Individual & group counseling (English and Spanish); a 24-hour crisis hotline; community education & outreach

Location: PO Box 42734
Washington, DC 20015

Business: 202-232-0789
Phone: TTY: 202-328-1371
Hotline: 202-333-7273

Website: dcrcc.org/

Network for Victim Recovery of DC

Services include: free case management and legal services to victims of crime

Location: 6955 Willow St. NW #501
Washington, DC 20012

Phone: (202) 742-1727

Email: info@nvrdc.org

Website: nvrdc.org

M.U.J.E.R. (Miami)

Services include: 24-hour hotline, information and referral, crisis intervention, advocacy and accompaniment, crisis counseling, medical referrals, and case management.

Location: 27112 South Dixie Highway
Naranja, FL 33032

Helpline/Hotline: (305) 763-2459
(305) 247-1388

Website: www.mujerfla.org

Survivors' Pathway (Miami)

Services include: counseling and social services

Location: 1801 Coral Way, Suite 200
Miami, Florida 33145

Phone: (786) 275-4364

Website: survivorspathway.org

San Francisco Women Against Rape

Services include: 24-hour crisis hotline, counseling and support groups, legal advocacy, medical accompaniment and advocacy, and case management

Location: 3543 18th Street #7
San Francisco, CA 94110

Phone: (415) 861-2024
(415) 647-7273 (24-hour hotline)

Website: sfwar.org

Trauma Recovery Center (San Francisco)

Services include: medical services for acute sexual assault and support services to survivors of interpersonal violence.

Location: 2727 Mariposa Street, Suite 100
San Francisco, CA 94110

Phone: (415) 437-3000

Website: traumarecoverycenter.org/

Seeking Confidential Medical Assistance in the United States

Experiencing any form of violence or sexual misconduct is difficult and overwhelming. Survivors often experience a range of emotions, including fear, anxiety, and confusion, and may be unsure of what they want to, or should, do next. Regardless of whether the individual chooses to report the incident, the University strongly encourages survivors of any form of violence to seek medical attention as soon as possible, even if they feel no injury was sustained. Medical assistance providers can treat visible physical injuries and identify injuries that may not be visible, and, where appropriate, also address concerns regarding sexually transmitted infections and pregnancy, and provide emergency contraception (if requested). In addition, a hospital can test for the presence of alcohol or drugs (e.g., “date rape” drugs) and perform a rape evidence collection procedure (see Section II(D)(2)), which are also strongly recommended to preserve all legal remedies.

As noted above, the Medical Resources in Sections II(B) are also confidential resources and are not obligated to disclose reports of sexual misconduct to the Office of Equity (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

1. Medical Services Available On or Near the Evanston and Chicago Campuses

Northwestern University Health Services⁷

Evidence collection kit cannot be provided; CARE staff can be contacted to provide support services, if desired. (See Section II(A) for more information on CARE).

Evanston Campus: 633 Emerson Street, Evanston

Phone: (847) 491-8100
(RN call service available 24 hours)

Website: www.northwestern.edu/healthservice-evanston/ (for regular hours of operation and 24-hour emergency contact info)

Chicago Campus: 675 North St. Clair Suite 18-200, Chicago

Phone: (312) 695-8134

Website: www.northwestern.edu/healthservice-chicago/index.html (for regular hours of operation and 24-hour emergency contact info)

NorthShore University Health System/ Evanston Hospital, Emergency Dept. (24 hours)

Evidence collection kit available at no charge; Evanston Police Victim Services advocate can be present to provide support services, if desired.

Location: 2650 Ridge Avenue, Evanston

Phone: (847) 570-2111 (emergency room)

Website: www.northshore.org/locations/our-hospitals/evanston-hospital/ (for more information or to request an appointment online)

9. All staff in University Health Services (including team athletic trainers, and team physicians), and staff in the Office of Health Promotion and Wellness, are considered confidential resources.

10. All staff in University Health Services (including team athletic trainers, and team physicians), as well as staff in the Office of Health Promotion and Wellness, are considered confidential resources.

Northwestern Memorial Hospital, Emergency Department (24 hours)

Evidence collection kit available at no charge; Advocate from Resilience will be present to provide support services, if desired.

Location: 251 E Huron Street, Chicago

Phone: (312) 926-2000

Website: www.nm.org/locations/northwestern-memorial-hospital
(for more information)

Amita Health St. Francis Hospital, Emergency Services (24 hours)

Evidence collection kit available at no charge; Evanston Police victim services advocate can be present to provide support services, if desired.

Location: 355 Ridge Avenue, Evanston

Phone: (847) 316-4000

Website: www.amitahealth.org/location/ami-ta-health-saint-francis-hospital-evanston-emergency-room

Under Illinois law, medical personnel are required to alert police when it reasonably appears that the person requesting treatment has sustained an injury as a victim of a criminal offense, including sexual assault or violence, but individuals have the right to refuse to speak to police.

2. Medical Services Available Near the Miami, Florida Campus

Jackson Memorial Hospital Roxcy Bolton Rape Treatment Center (5.8 miles from campus)

Evidence collection kit available at no charge.

Location: 1611 NW 12th Avenue Institute
Annex 1st Floor, Miami

Phone: (305) 585-7273

Website: jacksonhealth.org/locations/roxcy-bolton-rape-treatment-center/

3. Medical Services Available Near the Washington, D.C. Campus

MedStar Washington Hospital Center (2.9 miles from campus)

Evidence collection kit available at no charge via DC Forensic Nurse Examiners.

Location: 110 Irving Street NW, Washington, D.C.

Phone: (202) 877-7000

Website: www.medstarwashington.org/

4. Medical Services Available Near the San Francisco Campus

Zuckerberg San Francisco General Hospital (7 miles from campus)

Evidence collection kit available at no charge; additional/follow-up services available via their Rape Treatment Center.

Location: 1001 Potrero Avenue, San Francisco

Phone: (628) 206-8000

Website: zuckerberg-sanfranciscogeneral.org/

For information regarding seeking medical assistance at the Doha, Qatar (NU-Q) campus, please see Appendix A. Appendix A contains a complete summary of information regarding reporting sexual misconduct and receiving support (including confidential support) at the NU-Q campus.

Preserving Physical Evidence

Many sexual misconduct offenses also are crimes in the state or locality in which the incident occurred. For that reason, survivors of sexual misconduct often have legal options that they can pursue. For example, a survivor may seek a protective order from a court against the perpetrator(s); pursue a civil action against the perpetrator(s); and/or participate in a law enforcement investigation and criminal prosecution of the perpetrator(s). Regardless of whether an incident of sexual misconduct is reported to the police or the University, Northwestern strongly encourages individuals who have experienced sexual misconduct to preserve evidence to the greatest extent possible, as this will best preserve all legal options for them in the future.

Additionally, such evidence may be helpful in pursuing a complaint with the University. While the University does not conduct forensic tests for parties involved in a complaint of sexual misconduct, results of such tests that have been conducted by law enforcement agencies and medical assistance providers may be submitted as evidence that may be considered in a University investigation or proceeding, provided they are available at the time of the investigation or proceeding.

Below are suggestions for preserving evidence related to an incident of sexual misconduct. It is important to keep in mind that each suggestion may not apply in every incident:

1. General physical evidence preservation suggestions:

- In order to best preserve their legal options in the future, individuals should consider not altering, disposing of, or destroying any physical evidence of sexual misconduct.
- If there is suspicion that a drink may have been drugged, an individual should inform a medical assistance provider and/or law enforcement as soon as possible so they can attempt to collect possible evidence (e.g., from the drink, through urine or blood sample).
- Individuals can preserve evidence of electronic communications by saving them and/or by taking screen shots of text messages, instant messages, social networking pages, or other electronic communications, and by keeping pictures, logs, or copies of documents that relate to the incident and/or perpetrator.

11. Title IX sex and pregnancy based discrimination matters are addressed under this policy, while Title IX Sexual Harassment matters are handled under the University's Interim Policy on Title IX Sexual Harassment.

- Even if survivors choose not to make a complaint with the University regarding sexual misconduct, they may consider speaking with University Police or other law enforcement to preserve evidence. Please note that, as University employees, University Police would have to report the concern to the Office of Equity.

2. Physical evidence preservation suggestions specific to sexual assault:

- Because some evidence, particularly evidence that may be located on the body, dissipates quickly (within 48-96 hours), individuals who have been sexually assaulted and wish to preserve evidence should go to a hospital or medical facility immediately to seek a medical examination and/or evidence collection. Under Illinois law, any cost for an emergency medical or forensic examination for a victim of sexual violence that is not covered by private insurance or Illinois Public Aid will be covered by the Illinois Department of Healthcare and Family Services, and should not be billed to the patient.
- An individual who has been sexually assaulted and wishes to preserve evidence should, if possible, not shower, bathe, douche, smoke, brush teeth, eat, drink, use the bathroom, or change clothes or bedding before going to the hospital or seeking medical attention.
- If the individual who has been sexually assaulted decides to change clothes or bedding and wishes to preserve evidence, they should not wash the clothes worn or bedding used during the assault, and should bring them to a hospital, medical facility, or the police in a non-plastic (e.g., paper) bag.
- In Illinois, individuals who have been sexually assaulted may allow the collection of evidence even if they choose not to make a report to law enforcement. After the evidence is collected, Illinois law requires hospital staff to store it for two weeks. A sexual assault evidence collection kit may not be released by an Illinois hospital without written consent from the survivor.

12. The City of Chicago requires training annually, including: a. A minimum of one hour of sexual harassment prevention training and bystander training for all employees; and b. A minimum of two hours of sexual harassment prevention training for anyone who supervises or manages employees.

Educational Training, Awareness, and Prevention Programs¹¹

When learning of conduct or behavior that may not meet the standards defined in the policy, community members and the University are expected to take an active role in upholding this policy and promoting the dignity of all individuals. The University offers a variety of training,

awareness, and prevention programs to help prevent discrimination, harassment, and sexual misconduct within the Northwestern community. The University strives to ensure that such programming is developed to be culturally relevant; trauma informed; inclusive of diverse communities and identities; sustainable; responsive to community needs; informed by research or assessed for value, effectiveness, and outcome; and considerate of environmental risk and protective factors as they occur on the individual, relationship, institutional, community, and societal levels.

Additionally, the University provides annual training to investigators, and hearing panel members are trained on issues related to discrimination, harassment, and sexual misconduct, and the University's investigation and resolution procedures.

For information on educational training, awareness, and prevention programs offered each year, see: www.northwestern.edu/sexual-misconduct/education.

COMPLAINT RESOLUTION PROCESS

INTRODUCTION AND GENERAL PROCEDURES

Introduction

The procedures below outline the process the University follows when it receives a report alleging a violation of the *Policy⁸ on Institutional Equity* by a member of the Northwestern community. For the purposes of this Policy, “by a member of the Northwestern community” means current students, current faculty (as defined by the Faculty Handbook), current staff members, and current student or employee groups. The Office of Equity retains discretion on whether to extend this process to current third-party affiliates who have a formal (including contractual) relationship with the University. Visitors to campus who are accused of discrimination, harassment or sexual misconduct are not entitled to the process set forth in this policy. The Office of Equity (“the Office”) is responsible for handling reports alleging discrimination, harassment and sexual misconduct. In addition, the Office may consolidate complaints alleging discrimination, harassment, or sexual misconduct under this policy with complaints alleging potential violations of other University policies where the allegations arise out of the same facts or circumstances. The University may apply these complaint resolution procedures to such consolidated complaints in place of the community standards administrative hearing process (UHAS) or other University investigation process that otherwise would apply. University groups, including student groups, and departments are expected to report

concerns regarding alleged or suspected discrimination, harassment, or sexual misconduct to the Office of Equity and not to take action to attempt to investigate or resolve such complaints independently. All reports of alleged violations of this policy will be handled in a prompt, fair, and impartial manner in accordance with these complaint resolution procedures, other University policies and processes, and applicable laws and regulations, including Title VII, Title IX⁷, the *Violence Against Women Act*, the *Illinois Preventing Sexual Violence in Higher Education Act*.

The process described below is Northwestern's internal University process to determine whether Northwestern policy was violated and is not a court system. As such, Northwestern's process does not use the same rules of procedure and evidence as those used by courts or law enforcement. **A person who has experienced a crime has the right to simultaneously file and pursue a criminal complaint with law enforcement and a complaint with the University if they choose, and to be assisted by the University in notifying law enforcement authorities if they choose, or to decline to notify such authorities.** Parties may also have options to file civil actions in court.

Because allegations of discrimination, harassment and sexual misconduct can sometimes raise challenging new issues, the University reserves discretion to take reasonable actions to address those issues in a manner consistent with the spirit of the applicable policies and procedures, while preserving fairness for both parties and maintaining the integrity of the complaint resolution process.

Participant Roles

- A **Complainant** is the person who has been impacted by an alleged policy violation and has chosen to participate in the complaint resolution process. (This person is called a **reporter** for purposes of other conduct violations handled in the Office of Community Standards.)
- A **Respondent** is the person who is alleged to have violated University policy.
- **Parties** is a term that refers to the Complainant and the Respondent collectively.
- A **witness** is a person who has knowledge related to specific aspects of a case.
- An **advisor** is a support person who may be present to provide support to a Complainant or Respondent throughout an investigation and/or hearing. An advisor may not also serve as a witness in the same matter.

Participation in Process

The University invites Complainants to participate fully in the complaint resolution process. In order for the University to investigate a

13. When a current Northwestern employee or student is accused of violating this policy in the context of an affiliate organization (e.g. a Northwestern affiliated hospital), the Office of Equity will collaborate with the affiliate organization and the University retains the right to adopt the findings of the affiliate.

14.. Title IX sex and pregnancy based discrimination matters are addressed under this policy, while Title IX Sexual Harassment matters are handled under the University's Interim Policy on Title IX Sexual Harassment.

complaint and/or enable a Respondent to fully respond to the allegations, most situations will require the Complainant's participation and that the identity be disclosed to the Respondent.

When individuals report allegations of discrimination, harassment or sexual misconduct to the University and do not consent to the disclosure of their names and/or do not disclose the identity of the alleged offenders or identifiable information about the alleged offenders, the University's ability to respond to the reports may be limited. If a Complainant wants the University to conduct an investigation under these procedures but does not wish to participate in the investigation, the University will determine whether it is possible to move forward without the Complainant's participation. In some cases, it will not be possible to do so. If an individual reporting discrimination, harassment or sexual misconduct requests anonymity or does not wish to proceed with an investigation, the University will attempt to honor that request but, in some cases, the Office of Equity may determine that the University needs to proceed with an investigation, including potentially disclosing the identity of the Complainant. In such cases, the University will not compel an individual to participate in the investigation. The Office will consider the following factors in reaching a determination on whether to proceed:

- The totality of the known circumstances;
- The nature and scope of the alleged conduct, including whether the reported behavior involves the use of a weapon;
- The respective ages and roles of the Complainant and Respondent;
- The risk posed to any individual or to the campus community by not proceeding, including the risk of additional violence;
- Whether there have been other reports of other prohibited conduct or other misconduct by the Respondent;
- Whether the report reveals a pattern of misconduct (e.g., via illicit use of drugs or alcohol) at a given location or by a particular group;
- The Complainant's interest in the University's not pursuing an investigation or disciplinary action and the impact of such actions on the Complainant;
- Whether the University possesses other means to obtain relevant evidence;
- Fairness considerations for both the Complainant and the Respondent;
- The University's obligation to provide a safe and non-discriminatory environment; and
- Any other available and relevant information.

The University invites Respondents to participate fully in all aspects of the complaint resolution process. If a Respondent elects not to partici-

part in any part of the process, the University may proceed without the Respondent's participation. Respondents will be held accountable for any outcomes issued, even if they decline to participate.

The University invites witnesses to participate in investigation processes. The University will not compel an individual to participate in the investigation.

All participants have the responsibility to be completely truthful with the information they share at all stages of the process. Any individual who knowingly or intentionally provides false information as part of a report or investigation under this Policy will be subject to discipline in accordance with the procedures set forth in the Student Handbook, Faculty Handbook, or Staff Handbook. This provision does not apply to a good faith report that is not substantiated or proven by a preponderance of the evidence.

Privacy and Sharing of Information

The University considers reports and investigations to be private matters for the parties involved. For that reason, the University will protect the identity of persons involved in reports of alleged violations of this Policy to the best of its ability. The University will only share personally identifiable information with persons with a need to know such information in order for the University to investigate and respond to the report or to provide resources or support services. The identities of witnesses are typically shared with the parties, however, based on the specific facts, requests, and circumstances of a particular case, the Office of Equity has discretion to anonymize witnesses when appropriate. The University does not publish the names nor post identifiable information about persons involved in a report of discrimination, harassment, or sexual misconduct in the University Police Daily Crime Log (Blotter) or elsewhere online.

All participants in an investigation will be informed that privacy enhances the integrity of the investigation, protects the privacy interests of the parties, and protects the participants from statements that might be interpreted to be retaliatory. For these reasons, the complainant and respondent will be asked at the beginning of the investigation to keep the information related to the investigation and resolution private, to the extent consistent with applicable law. Witnesses and advisors will be asked to keep any information learned in an investigation meeting confidential, to the extent consistent with applicable law.

Certain types of policy violations are considered crimes for which the University must disclose crime statistics in its Annual Security Report that is provided to the campus community and available to the public. These disclosures will be made without including personally identifying information.

Case Resolution Timeline

The University strives to resolve all cases in a prompt and timely manner. Although the length of each investigation will vary based on the circumstances of the case, the University strives to complete each investigation within ninety (90) calendar days of sending the written notice of investigation. Additionally, the timeline for a case may be affected by breaks in the academic calendar, availability of the parties and witnesses (including due to a leave of absence), scope of the investigation, need for interim actions, and other unforeseen or exigent circumstances. The parties will be periodically updated on the status of their case. In cases where there is a simultaneous law enforcement investigation, the University may need to temporarily delay its investigation while law enforcement gathers evidence. However, the University will generally proceed with its investigation and resolution of a complaint during any law enforcement investigation.

Conflicts of Interest, Bias, and Procedural Complaints

No investigator, panelist, or appeal reviewer will make findings or determinations in a case in which they have a material conflict of interest or material bias. Any party who believes one or more of these University officials has a potential material conflict of interest or material bias must raise the concern to the Office of Equity within two (2) calendar days of discovering the perceived conflict so that the University may evaluate the concern and find a substitute, if appropriate. The Office of Equity will determine whether a conflict of interest exists. The failure of a party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal.

Standard of Evidence

The University uses the preponderance of the evidence standard in investigations of complaints alleging discrimination, harassment or sexual misconduct and any related violations. This means that the investigation determines whether it is more likely than not that a violation of the policy occurred.

Advisor/Legal Counsel

An advisor is a support person who may be present to provide support to a Complainant or Respondent throughout an investigation and/or sanctioning process. Complainants and Respondents may be accompanied by one advisor throughout the investigation and any sanctioning process, provided that the involvement of the advisor does not result in an undue delay of the process. It is the responsibility of each party to coordinate scheduling with their advisor for any meetings. An advisor may not speak, write, or otherwise communicate with an investigator, panelist, or appeal reviewer on behalf of the Complainant or Respondent. Advisors may not engage in behavior or advocacy that harasses, abuses, or intimidates either party, a witness, or individuals involved in resolving the complaint. Advisors who do not abide by these

guidelines may be excluded from the process.

In any matter involving a complaint of sexual assault, stalking, or dating or domestic violence, the advisor may be any person of the party's choosing, including an attorney. However, an advisor may not also serve as a witness in the same matter, and the advisor's participation is limited to the supportive and non-participatory role described above. A representative from the University's Office of General Counsel may attend any proceeding where an attorney serving as an advisor for any party is present. In matters not involving a complaint of sexual assault, stalking, or dating or domestic violence, advisors cannot be a witness or party in the matter or a related matter, a family member of the Complainant or Respondent, or an attorney. A union representative may serve as an advisor, where applicable.

INITIAL INQUIRY

Upon receipt of a report of discrimination, harassment or sexual misconduct, or when a Complainant otherwise chooses to move forward with the complaint resolution process, the first step is an initial inquiry. An initial inquiry is an assessment by the Office of Equity as to whether the allegations, if substantiated, would rise to the level of a violation of University Policy(ies); a determination of the specific policy(ies) implicated; and an assessment of appropriate University response.

As a result of the initial inquiry, the Office of Equity may determine that the conduct reported falls under the scope of the University's Interim Policy on Title IX Sexual Harassment and proceed to apply the procedures of that policy.

If the Office of Equity determines that the conduct reported cannot fall under the scope of the Interim Policy on Title IX Sexual Harassment but could fall within the scope of this Policy, the possible next steps include:

- Close the Case: The Office may close a case when insufficient information exists to move forward or when the alleged misconduct—even if substantiated—would not be a violation of policy. The Office may, in its discretion, reopen a case in the future if additional information becomes available.
- Educational Response (See section C below)
- Restorative Resolution (See section D below)
- Formal Resolution (See section E below)

EDUCATIONAL RESPONSE

Educational response involves measures taken by the University in response to a report of discrimination, harassment or sexual miscon-

duct when formal resolution is not desired by the person who may have experienced the misconduct, when there is not enough information to proceed with a formal resolution process against a known Respondent, and/or where the Office of Equity deems it an appropriate response. Educational response is not used where the Office of Equity has determined that the University must proceed with an investigation. (See Participation in Process, above)

An educational response does not result in findings related to responsibility or in sanctions. An educational response does not preclude further steps, including formal resolution, if a complaint is later made or additional information is received by the Office of Equity. Educational response may include, but is not limited to:

- An educational meeting with the subject of the report
- Training for a group or unit
- An advisory letter

RESTORATIVE RESOLUTION¹⁰

In matters where a complaint has been filed and has passed initial inquiry, the parties may elect to resolve the matter through the University's Restorative Justice Program. Restorative resolution is voluntary and the University will not require parties to engage in this process. Parties interested in restorative resolution will receive a written notice disclosing: the allegations, the requirements of the restorative process including the circumstances under which it precludes the parties from resuming a complaint arising from the same allegations, and notice that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the Complaint Resolution Process with respect to the complaint. In the event a party withdraws from the restorative process, records from the restorative process will not be shared with those investigating the matter but may be maintained by the Restorative Justice Program. All parties will be asked to provide voluntary, written consent to the restorative process before it begins. This process will not be used to resolve allegations that an employee sexually harassed a student.

FORMAL RESOLUTION

Notification to Respondent

The Institutional Equity complaint resolution process operates under a standard of fairness for all parties involved. Within seven (7) calendar days of completing an initial inquiry resulting in the decision to begin the Formal Resolution process, the Office of Equity will provide written notice to the parties whose identities are known that includes:

- Notice of Northwestern's complaint resolution process.

- Sufficient details of the allegations known at the time so that the parties may prepare a response before an initial interview with the investigator(s), including:
 - the identifies of the parties involved in the incident, if known;
 - the conduct alleged to constitute a violation of policy; and
 - the date and location of the incident(s), if known.

The written notice will inform the parties of the University's prohibitions on retaliation and knowingly making false statements or knowingly submitting false information during the complaint resolution process.

If, in the course of an investigation, the University decides to investigate additional allegations about the Complainant or Respondent that arise that were not included in the initial notice, the Office of Equity will provide notice of the additional allegations to the parties whose identities are known pursuant to the requirements above.

Acceptance of Responsibility

Prior to the conclusion of an investigation, the Respondent may elect to take responsibility for the prohibited conduct by contacting the Office of Equity in writing. Following an acceptance of responsibility, the Office of Equity may solicit additional information relating to the matter. The Office of Equity will issue a brief outcome determination to the parties summarizing the allegations and stating the Respondent has accepted responsibility, and will refer the matter to the appropriate office for sanctioning as delineated in the resolution sections below. Following the determination of sanctions, parties may appeal the sanctions imposed but not the finding(s) of responsibility as accepted by Respondent. In the event a Respondent decides to accept responsibility for some but not all of the allegations, the Office of Equity will determine whether to sever the matter, sending the allegations for which the Respondent has accepted responsibility to the appropriate office for sanctioning and continuing with the formal resolution process for the remaining allegations. Alternatively, the Office may determine it will proceed with the formal resolution process for all allegations.

Withdrawal of Complaint

At any time prior to the conclusion of an investigation, the Complainant may request to withdraw the complaint, or any discrete allegations in the complaint, by contacting Office of Equity in writing. The Office of Equity will determine whether to close the case or whether it is necessary to continue with the formal resolution process with regard to any or all allegations without the Complainant's continued participation.

16. The University's Restorative Justice Program is currently in development. The restorative resolution option will become available upon the launch of the program.

Investigation

The Office of Equity investigates complaints proceeding through formal resolution. Depending upon the circumstances, one or more investigators will be assigned from the Office of Equity. In some cases, another University office may conduct an investigation under the direction of the Office, or an outside investigator may be retained. All investigators are trained on applicable law and the University's policies and procedures. Depending on the circumstances and in its discretion, the University may either consolidate or sever the investigation and/or sanctioning of multiple complaints involving the same Respondent and/or complaints where the parties have made discrimination, harassment or non-Title IX sexual misconduct allegations against each other. In the event a community member with multiple affiliations with the University (e.g., a staff member who is also a student) is found to have violated this policy, the University may initiate multiple sanctioning processes to address the violation in relation to each affiliation.

During the investigation, the investigator(s) will identify, elicit, and gather evidence related to the alleged misconduct, including inculpatory and exculpatory evidence. The burden of gathering evidence sufficient to reach a determination of whether or not a policy violation has occurred lies with the University and not with the parties.

During the investigation, the Complainant will have the opportunity to describe their allegations and present supporting evidence to the investigator(s). The Respondent will have the opportunity to hear the allegations, respond to them, and present supporting evidence to the investigator(s).

Investigation meetings are not audio or video recorded by the University, and may not be recorded by any participant. Parties and witnesses may take notes during investigation meetings. The Complainant and the Respondent will have an equal opportunity to present names of potential witnesses and to propose questions the investigator(s) might ask the other party. Complainants and Respondents may identify potential factual witnesses but may not present character witnesses. The investigator(s) will take the witness lists provided by the Complainant and Respondent into consideration when identifying the witnesses they will interview and what questions they might ask each witness, but these decisions are solely within the investigator's discretion. The investigator(s) retain discretion to limit the number of witness interviews the investigator(s) conduct if the investigator finds that testimony would be unreasonably cumulative, or if the witnesses do not have information relevant to the allegations at issue. The investigator(s) may also choose to interview other witnesses not identified by the parties.

Generally, the investigator(s) will meet with each party and each witness separately and may hold multiple meetings with a party to obtain all necessary information. The parties may submit additional materials or information to the investigator(s) at any time before the conclusion

of the investigation.

Report review procedures

a. Preliminary Investigative Report:

After each party has had the opportunity to meet with investigator(s), identify witnesses, and suggest questions, and the investigator(s) have completed witness interviews and the gathering of evidence, the investigator(s) will prepare a preliminary investigative report. The preliminary investigative report will include a summary of the relevant information provided by the Complainant, the Respondent, and each witness, and either a copy or written summary of all relevant evidence collected during the investigation. The preliminary investigative report will not contain any findings.

The parties will be provided with an opportunity to review the preliminary investigative report and respond in writing. Typically, the report will be provided to each party electronically. Parties are expected to maintain the privacy of this document and may not distribute this document. Unauthorized distribution of this document may result in referral to the appropriate office for disciplinary action.

The parties may each submit written comments, feedback, additional documentary evidence, requests for additional steps in the investigation, suggest written relevant questions for any party or witness, names of additional witnesses, or any other information they deem relevant to the investigator(s), up to twenty (20) pages, within ten (10) calendar days after the preliminary report is made available for review. The Office of Equity may, in its discretion, waive or adjust the page or time limit for the feedback.

The investigator(s) will review the written feedback provided by the parties and conduct any additional investigation necessitated by that feedback. In the event new, relevant information has been provided, the investigator(s) will prepare a second preliminary investigative report incorporating any new relevant information provided by any party or witness. In the event a second preliminary report has been prepared, the parties will be provided a copy of the second preliminary investigative report and will have a second and final opportunity to review the new information and provide any written feedback as described above before the investigator(s) proceed with finalizing the report. The parties may each submit up to ten (10) pages of feedback regarding the new information within ten (10) calendar days after it is made available for review.

The parties are permitted to review the preliminary investigative report and second preliminary investigative report solely for the purposes of this grievance process and may not photograph or disseminate the report to the public.

Investigation Outcome

After reviewing all feedback submitted by the parties to the second preliminary investigative report(s), the investigator(s) will incorporate all relevant feedback into a final investigative report and provide a copy of the final investigative report to the Office of Equity. The Office of Equity will review the final investigative report and will reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the Policy on Institutional Equity or other identified policies at issue as alleged in the complaint.

The Complainant and the Respondent will both be notified simultaneously in writing of the outcome of the investigation. The notifications will include findings related to alleged violations of policy and the rationale for all findings. If the complaint presents more than a single allegation of misconduct, a finding will be made separately as to each allegation.

1) Resolution of cases where no violation has been found

Complainants and Respondents will be notified of their appeal rights and appeal procedures. As noted above, the University encourages the parties to maintain privacy of all communications related to findings.

2) Resolution of cases where a violation has been found

If the Respondent is found to be responsible for one or more policy violations, the notification of findings will include information regarding the sanctioning process. Sanctions will be recommended and/or determined as follows:

- For student Respondents, in the event a policy violation is found, the Office of Equity will provide the final investigative report to the Office of Community Standards who will determine sanctions and corrective actions in accordance with the procedures set forth in the Student Handbook. The Office of Community Standards will provide written notice of any sanction(s) imposed to the parties for violations of this policy simultaneously within seven (7) calendar days of the sanctioning decision. The notice will reference findings made by the Office of Equity and will include the sanction(s), a summary of the rationale, and information about the appeal process.
- For staff Respondents, in the event a policy violation is found, the Office of Equity will provide the final investigative report to the Office of Human Resources and the Respondent's manager(s), who are responsible for deciding what sanctions or corrective actions should be imposed on the Respondent, in accordance with the procedures set forth in the Staff Handbook.
- For faculty Respondents, in the event a policy violation is found, the Office of Equity will make a recommendation regarding whether the

policy violation warrants considering termination or suspension. The final investigative report and the recommendation will be sent by the Office of Equity to the faculty member's department chair, the dean, and the Associate Provost for Faculty. Next steps, including sanctions or corrective actions imposed, will be determined in accordance with the procedures set forth in the Faculty Handbook.

- For Respondents holding any other status, sanctions and/or corrective actions will be determined by the appropriate University office, depending on the status of the Respondent.

The Complainant will be notified of remedies offered or provided to the Complainant, sanctions imposed on the Respondent that directly relate to the Complainant, and any other steps the University has taken to prevent the recurrence and eliminate a discriminatory or hostile environment, if one was found to exist. In a case related to alleged sexual assault, stalking, or dating or domestic violence, the notification of sanction to the Complainant will also include all sanctions imposed on the Respondent, not just those directly related to the Complainant.

The Respondent will be informed of all sanctions imposed. The Respondent generally will not be notified of the individual remedies offered or provided to the Complainant.

Both Complainants and Respondents are informed of appeal procedures. As noted above, the University encourages the parties to maintain privacy of all communications related to findings and sanctions.

APPEALS

The Complainant or Respondent may appeal the findings and/or, if sanctions are imposed, the determination of sanctions. An appeal will be handled in a manner consistent with any applicable terms or procedures in the Faculty Handbook, Staff Handbook, Student Handbook, or applicable contract. Otherwise, the terms and procedures outlined in these guidelines will control.

An appeal must be made within ten (10) calendar days of the date of the written notification of the findings or, if sanctions are imposed, the written notification of the sanctioning determination. An appeal must be in writing and specify the basis for the appeal. An appeal is limited to fifteen (15) pages. The original finding is presumed to have been decided reasonably and appropriately by a preponderance of the evidence. The only grounds for appeal are as follows:

- New information discovered after the investigation that could not have reasonably been available at the time of the investigation and is of a nature that could materially change the outcome;
- Procedural errors within the investigation or resolution process that may have substantially affected the fairness of the process; or
- An outcome (findings or sanctions) that was manifestly contrary to the weight of the information presented (i.e., obviously unreasonable and unsupported by the great weight of information).

If either party submits an appeal, the other party will be provided with a copy of the appeal and given ten (10) calendar days to submit a written response. A written response is limited to fifteen (15) pages. The relevant appeal reviewer may, in their discretion, adjust the time limit for the appeal and/or response.

In the event sanctions were imposed, it shall be in the discretion of the Senior Director, Equal Opportunity and Access and/or the Senior Director, Sexual Misconduct Response and Resources, and the sanctioning office whether the sanctions shall be implemented or stayed pending resolution of an appeal.

Appeals will be handled by the following reviewers, who may delegate the review of an appeal to a designee, and will delegate review in any case in which they cannot serve as an impartial reviewer.

An appeal of a complaint against a student should be addressed to:

Contact: **Lucas Christain**
Associate Dean/Director of Community Standards

Location: Scott Hall
601 University Place
Evanston, IL 60208

Email: lucas.christain@northwestern.edu

An appeal of a finding in a complaint against a faculty member should be addressed to:

Contact: Associate Provost for Faculty

Location: Rebecca Crown Center
633 Clark Street, Evanston, IL 60208

Phone: (847) 491-8543

Email: assoc-prov-faculty@northwestern.edu

An appeal of a complaint against a staff member⁸ or Respondent of any status not names above should be addressed to:

Contact: Vice President for Human Resources

Phone: (847) 491-7505

Location: 720 University Place, Evanston, IL 60208

Email: oeappeals@northwestern.edu

17. The Staff Handbook provides an additional process for staff members appealing a sanction of termination.

The appeal will be decided as expeditiously as possible, though the timeframe may vary based on the scope of the appeal or unforeseen circumstances. A written decision regarding the appeal will be issued to the parties simultaneously within seven (7) calendar days of making a decision. The appellate reviewer may review the full case, beyond the aspects of the case outlined in the request for appeal. If the appellate reviewer does not find that any of the three grounds for appeal are present in the case, the outcome will be upheld. If the reviewer finds that any of the grounds for appeal are present in the case, they may amend the

outcome, may issue a new outcome, or may refer the matter back to the investigator(s) for further consideration. A final outcome on an appeal is not subject to further appeal.

APPENDIX A: SUMMARY OF INFORMATION ON REPORTING SEXUAL MISCONDUCT AND RECEIVING SUPPORT (INCLUDING CONFIDENTIAL SUPPORT) AND RESOURCES AT THE NU-Q CAMPUS

Options and Resources

How can Northwestern help?

Knowing what options and resources are available will be helpful if you or someone you know experiences sexual misconduct.

Persons who may have experienced sexual misconduct have options:

1. *Seek Medical Attention*
2. *Speak with On-Campus Confidential Resources*
3. *Access Off-Campus Resources*
4. *Contact the Police*
5. *Contact the University's Title IX Coordinator*
6. *Request Interim Measures*
7. *Preserve Evidence*

More detailed information about each of these options is provided below.

1. Seek Medical Attention

In Qatar, if a survivor goes to the hospital, they may not retain sole discretion over whether to pursue criminal charges. Medical personnel at hospitals are required to alert the police when it appears that the person seeking treatment has sustained an injury as a result of a criminal offense, including sexual assault. The person seeking treatment then could be required to speak with the police. Survivors should visit a

hospital or doctor with whom they feel comfortable. Survivors can talk to the NU-Q Chief Operations Officer for more information.

If the survivor chooses not to go to the emergency room, s/he should still consider seeing a private doctor or a clinician. Survivors are encouraged to inquire about and understand the extent of confidentiality healthcare providers can provide to the survivor of sexual violence. The confidentiality laws and regulations may differ substantially from those in other countries. Emergency contraception is not available in Qatar. Rape evidence collection may not be available in Qatar.

Individuals who have been sexually assaulted may choose to go to the emergency room. The nearest hospitals to the Northwestern University in Qatar campus are:

Al-Ahli Hospital (6km from Education City)	
Location:	Ahmed Bin Ali Street Emergency 24 hours a day, 7 days a week
Phone:	+974 4489 8888

Sidra Medicine (1km from Education City) Women and children only	
Location:	Dukhan Road opposite Northwestern University in Qatar
Outpatient:	Sunday-Thursday, 7:00 am – 4:00 pm
Phone:	+974 4003 3333

There is also medical care available at the following location on campus:

Qatar Foundation Primary Healthcare Center (QF PHCC)	
Location:	HBKU Student Center
Phone:	+974 4454 1244 (call to inquire about hours of operation)

2. Speak with On-Campus Confidential Resources

These campus resources keep communications confidential except in very limited situations (e.g. minors, imminent danger).

Employee Assistance Program (EAP) (provides confidential short term counseling services to employees via telephone)

Visit www.livewell.optum.com and click on 'My Services' for more information or call: +974 4454 5293 or +44 1865 397 074 (UK direct number)

Students have the following confidential resource available:

Free, short-term and confidential counseling services for students:

Location: NU-Q Counseling, Health and Wellness

NU-Q 1-320

Phone & Email: +974 4454 5073 or

patricia.collins@northwestern.edu

Counseling, Health and Wellness is available as a free confidential counseling option available to Northwestern University in Qatar students who have experienced sexual assault, dating or domestic violence, or any other type of sexual violence. Counseling, Health and Wellness will honor the privacy of your information. If the individual wants to notify the police, Counseling, Health and Wellness staff can be a resource. Regardless of whether the survivor wants to involve police, s/he may benefit from talking to a professional counselor.

Counselors listen and help survivors work through any anger, pain, sadness, relationship issues or coping mechanisms that may be related to sexual misconduct. Sometimes the effects are felt long after an incident occurred. It is never too late to seek counseling, even months or years later.

If you would like to learn more about counseling and other options available to survivors, you can talk to Counseling, Health and Wellness staff member confidentially.

3. Access Off-Campus Resources

Regardless of whether an individual wants to officially report sexual misconduct, s/he may explore independent counseling options.

Private Hospitals with physical and mental health resources available

Al Ahli Hospital: **+974 4489 8888**
+974 4489 8817

Doha Clinic Hospital **+974 4438 4333**

American Hospital **+974 4442 1999**

Al Emadi Hospital **+974 4446 6009**

Social Protection
and Rehabilitation
(Counseling, psychological and
shelter services for women and
children) **+974 4409 0999**
Hotline:108

Government Hospitals and Centers with physical and mental health resources available

Hamad General Hospital **+974 4439 4444**

Al Khor Hospital **+974-4474-5555**

HMC Customer Service Center **16060 (Sun-Thurs 7am-10pm;**
-Nesma'ak **Fri 2pm-10pm; Sat 10am-6pm)**

Wifaq/Family Consulting Center **+974 4406 9902 (mental**
health resources only)

Students may also wish to investigate private service providers of their choice, but are encouraged to inquire about and understand the extent of confidentiality they can provide to the survivor of sexual violence. The confidentiality laws and regulations may differ substantially from the protection laws in their home country.

4. Contact the Police

Survivors are encouraged to talk to the Chief Operations Officer for more information on what may happen if they file a police report. Generally, once a sexual assault is reported to the police, physical evidence of a struggle is collected and then the case is referred to the prosecutor, who then determines if a crime took place. The amount of physical evidence which shows a struggle will usually decide the case. If physical evidence is inconclusive, the case would be dismissed, and the survivor might either be asked to sign a statement or be jailed.

In an emergency dial +974 4454 0999 (on campus) or 999 (off campus)
Police Reports and Respecting the Survivor's Decisions

There is no right or wrong way for a survivor to proceed. The decision to report an assault to the police is a personal one.

You should help a student or colleague make a police report if they want your help, but if they don't want to, you should also respect that decision. Publicity, concerns over revictimization, historical poor treatment at the hands of the police, or fear of being jailed are examples of reasons a survivor might not want to involve the police.

5. Contact the Office of Equity

Whether or not the individual makes a police report, they can contact and make a report to the University. An individual has the right to choose whether to report the incident to the Office of Equity for additional options and support and/or to request an investigation. The University will protect the identity of persons involved in reports of sexual misconduct to the best of its ability. The University will only share personally identifiable information with persons with a need-to-know in order for the University to investigate and respond or to deliver resources or support services.

To report sexual misconduct to Northwestern, contact:

Office of Equity

Email: equity@northwestern.edu

Qatar Campus Contact

Kathleen Hewett-Smith,

Contact: Senior Associate Dean and Chief
Academic Officer

Phone: +974 4454 5059

Email: kathleen.hewett-smith@northwestern.edu

Under Northwestern policy, all University employees (including student employees), as well as graduate students with teaching or supervisory authority, are obligated to promptly report sexual misconduct of which they become aware in the scope of their work for the University to the Office of Equity. The Confidential Resources listed above are not subject to this reporting requirement.

6. Support Services

Support services are individualized measures offered as appropriate to either or both the reporting and responding parties involved in an incident of sexual misconduct, prior to an investigation or while an investigation is pending. Support services include counseling, extensions of time or other course-related adjustments, modifications of work or class schedules, campus escort services, restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar accommodations.

Support services will be individualized and appropriate based on the information gathered by the Office of Equity, making every effort to avoid depriving any student of their education. The measures needed by each party may change over time, and the Office of Equity will communicate with parties throughout an investigation to ensure that any interim measures are necessary and effective based on the parties' evolving needs.

As noted above, an individual may request to receive support – including the measures mentioned in this section – even if they do not choose to participate in the University's Complaint Resolution Process.

7. Preserve Evidence

Northwestern encourages individuals who have experienced sexual misconduct to preserve evidence to the greatest extent possible as this may preserve more options for them in the future. Below are suggestions for preserving evidence related to an incident of sexual misconduct.

Outside of Qatar, a forensic rape exam is a consideration for many

survivors of sexual violence. Within the State of Qatar, it is a possible consideration for survivors of sexual violence.

In the State of Qatar, forensic evidence for a conviction of rape may require that there was resistance, i.e. skin of the perpetrator under the fingernails, bruises. If there is no evidence of a struggle, then an incident may not be classified as rape under Qatar law and the survivor may be accused of sex outside of marriage, which is illegal in the State of Qatar.

It is important to keep in mind that each suggestion may not apply in every incident:

- Preserve evidence of electronic communications like text messages, pictures, and/or social networking pages by saving them and/or taking screen shots.
- If there is a suspicion that a drink may have been drugged, inform a medical assistance provider and/or police as soon as possible so they can collect evidence (e.g. from the drink, through urine or blood sample).
- Because evidence that may be located on the body can dissipate quickly, consider going to a hospital or medical facility immediately to seek a medical exam. If possible, do not shower, brush teeth, or eat before going to the hospital or seeking medical attention, and do not wash clothes or bedding.



INTERIM POLICY ON TITLE IX SEXUAL HARASSMENT

Policy.....	190
Policy Statement	190
Jurisdiction.....	190
Purpose	191
Accessibility	191
Definitions	191
Consent.....	191
Prohibited Conduct.....	194
Participants	196
Supportive Measures	196
Formal Complaint.....	197
Reporting.....	197
Title IX Sexual Harassment Reporting Options	197
Reporting Obligations	201
Interim Removal.....	201
Title IX Retaliation.....	202
Amnesty for Title IX Sexual Harassment Complaints and Witnesses	202
Free Expression and Academic Freedom.....	203
Title IX and VAWA Statement.....	203
Potential Consequences Following a Finding of a Policy Violation	204
Sanctions.....	204
Remedies.....	205
Related Information.....	206
History.....	206
Policy URL.....	207
Resources.....	206
Confidential Support, Advocacy, and Counseling Resources.....	208
Seeking Confidential Medical Assistance.....	217
Preserving Physical Evidence.....	221
Education Training, Awareness, and Prevention Programming	222
Title IX Sexual Harassment Complaint Resolution Process.....	223
Introduction	223
Response to Reports.....	224
Supportive Measures	224
Formal Complaint	225
Consolidation of Formal Complaints	226
Initial Inquiry and Dismissal Prior to Commencement of Investigation	226
Investigation	227
Hearings.....	231
Appeals	237
Advisor of Choice	240
Treatment Records and Other Privileged Information	241
Sexual History.....	241
Neutrality.....	241
Bad Faith Complaints and False Information.....	241
Deadlines, Notices, and Method of Transmittal	242
Privacy and Sharing of Information.....	243
Conflicts of Interest, Bias, and Procedural Complaints.....	243
Standard of Evidence	244

POLICY

On May 6, 2020, the United States Department of Education issued new regulations, effective August 14, 2020, defining sexual harassment under Title IX of the Education Amendments of 1972 (“Title IX”) to include three categories of misconduct on the basis of sex that occur within the University’s education programs or activities: *quid pro quo* harassment by an employee; severe, pervasive, and objectively offensive unwelcome conduct of a sexual nature; and Sexual Assault, Dating Violence, Domestic Violence, or Stalking as defined under the Clery Act and VAWA.

While Northwestern prohibits all forms of discrimination and harassment, including sexual misconduct, this policy applies only to Sexual Harassment under Title IX as defined below. Discriminatory and/or harassing conduct falling outside of the purview of this policy is addressed under the University’s Policy on Institutional Equity. Other forms of misconduct may be addressed by other Northwestern policies (e.g. Student Handbook, Faculty Handbook, and Staff Handbook).

JURISDICTION

This policy applies to Title IX Sexual Harassment as defined below that occurs in the University’s Education Programs or Activities and that is committed by any student, faculty member, staff member, or third-party affiliate who has a formal (including contractual) relationship with the University community. As defined by the U.S. Department of Education, the University’s Education Programs or Activities include locations, events, or circumstances in the United States in which Northwestern exercised substantial control over both the Respondent (the person accused of violating the policy) and the context in which the alleged violation occurred (including any building owned or controlled by a student organization that is officially recognized by Northwestern). Misconduct occurring outside of the jurisdiction of this policy may be addressed by other University policies, which may include but are not necessarily limited to the University’s Policy on Institutional Equity.

Individuals impacted by any form of sexual misconduct, irrespective of whether it falls under this policy, may contact the Office of Equity to receive support, resources, and information.

This policy does not apply to Sexual Harassment committed by visitors or guests to the University, or to Sexual Harassment that occurs outside the geographic boundaries of the United States, even if the Sexual Harassment occurs in the University’s Education Programs or Activities, such as a study abroad program. Sexual Harassment that occurs outside the geographic boundaries of the United States is governed by the University’s Policy on Institutional Equity.

Pursuant to guidance from the U.S. Department of Education, this policy

applies to Title IX Sexual Harassment alleged to have occurred on or after August 14, 2020. Allegations of conduct occurring prior to this date will be subject to the University policy in place at the time of the alleged conduct.

Individuals impacted by Title IX Sexual Harassment may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Complaint Resolution Process described in Section III below.

PURPOSE

Northwestern is committed to fostering an environment in which all members of our community are free from sexual misconduct in any form. The University expects that all interpersonal relationships and interactions—especially those of an intimate nature—will be based on mutual respect, open communication, and clear consent. Additionally, Northwestern is committed to complying with Title IX of the Education Amendments of 1972 and its implementing regulations, the Violence Against Women Reauthorization Act of 2013, and the Illinois Preventing Sexual Violence in Higher Education Act.

ACCESSIBILITY

The Office of Equity is committed to making our services accessible to all members of the Northwestern community. The Office is cognizant of the physical accessibility of our space, the cultural competency of our staff, and the method and tone of the services we provide. Accessibility includes but is not limited to: providing reasonable accommodations to persons with disabilities, including mental health concerns, ensuring our online resources are accessible, providing translation services, and providing competent, respectful, and effective service to people of all identities and expressions. To request an accommodation related to the University's Title IX Sexual Harassment policy or procedure, or to discuss any questions or concerns about the accessibility of the Office of Equity's services or resources, please contact the Title IX Coordinator.

DEFINITIONS

The following terms and definitions are important components of this policy. The definitions are intended to give meaning to these terms in the context of Northwestern's policy. Criminal and other applicable state laws may use different definitions of these terms.¹

1. Information on the applicable state law definitions in Illinois, Florida, California, New York and Washington, D.C. can be found at <https://www.northwestern.edu/sexual-misconduct/title-IX/relevant-laws.html>

1. Consent

Consent represents the cornerstone of respectful and healthy intimate relationships. Northwestern expects its community members to communicate – openly, honestly, and clearly – about their actions, wishes,

and intentions when it comes to sexual behavior, and to do so before engaging in intimate conduct. It is always the requirement of the individual initiating sexual contact or initiating a new type of sexual activity within an encounter to ensure that consent is present before acting and that consent is ongoing during sexual activity.

Capacity to consent

Consent is not present when an individual does not have the capacity to give consent, voluntarily or involuntarily, due to age (generally, the age of consent is 17 in Illinois), physical condition, or disability that impairs the individual's ability to give consent. Reasons why one could lack capacity to give consent due to a physical condition include, but are not limited to, consumption of drugs or alcohol (voluntarily or involuntarily) or being in a state of unconsciousness, sleep, or other state in which the person is unaware that sexual activity is occurring.

"Incapacitated" refers to the state where a person does not understand the nature or fact of sexual activity due to the effect of drugs or alcohol consumption, medical condition or disability, or due to a state of unconsciousness or sleep. **When alcohol is involved, incapacitation is a state beyond drunkenness or intoxication. When drug use is involved, incapacitation is a state beyond being under the influence or impaired by use of the drug.** Alcohol and other drugs impact each individual differently, and determining whether an individual is incapacitated requires an individualized determination.

Some indicators of incapacitation due to consumption of drugs or alcohol may include, but are not limited to:

- Lack of full control over physical movements (for example, difficulty walking or standing without stumbling or assistance);
- Lack of awareness of circumstances or surroundings (for example, lack of awareness of where one is, how one got there, who one is with, or how or why one became engaged in sexual interaction);
- Inability to effectively communicate for any reason (for example, slurring speech, difficulty finding words).

A person may appear to be giving consent but may not have the capacity to do so. When determining whether a person has the capacity to provide consent, the University will consider whether a sober, reasonable person in the same position knew or should have known whether the other party could or could not consent to the sexual activity. It is especially important, therefore, that anyone initiating sexual activity is aware of their own level of intoxication as it may impact their ability to assess another person's capacity to give consent. Being intoxicated or impaired by drugs or alcohol does not excuse one from the responsibility to obtain consent. Being intoxicated or impaired by drugs or alcohol is never an excuse to commit sexual misconduct.

Aspects of Valid Consent

For purposes of this policy, *consent is present when clearly understandable words or actions manifest a knowing, active, voluntary, and present and ongoing agreement to engage in specific sexual or intimate contact.*

Consent must be all of the following:

- **Knowing:** All individuals understand, are aware of, and agree as to the “who” (same partners), “what” (same acts), “where” (same location), “when” (same time), and “how” (the same way and under the same conditions) of the sexual activity.
- **Active:** Consent must take the form of “clearly understandable words or actions” that reveal one’s expectations and agreement to engage in specific sexual activity. This means that silence, passivity, submission, or the lack of verbal or physical resistance (including the lack of a “no”) should not – in and of themselves – be understood as consent. Consent cannot be inferred by an individual’s manner of dress, the giving or acceptance of gifts, the extension or acceptance of an invitation to go to a private room or location, or going on a date.
- **Voluntary:** Consent must be freely given and cannot be the result of Respondent’s intimidation (extortion, menacing behavior, bullying), coercion (severe or persistent pressure causing fear of significant consequences from Respondent if one does not engage in sexual activity), force (violence, physical restraint, or the presence of a weapon), threats (indications of intent to harm, whether direct or indirect), or fraud (misrepresentation or material omission about oneself or the present situation in order to gain permission for sexual or intimate activity).
- **Present and Ongoing:** Consent must exist at the time of the sexual activity. Consent to previous sexual activity does not imply consent to later sexual acts; similarly, consent to one type of sexual activity does not imply consent to other sexual acts. Consent to engage in sexual activity with one person does not constitute consent to engage in sexual activity with another person.

Consent may also be withdrawn at any time, provided the person withdrawing consent makes that known in clearly understandable words or actions.

2. Prohibited Conduct

Northwestern prohibits all forms of sexual misconduct. Such conduct violates our community values and disrupts the living, learning, and working environment for students, faculty, staff, and other community members. Consistent with the U.S. Department of Education's implementing regulations for Title IX and the Illinois Preventing Sexual Violence in Higher Education Act, the University prohibits Title IX Sexual Harassment that occurs within its Education Programs and Activities. As further defined below, Title IX Sexual Harassment includes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking. Conduct that is not covered by this policy may be addressed by other University policies, including but not necessarily limited to the University's Policy on Institutional Equity. An act may violate one or more parts of this policy or one or more University policies.

- A. **Title IX Sexual Harassment:** Conduct on the basis of sex that satisfies one or more of the following:
 - I. **Quid Pro Quo Sexual Harassment:** An employee of Northwestern conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct.
 - II. **Hostile Environment Sexual Harassment:** Unwelcome conduct on the basis of sex determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to Northwestern's Education Program or Activity.
 - III. **Title IX Sexual Assault:** Title IX Sexual Assault as defined in 20 U.S.C. 1092(f)(6)(A)(v).

Under 20 U.S.C. 1092(f)(6)(A)(v), the term "sexual assault" means an offense classified as a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation. The Uniform Crime Reporting System includes the following offenses as forcible or nonforcible sex offenses:

- **Rape:** The penetration, no matter how slight, of the vagina or anus with any body part or object or instrument, or oral penetration by a sex organ of another person, without the consent of the victim or where the victim is incapable of giving consent, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. Attempted rape is included. An "object" or "instrument" is anything used by the offender other than the offender's genitalia.

- **Fondling:** The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental incapacity.
- **Incest:** Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- **Statutory Rape:** Non-forcible sexual intercourse with a person who is under the statutory age of consent.

IV. Title IX Dating Violence: “dating violence” as defined in 34 U.S.C. 12291(a)(10).

Under 34 U.S.C. 12291(a)(10), the term “dating violence” means violence committed by a person—

(A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and

(B) where the existence of such a relationship shall be determined based on a consideration of the following factors:

- I. The length of the relationship.
- II. The type of relationship.
- III. The frequency of interaction between the persons involved in the relationship.

V. Title IX Domestic Violence: “domestic violence” as defined in 34 U.S.C. 12291(a)(8).

Under 34 U.S.C. 12291(a)(8), the term “domestic violence” includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction.

VI. **Title IX Stalking:** “stalking” as defined in 34 U.S.C. 12291(a)(30).

Under 34 U.S.C. 12291(a)(30), the term “stalking” means engaging in a course of conduct directed at a specific person that would cause a reasonable person to—

(A) fear for their safety or the safety of others; or

(B) suffer substantial emotional distress.

3. Participants

- A. *Complainant* means an individual who is alleged to be the victim of conduct that could constitute Title IX Sexual Harassment under this policy.
- B. *Respondent* means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment under this policy.
- C. *Parties* is a term that refers to the Complainant and Respondent collectively.

4. Supportive Measures

Supportive Measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. Such measures are designed to restore or preserve equal access to the University's Education Programs or Activities without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the University's educational environment, or deter Title IX Sexual Harassment. Supportive Measures may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, other changes to academic, living, dining, transportation, and working situations, honoring an order of protection or no contact order entered by a State civil or criminal court, and other similar measures. In providing Supportive Measures, the Office of Equity will make every effort to avoid depriving any student of their education or access to the University's program or activities. The Supportive Measures needed by each party may change over time, and the Office of Equity will communicate with parties to ensure that any Supportive Measures in place are necessary and effective based on the parties' evolving needs.

The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University's ability to provide the Supportive Measures in question. As noted above, an individual may request to receive support – including the Supportive Measures mentioned in this section – even if they do not choose to participate in the University's Complaint Resolution Process.

5. Formal Complaint

A Formal Complaint is a document filed by a Complainant or signed by the Title IX Coordinator alleging Title IX Sexual Harassment against a Respondent and requesting that Northwestern investigate the allegation of Title IX Sexual Harassment. **In order for Northwestern to proceed to an investigation, at the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in Northwestern's Education Programs or Activities (see I(B), above).** A “document filed by a Complainant” means a document or electronic submission (such as an email) that contains the Complainant's physical or electronic signature or otherwise indicates that the Complainant is the person filing the Formal Complaint.

REPORTING

1. Title IX Sexual Harassment Reporting Options

The University encourages reporting of Title IX Sexual Harassment. Members of the University community who believe they have experienced Title IX Sexual Harassment have the right to choose whether or not to report the incident to the University, law enforcement, or both, and have the right to choose whether to engage with the University once the University receives a report. The information below is for individuals who wish to report incidents of Title IX Sexual Harassment. Reporting Title IX Sexual Harassment in the manners set forth below is not equivalent to filing a “Formal Complaint of Title IX Sexual Harassment” as defined above. Information on how to file a Formal Complaint can be found in the Complaint Resolution Process described in Section III below.

Information regarding reporting options and procedures for incidents of sexual misconduct that are not covered by this policy can be found in the Policy on Institutional Equity available at: www.northwestern.edu/equity/documents/policy-on-institutional-equity.pdf

Reporting Incidents to the University

Any individual may report Title IX Sexual Harassment to the Title IX Coordinator. Reports may be made in person, by email, by regular mail, by phone, or electronically as explained below, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. In-person reports must be made during normal business hours, but reports can be made by regular mail, telephone, or electronic mail at any time, including outside normal business hours.

Individuals impacted by Title IX Sexual Harassment may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Formal Complaint Resolution Process described in Section III below. Please see section III for more information. To speak to someone confidentially without making a report to the University, please see the Confidential Resources listed in Section II(A) below.

While anonymous reports will be reviewed by the Office of Equity, the University's ability to address Title IX Sexual Harassment reported by anonymous sources is significantly limited.

There is no time limit for reporting an incident of Title IX Sexual Harassment. However, in order for Northwestern to proceed to an investigation, at the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in Northwestern's Education Programs or Activities. The University encourages reports be made as soon as possible after the incident.

The staff identified below are specially trained to work with individuals who report or are accused of Title IX Sexual Harassment and have knowledge about on- and off-campus resources, services, and options—including the availability of supportive measures, as discussed above in Section I(E)(4).

Interim Title IX Coordinator

Contact: **Jessica Galanos**

Location: Office of Equity, 1800 Sherman Ave,
Suite 4-500, Evanston

Phone: (847) 467-6165

Email: jessica.galanos@northwestern.edu

To File a Report Electronically

Individuals may use the form at the following link to electronically file a report of Title IX Sexual Harassment with the Office of Equity:

bit.ly/NUReportSexualMisconduct

An immediate auto-response email with information about resources and options will be sent in response to reports filed electronically.

Other University Reporting Options

EthicsPoint

Third-party service for reporting complaints, including anonymous complaints, by phone or online

Phone: (866) 294-3545

Email: www.northwestern.edu/ethics/

Upon receipt of a report, an Office of Equity staff member will contact the person who may have experienced Title IX Sexual Harassment. The outreach from the Office of Equity staff member will generally include information about: medical and confidential counseling and support resources; options for filing a Formal Complaint and/or reporting the incident to law enforcement; how to request a protective order or no-contact directive; how to request Supportive Measures from the University with or without filing a Formal Complaint; how to preserve evidence; and where to access more information. The outreach will also include an invitation to meet with or provide additional information to an Office of Equity staff member.

Reporting Incidents to Law Enforcement

An individual who has experienced Sexual Assault, Dating Violence, Domestic Violence, or Stalking has the right to choose whether to file a police report. Northwestern University encourages individuals to report such incidents to University Police or local law enforcement. Filing a police report can result in the investigation of whether sexual violence or related crimes occurred and the prosecution of the perpetrator. Timely reporting to the police is an important factor in successful investigation and prosecution of crimes, including sexual violence.

The Office of Equity can provide information on contacting local and campus law enforcement and can assist an individual in doing so. However, the Office of Equity will not compel an individual to go to law enforcement.

The Northwestern University Police has a [written statement for individuals who report Sexual Assault/Sexual Violence, Domestic Violence,](#)

[Dating Violence, or Stalking \(www.northwestern.edu/up/your-safety/sexual-violence/university-police-guarantee.html\)](http://www.northwestern.edu/up/your-safety/sexual-violence/university-police-guarantee.html) that reflects its commitment to sensitivity and privacy. University Police can also assist in reviewing options with individuals who report such conduct and identifying and facilitating resources related to:

- Seeking medical attention;
- Seeking support, advocacy, and counseling services;
- Seeking protective orders from a court;
- Pursuing options under the University's investigation process.

Employees of the University Police are University employees and therefore are obligated to promptly report incidents of Title IX Sexual Harassment of which they become aware during the scope of their work as explained below. Employees of the University Police will make reports to the Office of Equity regardless of whether the individual who experienced the Title IX Sexual Harassment chooses to pursue criminal charges.

Northwestern University Police Department	
Evanston Campus:	1201 Davis Street, Evanston
Phone:	847) 491-3456 (24 hours)
Chicago Campus:	211 East Superior Street, Chicago
Phone:	(312) 503-3456 (24 hours)
Website:	<u>www.northwestern.edu/up/</u>

Evanston Police Department	
Evanston Campus:	1454 Elmwood Avenue, Evanston
Phone:	911 or (847) 866-5000 (24 hours)
Website:	<u>www.cityofevanston.org/police/</u>

Chicago Police Department – 18th District (covers Chicago campus)	
Chicago Campus:	1160 North Larrabee Ave., Chicago
Phone:	911 or (312) 744-4000 (24 hours)
Website:	<u>www.chicagopolice.org/community/districts/18th-district-near-north/</u>

2. Reporting Obligations

Sexual Misconduct

All University employees (including student employees) and graduate students with teaching or supervisory authority, are obligated to promptly report sexual misconduct (including Title IX Sexual Harassment) of which they become aware in the scope of their work for the University to the Office of Equity unless they are a Confidential Resource listed in Section II(A). Note: This does not require a person experiencing harm to report the incident. Failure to fulfill this reporting obligation will be referred to the appropriate office for corrective action. The University encourages all individuals – including students not referenced above – to report sexual misconduct (including Title IX Sexual Harassment) of which they become aware to the Office of Equity.

Incidents Involving Minors

As stated in the University's Policy on Minors at Northwestern, all University employees, students, volunteers, and third-party contractors are obligated to report to the Illinois Department of Children & Family Services or applicable state agency (as well as University Police, in emergency situations) any suspected abuse and/or neglect of a child. This includes any and all incidents of sexual misconduct (including Title IX Sexual Harassment) involving minors, which should be reported to the Office of Equity as well. Reporters should also advise their supervisor (if the reporter is an employee) or the Dean of Students (if the reporter is a student), as well as notifying the Office of Risk Management and the Office of Compliance, Audit, and Advisory Services in writing that a report has been made.

3. Interim Removal

At any time after receiving a report of Title IX Sexual Harassment, the University may remove a student Respondent from the University's Education Programs and Activities on an emergency basis if an individualized safety and risk analysis determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of Title IX Sexual Harassment justifies removal. In the event the University imposes an interim removal, it will provide the Respondent with notice and an opportunity to challenge the removal decision immediately following the removal. Any emergency removal of a student will involve consultation with the Behavioral Consultation Team and the Division of Student Affairs.

In the case of a Respondent who is a non-student employee, and in the University's discretion, the University may place the Respondent on administrative leave at any time after receiving a report of Title IX Sexual Harassment, including during the pendency of the investigation

and hearing process. The decision to place a non-student employee on administrative leave will be made by the employee's unit director and the Office of the Provost (for faculty Respondents) or Human Resources (for staff Respondents) upon recommendation of the Office of Equity.

For all other Respondents, including third-party affiliates and guests, the University retains broad discretion to prohibit such persons from entering onto its campus and other properties at any time, and for any reason, whether after receiving a report of Title IX Sexual Harassment or otherwise.

4. Title IX Retaliation

Neither Northwestern nor any other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX and its implementing regulations or this policy, or because the individual has, in good faith, made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Formal Complaint of Title IX Sexual Harassment, for the purpose of interfering with any right or privilege secured by Title IX or this policy, constitutes Title IX Retaliation under this Policy. A detailed definition of retaliation and examples of retaliatory conduct are provided in the University's Policy on Non-Retaliation.

Complaints of Title IX Retaliation may be made by contacting the Title IX Coordinator. The University will process any report or complaint of Title IX Retaliation in the same manner as a report or complaint of sex discrimination under the University's Policy on Institutional Equity. Individuals who are found to have engaged in Title IX Retaliation as defined by this policy are subject to disciplinary action that may include, but is not limited to, the sanctions listed in Section I(G). The University retains discretion to consolidate a Formal Complaint of Title IX Retaliation with a Formal Complaint of Title IX Sexual Harassment for investigation and/or adjudication purposes.

5. Amnesty for Title IX Sexual Harassment Complainants and Witnesses

Northwestern encourages reporting of Title IX Sexual Harassment and seeks to remove any barriers to making a report. The University recognizes that an individual who has been consuming alcohol (including underage consumption) or using drugs at the time of an incident may

be hesitant to make a report because of potential consequences for that conduct. To encourage reporting, an individual who makes a good faith report of Title IX Sexual Harassment that was directed at them or another person, or participates in an investigation as a witness, will not be subject to disciplinary action by the University for a conduct or policy violation that is related to and revealed in the sexual misconduct report or investigation, unless the University determines that the violation was serious and/or placed the health or safety of others at risk. Amnesty does not preclude or prevent action by police or other legal authorities. This Amnesty provision may also apply to student groups making a report of Title IX Sexual Harassment.

6. Free Expression and Academic Freedom

Northwestern is firmly committed to free expression and academic freedom. The University is equally committed to creating and maintaining a safe, healthy, and harassment-free environment for all members of its community, and firmly believes that these two legitimate interests can coexist.

Discrimination, harassment, and retaliation against members of the Northwestern community are not protected expression or the proper exercise of academic freedom. The University will consider academic freedom in the investigation of reports of Title IX Sexual Harassment or retaliation that involve an individual's statements or speech.

7. Title IX and VAWA Statement

It is the policy of Northwestern to comply with Title IX of the Education Amendments of 1972 and its implementing regulations (and all other applicable laws regarding unlawful discrimination and harassment including, but not limited to, Title VII of the Civil Rights Act of 1964 and the Illinois Human Rights Act), which prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. It is also Northwestern's policy to comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crimes Statistics Act, as amended by the Violence Against Women Act. Title IX prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. VAWA imposes additional duties on universities and colleges to investigate and respond to reports of sexual assault, stalking, and dating or domestic violence, and to publish policies and procedures related to the way these reports are handled. Northwestern has designated the Title IX Coordinator, with assistance of the Deputy Title IX Coordinators, to coordinate Northwestern's compliance with Title IX and VAWA and to respond to reports of violations. The University has directed its Clery Program Manager to coordinate Northwestern's compliance with the Clery reporting related VAWA requirements. A person may also file a

complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling 1-800- 421-3481. Employees may also file a charge with the Equal Employment Opportunity Commission regarding an alleged violation of Title VII by calling 1-800-669-4000 or visiting www.eeoc.gov/employees/howtofile.cfm. Employees may also file a charge with the Illinois Department of Human Rights (IDHR) regarding an alleged violation of the Illinois Human Rights Act by calling 1-800-662-3942 or 1-866-740-3953 (TTY). In addition, after the IDHR has completed its investigation of the complaint, an appeal process is available through the Illinois Human Rights Commission, which can be contacted by calling 312-814-6269 or 312-814-4760 (TTY).

POTENTIAL CONSEQUENCES FOLLOWING A FINDING OF A POLICY VIOLATION

1. Sanctions

When a final determination is made that an individual has violated this policy, as determined by the Complaint Resolution Process in Section III, the appropriate sanctions are determined based on several factors, including the severity of the conduct and any prior policy violations. Sanctions and corrective actions can include, but are not limited to:

- Verbal warning
- Written warning
- Advisory letter
- Conduct review
- Disciplinary hold on academic and/or financial records
- Performance improvement/management process
- Required counseling or coaching
- Required training or education
- Campus access restrictions
- Referral to the Fitness for Duty process
- No trespass order issued by NUPD (with respect to campus locations)
- No-contact directive (with respect to an individual)
- Loss of privileges
- Loss of title and/or honors

- Loss of oversight, teaching or supervisory responsibility
- Probation
- Demotion
- Loss of pay increase
- Decrease in pay
- Transfer (employment)
- Revocation of offer (employment or admissions)
- Disciplinary suspension
- Suspension with pay
- Suspension without pay
- Expulsion
- Termination of employment
- Revocation of tenure
- Termination of contract (for contractors)

The University may assign other sanctions as appropriate in each particular situation. Sanctions and corrective actions will be imposed in accordance with relevant policies and/or procedures and other requirements set forth in the applicable Staff Handbook, Faculty Handbook, Student Handbook, other policies or handbooks that may be developed over time, or contracts. In addition to imposing sanctions, the University may take steps to remediate the effects of a violation on the impacted parties and others.

2. Remedies

Remedies refers to measures provided to a Complainant where a determination of responsibility for Title IX Sexual Harassment has been made against the Respondent. After a final decision is made that an individual has violated this policy as determined by the Complaint Resolution Process in Section III, the University may also offer additional measures, and/or take other action, to eliminate any hostile environment caused by the Title IX Sexual Harassment, prevent the recurrence of any Title IX Sexual Harassment, and remedy the effects of the Title IX Sexual Harassment on the Complainant and the University community. Remedies will be provided to persons who have experienced Title IX Sexual Harassment as reasonably necessary to restore or preserve access to the University's Education Programs or Activities. Remedies that may be offered or provided to a Complainant may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, other changes to academic, living,

dining, transportation, and working situations, honoring an order of protection or no contact order entered by a State civil or criminal court, and other similar measures. The University may provide other remedies as appropriate in each particular situation. However, remedies need not be non-disciplinary or non-punitive and need not avoid burdening the Respondent.

RELATED INFORMATION

University policies and procedures

- [*Policy on Institutional Equity*](#)
- [*Faculty Handbook*](#)
- [*Non-Retaliation*](#)
- [*Policy on Minors at Northwestern*](#)
- [*Policy on Consensual Romantic or Sexual Relationships between Faculty, Staff and Students*](#)
- [*Staff Handbook*](#)
- [*Student Handbook*](#)

Other information

- [*Department of Education Office for Civil Rights complaint forms*](#)
- [*EthicsPoint*](#)
- [*Resource Guide on Non-Title IX Sexual Misconduct Matters*](#)
- [*Resource Guide for Respondents in Non-Title IX Sexual Misconduct Matters*](#)
- [*Sexual Misconduct Response & Prevention resource page*](#)
- [*University Police Annual Security & Fire Safety Report*](#)
- [*University Police Guarantee for Sexual Assault Victims*](#)

HISTORY

This policy was enacted on August 14, 2020 and updated on September 1, 2021.

POLICY URL

Policy URL

www.northwestern.edu/equity/documents/interim-policy-on-title-ix.pdf

RESOURCES²

Confidential Support, Advocacy, and Counseling Resources

The following Confidential Resources are available for individuals to discuss incidents and issues related to Title IX Sexual Harassment on a confidential basis. Confidential Resources are not obligated to disclose reports of Title IX Sexual Harassment to the Title IX Coordinator for the University (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

Confidential Resources can provide information about University and off-campus resources, support services and other options. As noted above, because of the confidential nature of these Resources, disclosing information to or seeking advice from a Confidential Resource does not constitute making a report or complaint to the University and will not result in a response or intervention by the University. A person consulting with a Confidential Resource may later decide to make a report to the University and/or law enforcement.

The Medical Resources in Section II(B) are also Confidential Resources and are not obligated to disclose reports of Title IX Sexual Harassment to the Title IX Coordinator for the University (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

On-Campus **Confidential** Resources

2. For additional information, see *Northwestern's Resource Guide on Title IX Sexual Harassment* (<http://www.northwestern.edu/sexual-misconduct/docs/TitleIX-ResourceGuide.pdf>). Print copies are available by contacting the Office of Equity, at (847) 467-6165.

CARE: Center for Awareness, Response & Education^{3,4*}

CARE is a confidential space for students impacted by sexual violence, relationship violence, or stalking, including friends or partners of survivors. CARE can be an advisor through the University complaint resolution process. Advocates can provide a space to process, ask questions, safety plan, and learn more about the impact of trauma. CARE also hosts a trauma support group and can connect with legal and medical advocacy, free counseling, and support groups on and off campus.

Phone: (847) 491-2054

Evanston Campus: 633 Emerson Street, 3rd Floor

Email: care@northwestern.edu

Website: www.northwestern.edu/care

6. Note: Some staff and faculty may be confidential resources in some aspect of their work for the University (e.g. physicians), but are subject to the University's reporting obligation for information learned in connection with their work for the University outside of a confidential relationship. For example, physicians are confidential resources with respect to information shared with them by patients, but are obligated to report sexual misconduct of which they become aware through work not related to patient care, such as work in labs, classrooms, or student advising.

CAPS: Counseling and Psychological Services*

Provides counseling services to students, also provides a counselor on call 24 hours a day.

Evanston Campus: 633 Emerson Street, 2nd Floor

Phone: (847) 491-2151 (24-hours)

Chicago Campus: Abbott Hall, 5th Floor
710 N. Lake Shore Drive

Phone: (847) 491-2151 (24-hours)

Website: www.northwestern.edu/counseling/

Religious & Spiritual Life

Provides spiritual guidance for students and other members of the University community.

Evanston Campus: 1870 Sheridan Road

Phone: (847) 491-7256

Website: spiritual.life@northwestern.edu
www.northwestern.edu/religious-life/

3. CARE is designated as the University's confidential advisor under the Illinois Preventing Sexual Violence in Higher Education Act.

** Note: Some staff and faculty may be Confidential Resources in some aspect of their work for the University (e.g. physicians), but are subject to the University's reporting obligation for information learned in connection with their work for the University outside of a confidential relationship. For example, physicians are Confidential Resources with respect to information shared with them by patients, but are obligated to report sexual misconduct of which they become aware through work not related to patient care, such as work in labs, classrooms, or student advising.*

Faculty Wellness Program*

Provides free consultations for faculty members to identify appropriate resources for personal and professional concerns. Resources may be offered over the phone, or faculty members can meet with the Faculty Wellness Program director for further discussion.

Contact: Director
Gaurava Agarwal, MD

Email: gagarwal@nm.org

Website: www.northwestern.edu/provost/faculty-resources/work-life/well-being-resources/faculty-wellness.html

Employee Assistance Program

Provides confidential crisis intervention and short-term counseling for faculty and staff, as well as their household family members at no cost.

Phone: (855) 547-1851 (24 hours)

Website: <https://www.northwestern.edu/hr/benefits/well-being/programs/employee-assistance-program/index.html>

Office of the Ombudsperson

Provides confidential and informal assistance for resolving university-related concerns, is independent of the university's formal administrative structure, and considers all sides of an issue in a neutral manner.

Contact: ombuds@northwestern.edu

Website: www.northwestern.edu/ombuds/

Off-Campus **Confidential** Resources

Hotlines

All hotlines provide 24 hour (7 days/week) crisis counseling and information regarding sexual assault, dating violence, and stalking. Survivors and friends of survivors can call.

Note: the hotlines can also provide information on local hospitals, such as what hospitals will have a victim advocate or SANE (Sexual Assault Nurse Examiner) available.

Chicago Metro Rape Crisis Hotline (YWCA): (888) 293-2080

Chicago Domestic Violence Line: (877) 863-6338

Evanston Domestic Violence Line (YWCA): (877) 718-1868

RAINN: Rape, Abuse & Incest National Network (800) 656-HOPE
hotline.rainn.org/
(online hotline)

Center on Halsted (LGBTQ Services)

Services include: counseling services; connecting individuals with professional help, law enforcement, agencies, services, and other providers.

Main Office: 3656 N. Halsted St, Chicago
(7 days a week, 8 a.m. to 9 p.m.)

LGBTQ Violence (773) 472-6469
Resource Line: (Monday to Friday, 9 a.m. to 5 p.m.)

Website: www.centeronhalsted.org/

in*power (LGBTQ Survivor Support Services)

Services include: STI testing and treatment, short-term case management, linkage to community resources, holistic health referrals, support groups for young people and adults, legal advocacy

Main Office: 4025 N. Sheridan Rd, Chicago

Phone: (773) 388-1600 ext 3680

Email: in.power@howardbrown.org

Website: <http://www.howardbrown.org/inpower/>

Resilience (Formerly known as Rape Victim Advocates)

Services include: medical and legal advocacy, counseling services (individual and group). Services are free for survivors or friends/partners of survivors.

Main Office: 180 N. Michigan Ave, Suite 600, Chicago

Phone: (312) 443-9603

Website: www.ourresilience.org

YWCA- Evanston

Services include: counseling and support for survivors of dating/ domestic violence, legal advocacy, and residential services (emergency shelter)

Location: 1215 Church St, Evanston

Phone: (847) 864-8445

Website: www.ywca-ens.org

Life Span Center for Legal Services and Advocacy

Services include (for survivors of DV and SV and stalking): legal services, legal advocacy (i.e. assistance with Orders of Protection, etc.), and counseling

Location: 70 E. Lake Street, Suite 600, Chicago,

Phone: (312) 408-1210

Email: life-span@life-span.org

Referrals Website: www.life-span.org

Center for Contextual Change

Referrals for survivors of sexual and domestic/dating violence: individual and group counseling.

Referrals for perpetrators of sexual and domestic/dating violence: individual and group counseling

Location: 9239 Gross Point Road, #300, Skokie

Phone: (847) 676-4447 x304 (for appointments or a confidential assessment)

Website: www.centerforcontextualchange.org

Apna Ghar

Services include: 24/7 crisis line, legal advocacy, counseling, emergency shelter

Location: 4350 North Broadway, 2nd Floor
Chicago, IL 60613

Phone: (773) 334-4663

Website: www.apnaghar.org

Mujeres Latinas en accion

Services include: counseling, legal advocacy, medical advocacy

Location: 2124 West 21st Place
Chicago, IL 60608

Phone: (773) 890-7676

Website: www.mujereslatinasenaccion.org

Greenlight Family Services (Formerly Porchlight Counseling Services)

Services include: free counseling for survivors of sexual and/or domestic/dating violence

Phone: (773) 750-7077
(confidential helpline and intake)

Website: greenlightfamilyservices.org/services/counseling

KAN-WIN

Services include: (multi-lingual) free counseling, legal advocacy (assistance with protective orders/court accompaniment), and immigration protection for Asian-American or Asian immigrant survivors of sexual and/or domestic violence.

Location: Offices in Chicago and Park Ridge

(773) 583-1392 (Chicago)
Phone: (847) 299-1392 (Park Ridge)
24-hour Hotline: (773) 583-0880

Website: www.kanwin.org

DC Rape Crisis Center

Services include: Individual & group counseling (English and Spanish); a 24-hour crisis hotline; community education & outreach

Location: PO Box 42734
Washington, DC 20015

Business: 202-232-0789
Phone: TTY: 202-328-1371
Hotline: 202-333-7273

Website: dcrcc.org/

Network for Victim Recovery of DC

Services include: free case management and legal services to victims of crime

Location: 6856 Eastern Avenue NW
Washington, DC 20012

Phone: (202) 742-1727

Email: info@nvrdc.org

Website: nvrdc.org

M.U.J.E.R. (Miami)

Services include: 24-hour hotline, information and referral, crisis intervention, advocacy and accompaniment, crisis counseling, medical referrals, and case management.

Location: 27112 South Dixie Highway
Naranja, FL 33032

Helpline/Hotline: (305) 763-2459
(305) 247-1388

Website: www.mujerfla.org

Survivors' Pathway (Miami)

Services include: counseling and social services

Location: 1801 Coral Way, Suite 200
Miami, Florida 33145

Phone: (786) 275-4364

Website: survivorspathway.org

San Francisco Women Against Rape

Services include: 24-hour crisis hotline, counseling and support groups, legal advocacy, medical accompaniment and advocacy, and case management

Location: 3543 18th Street #7
San Francisco, CA 94110

Phone: (415) 861-2024
(415) 647-7273 (24-hour hotline)

Website: sfwar.org

Trauma Recovery Center (San Francisco)

Services include: medical services for acute sexual assault and support services to survivors of interpersonal violence.

Location: 2727 Mariposa Street, Suite 100
San Francisco, CA 94110

Phone: (415) 437-3000

Website: traumarecoverycenter.org/

Seeking Confidential Medical Assistance

Experiencing any form of Title IX Sexual Harassment can be difficult and overwhelming. Individuals often experience a range of emotions, including fear, anxiety, and confusion, and may be unsure of what they want to, or should, do next. Regardless of whether the individual chooses to report the incident to the University and/or to law enforcement, the University strongly encourages individuals who believe they are victims of Sexual Assault, Dating Violence, Domestic Violence, or Stalking to seek medical attention as soon as possible, even if they feel no injury was sustained. Medical assistance providers can treat visible physical injuries and identify injuries that may not be visible, and, where appropriate, also address concerns regarding sexually transmitted infections and pregnancy, and provide emergency contraception (if requested). In addition, a hospital can test for the presence of alcohol or drugs (e.g., “date rape” drugs) and perform a rape evidence collection procedure (see Section II(D)(2)), which are also strongly recommended to preserve all legal remedies.

As noted above, the Medical Resources in Sections II(B) are also Confidential Resources and are not obligated to disclose reports of Title IX Sexual Harassment to the Title IX Coordinator for the University (under any circumstance) or law enforcement (except in very limited situations, such as when failure to disclose the information would result in imminent danger to the individual or to others or as otherwise required by law).

1. Medical Services Available On or Near the Evanston and Chicago Campuses

Northwestern University Health Services⁴ <i>Evidence collection kit cannot be provided; CARE staff can be contacted to provide support services, if desired. (See Section II(A) for more information on CARE).</i>	
Evanston Campus:	633 Emerson Street, Evanston
Phone:	(847) 491-8100 (RN call service available 24 hours)
Website:	www.northwestern.edu/healthservice-evanston/ (for regular hours of operation and 24-hour emergency contact info)
Chicago Campus:	675 North St. Clair Suite 18-200, Chicago
Phone:	(312) 695-8134
Website:	www.northwestern.edu/healthservice-chicago/index.html (for regular hours of operation and 24-hour emergency contact info)
NorthShore University Health System/ Evanston Hospital, Emergency Dept. (24 hours) <i>Evidence collection kit available at no charge; Evanston Police Victim Services advocate can be present to provide support services, if desired.</i>	
Location:	2650 Ridge Avenue, Evanston
Phone:	(847) 570-2111 (emergency room)
Website:	www.northshore.org/locations/our-hospitals/evanston-hospital/ (for more information or to request an appointment online)

Northwestern Memorial Hospital, Emergency Department (24 hours)

Evidence collection kit available at no charge; Advocate from Resilience will be present to provide support services, if desired.

Location: 251 E Huron Street, Chicago

Phone: (312) 926-2000 (emergency room)

Website: www.nm.org/locations/northwestern-memorial-hospital
(for more information)

4.. All staff in University Health Services (including team athletic trainers and team physicians) and staff in the Office of Health Promotion and Wellness are considered confidential resources.

Amita Health St. Francis Hospital, Emergency Services (24 hours)

Evidence collection kit available at no charge; Evanston Police victim services advocate can be present to provide support services, if desired.

Location: 355 Ridge Avenue, Evanston

Phone: (847) 316-4000

Website: www.amitahealth.org/location/ami-ta-health-saint-francis-hospital-evanston-emergency-room

Under Illinois law, medical personnel are required to alert police when it reasonably appears that the person requesting treatment has sustained an injury as a victim of a criminal offense, including sexual assault or violence, but individuals have the right to refuse to speak to police.

2. Medical Services Available Near the Miami, Florida Campus

Jackson Memorial Hospital Roxcy Bolton Rape Treatment Center (5.8 miles from campus)

Evidence collection kit available at no charge.

Location: 1611 NW 12th Avenue Institute Annex 1st Floor, Miami

Phone: (305) 585-7273

Website: <https://jacksonhealth.org/locations/roxcy-bolton-rape-treatment-center/>

3. Medical Services Available Near the Washington, D.C. Campus

MedStar Washington Hospital Center (2.9 miles from campus)

Evidence collection kit available at no charge via DC Forensic Nurse Examiners.

Location: 110 Irving Street NW, Washington, D.C.

Phone: (202) 877-7000

Website: www.medstarwashington.org/

4. Medical Services Available Near the San Francisco Campus

Zuckerberg San Francisco General Hospital (7 miles from campus)

Evidence collection kit available at no charge; additional/follow-up services available via their Rape Treatment Center.

Location: 1001 Potrero Avenue, San Francisco

Phone: (628) 206-8000

Website: zuckerbergsanfranciscogeneral.org/

Preserving Physical Evidence

Many Title IX Sexual Harassment offenses also are crimes in the state or locality in which the incident occurred. For that reason, individuals who believe they are victims of Sexual Assault, Dating Violence, Domestic Violence, or Stalking often have legal options that they can pursue. For example, an individual may seek a protective order from a court against the perpetrator(s); pursue a civil action against the perpetrator(s); and/or participate in a law enforcement investigation and criminal prosecution of the perpetrator(s). Regardless of whether an incident of Sexual Assault, Dating Violence, Domestic Violence, or Stalking is reported to the police or the University, Northwestern strongly encourages individuals who have experienced such conduct to preserve evidence to the greatest extent possible, as this will best preserve all legal options for them in the future.

Additionally, such evidence may be helpful in pursuing a complaint with the University. While the University does not conduct forensic tests for parties involved in a complaint of Title IX Sexual Harassment, results of such tests that have been conducted by law enforcement agencies and medical assistance providers may be submitted as evidence that may be considered in a University investigation or proceeding, provided they are available at the time of the investigation or proceeding.

Below are suggestions for preserving evidence related to an incident of Sexual Assault, Dating Violence, Domestic Violence, or Stalking. It is important to keep in mind that each suggestion may not apply in every incident:

General physical evidence preservation suggestions:

- In order to best preserve their legal options in the future, individuals should consider not altering, disposing of, or destroying any physical evidence of the incident.
- If there is suspicion that a drink may have been drugged, an individual should inform a medical assistance provider and/or law enforcement as soon as possible so they can attempt to collect possible evidence (e.g., from the drink, through urine or blood sample).
- Individuals can preserve evidence of electronic communications by saving them and/or by taking screen shots of text messages, instant messages, social networking pages, or other electronic communications, and by keeping pictures, logs, or copies of documents that relate to the incident and/or perpetrator.
- Even if individuals choose not to make a complaint with the University, they may consider speaking with University Police or other law enforcement to preserve evidence. Please note that, as University employees, University Police would have to inform the Title IX Coordinator of any reports of Title IX Sexual Harassment of which they are made aware.

Physical evidence preservation suggestions specific to Sexual Assault:

- Because some evidence, particularly evidence that may be located on the body, dissipates quickly (within 48-96 hours), individuals who have been sexually assaulted and wish to preserve evidence should go to a hospital or medical facility immediately to seek a medical examination and/or evidence collection. Under Illinois law, any cost for an emergency medical or forensic examination for a victim of sexual violence that is not covered by private insurance or Illinois Public Aid will be covered by the Illinois Department of Healthcare and Family Services, and should not be billed to the patient.
- An individual who has been sexually assaulted and wishes to preserve evidence should, if possible, not shower, bathe, douche, smoke, brush teeth, eat, drink, use the bathroom, or change clothes or bedding before going to the hospital or seeking medical attention.
- If the individual who has been sexually assaulted decides to change clothes or bedding and wishes to preserve evidence, they should not wash the clothes worn or bedding used during the assault, and should bring them to a hospital, medical facility, or the police in a non-plastic (e.g., paper) bag.
- In Illinois, individuals who have been sexually assaulted may allow the collection of evidence even if they choose not to make a report to law enforcement. After the evidence is collected, Illinois law requires hospital staff to store it for two weeks. A sexual assault evidence collection kit may not be released by an Illinois hospital without written consent from the survivor.

Educational Training, Awareness, and Prevention Programs

The University offers a variety of training, awareness, and prevention programs to help prevent Title IX Sexual Harassment within the Northwestern community. The University strives to ensure that such programming is developed to be culturally relevant; trauma informed; inclusive of diverse communities and identities; sustainable; responsive to community needs; informed by research or assessed for value, effectiveness, and outcome; and considerate of environmental risk and protective factors as they occur on the individual, relationship, institutional, community, and societal levels.

Additionally, the University will ensure that University officials acting under this policy, including but not limited to the Title IX Coordinator, investigators, decision makers, University provided advisors, and appeal reviewers receive training in compliance with 34 C.F.R. §106.45(b) (1)(iii), the Illinois Preventing Sexual Violence in Higher Education Act, and any other applicable state or federal law.

For information on educational training, awareness, and prevention programs offered each year, see:

www.northwestern.edu/sexual-misconduct/education/index.html.

TITLE IX SEXUAL HARASSMENT COMPLAINT RESOLUTION PROCESS

Introduction

The procedures below outline the process the University follows when it receives a report alleging a violation of the *Interim Policy on Title IX Sexual Harassment* committed by a member of the Northwestern community. For the purposes of this Policy, “by a member of the Northwestern community” means current students (as defined by the Student Handbook), current faculty (as defined by the Faculty Handbook), current staff members, and current third-party affiliates who have a formal (including contractual) relationship with the University.

The procedures below do not apply to reports alleging violations of this policy committed by visitors to campus or by former students, former faculty, former staff members, or former third-party affiliates. The procedures below also do not apply to Sexual Harassment that occurs outside the geographic boundaries of the United States. As indicated above, misconduct occurring outside of the jurisdiction of this policy may be addressed by other University policies, which may include but are not necessarily limited to the University’s [Policy on Institutional Equity](#).

The Office of Equity (“the Office”) is responsible for handling reports alleging violations of this policy. University groups, including student groups, and departments are expected to report to the Office of Equity any concerns of Title IX Sexual Harassment of which they become aware, and are not to take independent action to seek to resolve any such concerns or reports. All reports will be handled in a prompt, fair, and impartial manner in accordance with Title IX, *the Violence Against Women Act*, *the Illinois Preventing Sexual Violence in Higher Education Act*, and other relevant laws and regulations, applicable University policies, and this process.

The process described below is Northwestern’s internal University process to determine whether Northwestern’s policy was violated and is not a court system. As such, Northwestern’s process does not use the same rules of procedure and evidence as those used by courts or law enforcement. **A person who has experienced Title IX Sexual Harassment or any potential crime has the right to simultaneously file and pursue both a criminal complaint with law enforcement and a complaint with the University if they choose, and to be assisted by the University in notifying law enforcement authorities if they choose, or to decline to notify such authorities.** Parties may also have options to file civil actions in court.

Response to Reports

As explained in Section I(F)(1)(a) above, upon receipt of a report, an Office of Equity staff member will contact the person who may have been impacted by the concern. The outreach from the Office of Equity staff member will generally include information about: medical and confidential counseling and support resources; options for filing a Formal Complaint and/or reporting the incident to law enforcement; how to request a protective order or no-contact directive; how to request Supportive Measures from the University with or without filing a Formal Complaint; how to preserve evidence; and where to access more information. The outreach will also include an invitation to meet with or provide additional information to an Office of Equity staff member. [Note: The Process for response to Formal Complaints is detailed below in Section F.]

The Office may, in its discretion, reopen a case in the future as appropriate and if additional information becomes available. The closure of a case at the preliminary assessment stage does not prevent the Office from making non-punitive, educational outreach to those involved.

Offer of Supportive Measures

The University will offer and make available Supportive Measures to the Complainant regardless of whether the Complainant elects to file a Formal Complaint.

In the event a Formal Complaint is filed, contemporaneously with the Respondent being notified, the Office of Equity will notify the Respondent of the availability of Supportive Measures for the Respondent. The University will offer and make available Supportive Measures to the Respondent in the same manner in which it offers and makes them available to the Complainant. The University will also offer and make available Supportive Measures to the Respondent prior to the Respondent being notified of a Formal Complaint, if the Respondent requests such measures.

The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University's ability to provide the Supportive Measures in question.

Formal Complaint

A Complainant may file a Formal Complaint with the Office of Equity requesting that the University investigate and adjudicate a report of Title IX Sexual Harassment in accordance with the provisions of this section. At the time the Complainant submits a Formal Complaint, the Complainant must be participating in, or attempting to participate in, one or more of the University's Education Programs or Activities.

A Complainant may file a Formal Complaint with the Office of Equity in person, by regular mail, or by email using the contact information specified in Section I(F) above, or by using the Formal Complaint form available at bit.ly/NUFormalTitleIXComplaint. No person may submit a Formal Complaint on the Complainant's behalf.

In cases where an individual reporting Title IX Sexual Harassment requests anonymity or does not wish to file a Formal Complaint, the University will attempt to honor that request but, in some cases, the Title IX Coordinator may determine that the University needs to proceed with an investigation and will thereby sign a Formal Complaint.

The Office will consider the following factors in reaching a determination on whether to have the Title IX Coordinator sign a Formal Complaint:

- The totality of the known circumstances;
- The nature and scope of the alleged conduct, including whether the reported behavior involves the use of a weapon;
- The respective ages and roles of the Complainant and Respondent;
- The risk posed to any individual or to the campus community by not proceeding, including the risk of additional violence;
- Whether there have been other reports of other prohibited conduct or other misconduct by the Respondent;
- Whether the report reveals a pattern of misconduct (e.g., via illicit use of drugs or alcohol) at a given location or by a particular group;
- The Complainant's interest in the University's not pursuing an investigation or disciplinary action and the impact of such actions on the Complainant;
- Whether the University possesses other means to obtain relevant evidence;
- Fairness considerations for both the Complainant and the Respondent;
- The University's obligation to provide a safe and non-discriminatory environment; and
- Any other available and relevant information.

Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or otherwise a party for purposes of the investigation and adjudication processes. In such cases, the University will not compel an individual to participate, but will proceed with the available information. In all cases where a Formal Complaint is filed, the Complainant will be treated as a party, irrespective of the party's level of participation.

Consolidation of Formal Complaints

The University may consolidate the investigation of Formal Complaints as to allegations of Title IX Sexual Harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other party, where the allegations of Title IX Sexual Harassment arise out of the same facts or circumstances. Where the investigation and adjudication process involve more than one Complainant or more than one Respondent, references in this policy to the singular "party," "Complainant," or "Respondent" include the plural, as applicable. A Formal Complaint of Title IX Retaliation may be consolidated with a Formal Complaint of Title IX Sexual Harassment.

Additionally, the University may consolidate the investigation of a Formal Complaint as to allegations of Title IX Sexual Harassment and allegations of conduct covered by other University policies if arising out of the same or similar circumstances, and/or the allegations are substantially related.

Initial Inquiry and Dismissal Prior to Commencement of Investigation

In a case where the Complainant files a Formal Complaint, the Office of Equity will conduct an initial inquiry. An initial inquiry is an assessment by the Office of Equity as to whether the allegations, if substantiated, would rise to the level of a violation of University Policy; a determination of the specific policy implicated; and an assessment of appropriate University response.

Following an initial inquiry, possible next steps include:

- ***Dismiss the Formal Complaint:*** If the conduct alleged in the Formal Complaint would not constitute a violation of this policy even if proved, if it did not occur in Northwestern's Education Program or Activities, or did not occur against a person in the United States, the Office of Equity must dismiss the Formal Complaint with regard to that conduct under this policy.

Such a dismissal does not preclude action under other University policies.

In the event the Office of Equity determines the Formal Complaint must be dismissed pursuant to this Section, the Office of Equity will provide written notice of dismissal, including the reasons for the dismissal, to the parties and advise them of their right to appeal pursuant to the appeal procedures detailed below. The Office of Equity may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination for purposes of this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal. The dismissal of a case does not prevent the office from making non-punitive, educational outreach to those involved.

- **Restorative resolution.**⁵ In matters where a Formal Complaint has been filed and has passed initial inquiry, the parties may elect to resolve the matter through the University's Restorative Justice Program. Restorative resolution is voluntary and the University will not require parties to engage in this process. Parties interested in restorative resolution will receive a written notice disclosing: the allegations, the requirements of the restorative process including the circumstances under which it precludes the parties from resuming a Formal Complaint arising from the same allegations, and notice that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the Complaint Resolution Process with respect to the Formal Complaint. In the event a party withdraws from the restorative process, records from the restorative process will not be shared with those investigating the matter but may be maintained by the Restorative Justice Program. All parties will be asked to provide voluntary, written consent to the restorative process before it begins. This process will not be used to resolve allegations that an employee sexually harassed a student.
- **Open an investigation:** If the conduct alleged in the Formal Complaint passes initial inquiry or the Title IX Coordinator has signed a Formal Complaint, and the parties have not elected restorative resolution, the office will proceed with a formal investigation and hearing under these procedures.

5. The University's Restorative Justice Program is currently in development. The restorative resolution option will become available upon the launch of the program.

Investigation

The University invites parties to participate fully in all aspects of the investigation and hearing processes outlined below.

Notification

Within seven (7) calendar days of completing an initial inquiry resulting in the opening of an investigation, the Office of Equity will provide

written notice to the parties who are known that includes:

- Notice of Northwestern's complaint resolution process.
- Sufficient details of the allegations known at the time so that the parties may prepare a response before an initial interview with the investigator(s), including:
 - The identifies of the parties involved in the incident, if known;
 - The conduct alleged to constitute Title IX Sexual Harassment under this policy; and
 - The date and location of the incident(s), if known.

The notice will include statements that the Respondent is presumed not responsible for the alleged conduct; the Complainant is presumed to have brought forward the complaint in good faith; and a determination regarding responsibility is made at the conclusion of the complaint resolution process.

The written notice will inform the parties of their right to inspect and review evidence as specified in Section III(G)(5) below, and that they may have an advisor of their choice, who may be, but is not required to be, an attorney.

The written notice will inform the parties of the University's prohibitions on retaliation and knowingly making false statements or knowingly submitting false information during the complaint resolution process.

If, in the course of an investigation, the University decides to investigate additional allegations about the Complainant or Respondent that arise that were not included in the initial notice, the Office of Equity will provide notice of the additional allegations to the parties whose identities are known pursuant to the requirements above.

Dismissal of Formal Complaint During Investigation or Adjudication

The University may dismiss a Formal Complaint or any allegations therein at any point during the investigation or hearing process if:

- The Complainant requests to withdraw the Formal Complaint or any discrete allegations therein (in which case those discrete allegations may be dismissed) by contacting the Title IX Coordinator in writing. The Title IX Coordinator or designee will determine whether to dismiss the Formal Complaint or allegations or conclude the investigation and hearing without the Complainant's continued participation.
- The Respondent is no longer enrolled or employed by the University, as the case may be; or

- Specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint, or any discrete allegations therein (in which case those discrete allegations may be dismissed).

In the event the Title IX Coordinator determines that a Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal, including the reasons for the dismissal, to the parties and advise them of their right to appeal as specified in Section III(I). The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination as it pertains to this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

Investigation Process

The Office of Equity investigates Formal Complaints. Depending upon the circumstances, the Office of Equity may assign one or more investigators from the Office of Equity. In some cases, an investigator from another University office may conduct the investigation under the direction of the Office of Equity, or an outside investigator may be retained. All investigators are trained on Title IX and the University's policies and procedures. Depending on the circumstances and in its discretion, the University may consolidate or sever for investigation and/or resolution allegations involving this and other University policies involving the same Respondent and/or Complainant. Any alleged violations of this policy will be investigated and resolved pursuant to the process articulated by this policy.

During the investigation, the investigator(s) will identify, elicit, and gather evidence related to the alleged misconduct, including inculpatory and exculpatory evidence. The burden of gathering evidence sufficient to reach a determination in the adjudication of whether or not a policy determination has occurred lies with the University and not with the parties. However, it is important for all individuals involved in an investigation to identify relevant evidence it would like the University to consider.

During the investigation, the Complainant will have the opportunity to describe their allegations and present supporting evidence to the investigator(s). The Respondent will have the opportunity to hear the allegations, respond to them, and present supporting evidence to the investigator(s).

Investigation meetings are not audio or video recorded by the University, and may not be recorded by any participant. Parties and witnesses may take notes during investigation meetings. The Complainant and the Respondent will have an equal opportunity to present names of potential witnesses and to propose questions the investigator(s) might ask the other party or witnesses. Complainants and Respondents

may identify potential factual and/or expert witnesses but may not present character witnesses. The investigator(s) will take the witness lists provided by the Complainant and Respondent into consideration when identifying the witnesses they will interview and what questions they might ask each witness, but these decisions are solely within the investigator's discretion. The investigator(s) retains discretion to limit the number of witness interviews the investigator(s) conducts if the investigator(s) finds that testimony would be unreasonably cumulative, if the witnesses are offered solely as character references and do not have information relevant to the allegations at issue, or if the witnesses are offered to render testimony that is categorically inadmissible, such as testimony concerning sexual history of the Complainant. The investigator(s) may also choose to interview other witnesses not identified by the parties. The investigator(s) will not restrict the ability of the parties to gather and present relevant evidence on their own.

Generally, the investigator(s) will meet with each party and each witness separately and may hold multiple meetings with a party to obtain all necessary information. The parties may submit additional materials or information to the investigator(s) at any time before the conclusion of the investigation. In all cases, both the Complainant and Respondent will have equal opportunities to share information and have their information considered. The Complainant, Respondent, and witnesses should be advised that for their statements to be considered, they must participate in the live-hearing.

Information about treatment records and other privileged information appears in Section III(K) below.

Parties and witnesses whose participation is invited or expected at any interview or other meeting as part of the investigation will receive written notice of the date, time, location, participants, and purpose of all such investigative interviews or other meetings, with sufficient time for the party to prepare to participate.

Investigation Timeline

Though the University strives to resolve all cases in a prompt and timely manner, the timeline and length of each investigation may vary based on the totality of the circumstances of the case, including breaks in the academic calendar, availability of the parties and witnesses (including due to a leave of absence), the scope of the investigation, the need for supportive measures, and unforeseen or exigent circumstances. Although the length of each investigation will vary, the University strives to complete the investigation portion of the resolution process within ninety (90) calendar days of sending the written notice of Formal Complaint. The timeline for the hearing portion of the resolution process is explained below.

The parties will be periodically updated on the status of the investiga-

tion. In cases where there is a simultaneous law enforcement investigation, the University may need to temporarily delay its investigation while law enforcement gathers evidence. However, the University investigation will generally proceed with its investigation and resolution of a Formal Complaint during any law enforcement investigation.

Opportunity to Inspect and Review Evidence

At the conclusion of the evidence-gathering phase of the investigation but prior to the completion of the investigation report, the investigator(s) will provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint. This includes evidence upon which Northwestern may choose not to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence, whether obtained from a party or other source. The investigator(s) will send this evidence, in either electronic or hard copy form, to each party and each party's advisor, if any. The parties may each submit to the investigator(s) a written response including comments, feedback, or any other information they deem relevant, comprising up to twenty (20) pages, within ten (10) calendar days after the evidence is made available for their review. The Title IX Coordinator or designee may, in their discretion, waive or extend the page or time limit for the written response. The investigator(s) will consider the written responses prior to completing the investigation report.

The parties and their advisors are permitted to review the evidence solely for the purposes of this grievance process and may not photograph or disseminate the evidence.

Investigative Report

After the period for the parties to provide any written response to the evidence has expired, the investigator(s) will create a written investigative report that fairly summarizes the relevant evidence collected (both inculpatory and exculpatory). The Office of Equity will provide a copy of the investigative report to each party and each party's advisor, if any, in either electronic or hard copy form.

HEARINGS

Purpose

The purpose of the hearing is for the University's decision maker to resolve any outstanding issues of contested facts, assess the credibility of parties and witnesses, and using a preponderance of the evidence standard, determine whether it is more likely than not that a policy violation or violations occurred.

Appointment of Decision Maker

Upon completion of the investigation, the Title IX Coordinator will promptly appoint a trained decision maker, who cannot be the same person as the Title IX Coordinator or investigators, who will oversee the hearing process and render a determination of responsibility for the allegations in the Formal Complaint, at the conclusion of the hearing process. The Title IX Coordinator will see that the decision maker is provided a copy of the investigative report and a copy of all evidence transmitted to the parties by the investigator(s).

Hearing Notice and Response to the Investigation Report

After the decision maker is appointed by the Title IX Coordinator, the Office of Equity will promptly transmit written notice to the parties notifying the parties of the decision maker's appointment; setting a deadline for the parties to submit any written response to the investigation report; setting a date for the pre-hearing conference; setting a date and time for the hearing; and providing a copy of the University's Hearing Procedures. Neither the pre-hearing conference, nor the hearing itself, may be held any earlier than ten (10) calendar days from the date of transmittal of the written notice specified in this Section.

A party's written response to the investigative report must include:

- To the extent the party disagrees with the investigative report, any argument or commentary regarding such disagreement;
- Any argument that evidence should be categorically excluded from consideration at the hearing based on privilege, relevancy, the prohibition on the use of sexual history specified in Section III(L), or for any other reason;
- A list of any witnesses that the party contends should be requested to attend the hearing pursuant to an attendance notice issued by the decision maker;
- A list of any witnesses that the party intends to bring to the hearing without an attendance notice issued by the decision maker;
- Any objection that the party has to the University's Hearing Procedures;
- Any request that the parties be separated physically during the pre-hearing conference and/or hearing;
- Any other accommodations that the party seeks with respect to the pre-hearing conference and/or hearing;
- The name and contact information of the advisor who will accompany the party at the pre-hearing conference and hearing;
- If the party does not have an advisor who will accompany the party at the hearing, a request that the University provide an advisor for purposes of conducting questioning as specified in Section III(J).
- A party's written response to the investigation report may also

include:

- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence; and
- Argument regarding whether any of the allegations in the Formal Complaint constitute Title IX Sexual Harassment.

Pre-Hearing Conference

Prior to the hearing, the decision maker will conduct a pre-hearing conference with the parties and their advisors. The pre-hearing conference will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. However, upon request of either party, the parties will be separated into different rooms with technology enabling the parties to participate simultaneously and contemporaneously by video and audio.

In the decision maker's discretion, the pre-hearing conference may be conducted virtually, by use of video and audio technology, where all participants participate simultaneously and contemporaneously by use of such technology.

During the pre-hearing conference, the decision maker will discuss the hearing procedures with the parties; address matters raised in the parties' written responses to the investigation report, as the Case Resolution Coordinator deems appropriate; discuss whether any stipulations may be made to expedite the hearing; discuss the witnesses the parties have requested be served with notices of attendance and/or witnesses the parties plan to bring to the hearing without a notice of attendance; and resolve any other matters that the decision maker determines, in the decision maker's discretion, should be resolved before the hearing.

Issuance of Notices of Attendance

After the pre-hearing conference, the decision maker or the Office of Equity will transmit notices of attendance to any University employee or student whose attendance is requested at the hearing as a witness, at least ten (10) calendar days prior to the hearing. The notice will advise the subject of the specified date and time of the hearing and advise the subject to contact the decision maker immediately if there is a material and unavoidable conflict.

The subject of an attendance notice should notify any manager, faculty member, coach, or other supervisor, as necessary, if attendance at the hearing will conflict with job duties, classes, or other obligations. All such managers, faculty members, coaches, and other supervisors are required to excuse the subject of the obligation, or provide some other accommodation, so that the subject may attend the hearing as specified in the notice.

The University will not issue a notice of attendance to any witness who is not an employee or a student.

Participation

Parties and witnesses will be asked to attend the hearing where they may be questioned by the decision maker and cross-examined by a party's advisor. In the event that a party or witness does not appear at or answer questions at the hearing, the decision maker will rely on relevant evidence available through the investigation and hearing in making the ultimate determination of responsibility. The Decision-maker may not draw any inference solely from a party's or witness's absence from the hearing or refusal to submit to cross-examination or answer other questions.

Format

The decision maker will facilitate the hearing process. The hearing will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. At Northwestern's discretion, the live hearing may be conducted in-person, with the decision maker, the parties, the advisors, witnesses, and other necessary University personnel together in the same physical location, or any or all parties, witnesses, and other participants may appear at the hearing virtually, with technology enabling them to participate simultaneously and contemporaneously. At the request of either party, the live hearing will occur with the parties located in separate rooms with technology enabling the decision maker and parties to simultaneously see and hear the party or the witness answering questions. The parties will not be compelled to be present or testify in the same physical location as the other party.

An audio or audiovisual recording or transcript will be made of the live hearing, and the recording or transcript will be made available to the parties for inspection and review upon request.

The hearing will proceed as follows:

- a. The decision maker will begin by asking questions of each witness.
- b. After the decision maker's questioning of a witness, the advisors may then cross-examine the witness, asking all relevant questions and follow-up questions, including those challenging credibility. The advisors will have the opportunity to conduct this questioning directly, orally, and in real time.
- c. The decision maker will then ask questions of the Complainant.
- d. The Respondent's advisor may then cross-examine the Complainant, asking all relevant questions and follow-up questions, including those challenging credibility.
- e. The decision maker will then question the Respondent.
- f. The Complainant's advisor may then cross-examine the Respon-

dent, asking all relevant questions and follow-up questions, including those challenging credibility.

- g.** At their discretion, the decision maker may ask additional follow up questions of each party after cross examination concludes.

If a party does not have an advisor present at the hearing, the University will provide an advisor of the University's choice to ask questions prepared by the party on the party's behalf. The parties will not be permitted to question the other party directly.

Except as otherwise permitted by the decision maker, the hearing will be closed to all persons except the parties, their advisors, the investigator(s), the decision maker, the Title IX Coordinator or designee, and other necessary University personnel. With the exception of the investigator(s) and the parties, witnesses will only be present during their testimony.

During the hearing, the parties and their advisors will have access to the investigation report and evidence that was transmitted to them pursuant to Section III(G)(5) and III(G)(6).

While a party has the right to attend and participate in the hearing with an advisor, a party and/or advisor who materially and repeatedly violates the rules of the hearing in such a way as to be materially disruptive, may be barred from further participation and/or have their participation limited, as the case may be, in the discretion of the decision maker.

Subject to the minimum requirements specified in this Section, the decision maker will have sole discretion to determine the manner and particulars of any given hearing, including with respect to the length of the hearing, the order of the hearing, and questions of admissibility.

The hearing is not a formal judicial proceeding and strict rules of evidence do not apply. The decision maker will have discretion to modify the Hearing Procedures, when good cause exists to do so, and provided the minimal requirements specified in this Section are met.

Relevancy of Questions

Only relevant cross-examination and other questions may be asked of a party or witness. The decision maker will determine the relevancy of all questions asked during the hearing. Before a Complainant, Respondent, or witness answers a cross-examination or other question, the decision maker must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Parties and advisors may not challenge these determinations during the hearing. The decision maker must permit each party's advisor to ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. Questions that are

duplicative or repetitive of those already asked may be deemed not relevant and thus excluded.

Deliberation and Determination Regarding Responsibility

After the hearing is complete, the decision maker will objectively evaluate all relevant evidence collected during the investigation, including both inculpatory and exculpatory evidence, together with testimony and non-testimony evidence received at the hearing, and ensure that any credibility determinations made are not based on a person's status as a Complainant, Respondent, or witness. The decision maker will take care to exclude from consideration any evidence that was ruled inadmissible at the pre-hearing conference, during the hearing, or by operation of Sections III(K) or III(L). The decision maker will resolve disputed facts using a preponderance of the evidence (i.e., "more likely than not") standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

Sanctions and Remedies

In the event the decision maker determines that the Respondent is responsible for violating this policy, the decision maker will, prior to issuing a written decision, consult with the appropriate University personnel with disciplinary authority over the Respondent and such personnel will determine any sanctions to be imposed:

- For student Respondents, in the event a policy violation is found, the decision maker will consult with a UHAS Sanctioning Panel comprised of three faculty or staff members.
- For staff Respondents, in the event a policy violation is found, the decision maker will consult the HR Business Partner and the Respondent's manager or unit leader.
- For faculty Respondents, in the event a policy violation is found, the decision maker will consult with a faculty sanctioning panel.

The decision maker will also, prior to issuing a written decision, consult with the Title IX Coordinator who will determine whether and to what extent ongoing Supportive Measures or other remedies will be provided to the Complainant. All consultation should occur within seven (7) calendar days of the hearing.

Written Decision

After reaching a determination and consulting with the appropriate University personnel and Title IX Coordinator, the decision maker will issue a written determination regarding responsibility applying the preponderance of the evidence standard within seven (7) calendar days of a decision. The written determination will be provided to the parties simultaneously and will include:

- Identification of the allegations potentially constituting Title IX Sexual Harassment and, if applicable, other University policy violations;
- A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
- Findings of fact supporting the determination;
- Conclusions regarding the application of Northwestern's policy to the facts;
- A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility for each separate potential incident;
- Any disciplinary sanctions imposed on the Respondent;
- Whether remedies designed to restore or preserve equal access to the recipient's Education Program or Activity will be provided to the Complainant; and the procedures and permissible bases for the Complainant and Respondent to appeal.

The determination regarding responsibility becomes final either on the date that the appeal reviewer provides the parties with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

The Title IX Coordinator is responsible for effective implementation of any remedies.

APPEALS

Either party may appeal the dismissal of a Formal Complaint or any allegations therein or the determination regarding responsibility. The only bases for appeal are as follows:

- Procedural irregularity that affected the outcome of the matter;
- New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
- The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
- The sanction is disproportionate with the violation.

A party must file an appeal within ten (10) calendar days of the date the dismissal or hearing determination is issued. The appeal must be submitted in writing to the appropriate appeal reviewer identified below.

The appeal is not a rehearing of the case; it is a written statement specifically stating the grounds for the appeal and any supporting information. If either party submits an appeal, the other party will be notified in writing that the appeal has been filed, provided with a copy of the appeal, and given ten (10) calendar days to submit a written response. A written response is limited to fifteen (15) pages. The relevant appeal reviewer may, in their discretion, adjust the time limit for the appeal and/or response.

In the event sanctions were imposed, the sanctions will be stayed pending resolution of an appeal.

Appeals will be handled by the following reviewers, who may delegate the review of an appeal to a designee, and will delegate review in any case in which they cannot serve as an impartial reviewer.

An appeal of a finding in a complaint against a student should be addressed to:

Associate Dean/Director of Community Standards

Location: Scott Hall
601 University Place
Evanston, IL 60208

Email: lucas.christain@northwestern.edu

An appeal of a finding in a complaint against a faculty member should be addressed to:

Associate Provost for Faculty

Location: Rebecca Crown Center
633 Clark Street
Evanston, IL 60208

Phone: (847) 491-8543

Email: assoc-prov-faculty@northwestern.edu

An appeal of a complaint against a staff member⁶ or third-party affiliate should be addressed to:

Vice President for Human Resources	
Location:	720 University Place Evanston, IL 60208
Phone:	(847) 491-7505
Email::	lorraine.goffe@northwestern.edu

The appeal is solely conducted via written statements. Neither the Respondent nor the Complainant will be allowed to request an in-person meeting with the appeal reviewer. In an extraordinary circumstance, the appeal reviewer may request an in-person meeting with the Complainant and Respondent. Should the appeal reviewer request a meeting with one party, a meeting will also be requested with the other party.

In the event the appeal includes the appeal of a sanction, the appeal reviewer will, prior to issuing a written decision, consult with the appropriate University personnel with disciplinary authority over the Respondent and such officials will evaluate any sanctions to be imposed:

- For student Respondents, in the event of an appeal of a sanction, the appeal reviewer will consult with a UHAS Appeals Panel comprised of three faculty or staff members.
- For staff Respondents, in the event of an appeal of a sanction, the appeal reviewer will consult with the HR Business Partner and the Respondent's manager or unit leader.
- For faculty Respondents, in the event of an appeal of a sanction, the appeal reviewer will consult with the Executive Committee of the Faculty Appeals Panel who will review the basis of the appeal. The Executive Committee may review all documentation from the investigation and sanctioning process and any appeal statements received from the parties, and it may pose questions of the Office of Equity and the Sanctioning Panel if needed. The Committee may, at its discretion, call individual meetings with the faculty member and complainant or any other individual with firsthand information. The Executive Committee will make their recommendation to the Provost as to whether one or more of the grounds of the appeal has been met. The Provost will then make a decision whether to uphold the Sanctioning Panel's decision and what sanctions to impose. The Provost's decision is final.

The written decision on an appeal will be issued simultaneously to the parties as expeditiously as possible, usually within seven (7) calendar days of making a decision, though this may vary based on the scope of the appeal or unforeseen circumstances. The reviewer may review the full case, beyond the aspects of the case outlined in the request for appeal. If the reviewer does not find that any of the three grounds for appeal are present in the case, the outcome will be upheld. If the reviewer finds that any of the grounds for appeal are present in the case, they may amend the outcome, may issue a new outcome, or may refer the matter back to the decision maker for further consideration. No further review beyond the appeal is permitted.

Advisor of Choice

From the point a Formal Complaint is made, and until an investigation, adjudication, and appeal are complete, the Complainant and Respondent will have the right to be accompanied by an advisor of their choice to all meetings, interviews, and hearings that are part of the investigation, adjudication, and appeal process. The advisor may be, but is not required to be, an attorney.

Except for the questioning of witnesses during the hearing specified in Section III(H)(7), the advisor will play a passive role and is not permitted to communicate on behalf of a party, insist that communication flow through the advisor, or communicate with the University about the matter. In the event a party's advisor of choice engages in material violation of the parameters specified in this Section, the University may preclude the advisor from further participation, in which case the party may select a new advisor of their choice.

While a party has the right to attend and participate in the hearing with an advisor, an advisor who materially and repeatedly violates the rules of the hearing in such a way as to be materially disruptive, may be barred from further participation and/or have their participation limited, as the case may be, in the discretion of the decision maker.

In the event a party is not able to secure an advisor to attend the live hearing specified in Section III(H), the University will provide the party an advisor, without fee or charge, who will conduct questioning on behalf of the party at the hearing. The University will have sole discretion to select the advisor it provides. The advisor the University provides may be, but is not required to be, an attorney.

The University is not required to provide a party with an advisor in any circumstance except where the party does not have an advisor present at the hearing specified in Section III(H) and requests that the University provide an advisor.

Treatment Records and Other Privileged Information

During the investigation and adjudication processes, the investigator(s) and adjudicator, as the case may be, are not permitted to access, consider, disclose, permit questioning concerning, or otherwise use:

- A party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the party; or
- Information or records protected from disclosure by any other legally-recognized privilege, such as the attorney client privilege;

unless the University has obtained the party's voluntary, written consent to do so for the purposes of the investigation and adjudication process.

Notwithstanding the foregoing, the investigator(s) and/or adjudicator, as the case may be, may consider any such records or information otherwise covered by this Section if the party holding the privilege affirmatively discloses the records or information to support their allegation or defense, as the case may be.

Sexual History

During the investigation and adjudication processes, questioning regarding a Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. Notwithstanding the foregoing, a Complainant who affirmatively uses information otherwise considered irrelevant by this Section for the purpose of supporting the Complainant's allegations, may be deemed to have waived the protections of this Section.

Neutrality

From the time a report or Formal Complaint is made, a Respondent is presumed not responsible for the alleged misconduct until a determination regarding responsibility is made final; the Complainant is presumed to have brought forward the complaint in good faith, and a conclusion will not be made until the resolution process concludes.

Bad Faith Complaints and False Information

It is a violation of this policy for any person to submit a report or Formal Complaint that the person knows, at the time the report or Formal Complaint is submitted, to be false. It is also a violation of this policy for any person to knowingly make a materially false statement during

the course of an investigation, adjudication, or appeal under this policy. Violations of this Section are not subject to the investigation and adjudication processes in this policy; instead, they will be addressed under the appropriate University policies.

Deadlines, Notices, and Method of Transmittal

All deadlines and other time periods specified in this policy are subject to modification by the University where, in the University's sole discretion, good cause exists. Good cause may include, but is not limited to, the unavailability of parties or witnesses; the complexities of a given case; extended holidays or closures; sickness of the investigator(s), adjudicator, or the parties; unforeseen weather events; and the like.

Any party who wishes to seek an extension of any deadline or other time period may do so by filing a request with the investigator(s), decision maker, administrative officer, appeal reviewer, or Title IX Coordinator, as the case may be, depending on the phase of the process. Such request must state the extension sought and explain what good cause exists for the requested extension. The University officer resolving the request for extension may, but is not required to, give the other party an opportunity to object. Whether to grant such a requested extension will be in the sole discretion of the University.

The parties will be provided written notice of the modification of any deadline or time period specified in this policy, along with the reasons for the modification.

Unless otherwise specified in this policy, the default method of transmission for all notices, reports, responses, and other forms of communication specified in this policy will be email using University email addresses.

A party is deemed to have received notice upon transmittal of an email to their University email address. In the event notice is provided by mail, a party will be deemed to have received notice three (3) calendar days after the notice in question is postmarked.

Any notice inviting or requiring a party or witness to attend a meeting, interview, or hearing will be provided with sufficient time for the party to prepare for the meeting, interview, or hearing as the case may be, and will include relevant details such as the date, time, location, purpose, and participants. Unless a specific number of days is specified elsewhere in this policy, the sufficient time to be provided will be determined in the sole discretion of the University, considering all the facts and circumstances, including, but not limited to, the nature of the meeting, interview, or hearing; the nature and complexity of the allegations at issue; the schedules of relevant University officials; approaching holidays or closures; and the number and length of extensions already granted.

Privacy and Sharing of Information

The University considers reports and investigations to be private matters for the parties involved. All participants in an investigation will be informed that privacy helps enhance the integrity of the investigation, protect the privacy interests of the parties and protect the participants from statements that might be interpreted to be retaliatory or defamatory. Witnesses and advisors will be asked to keep any information learned in an investigation meeting confidential, to the extent consistent with applicable law. While the University will maintain confidentiality specified in this Section, the University will not limit the ability of the parties to discuss the allegations at issue in a particular case. Parties are advised, however, that the manner in which they communicate about, or discuss a particular case, may constitute Title IX Sexual Harassment or Retaliation in certain circumstances and be subject to discipline pursuant to the processes specified in this policy.

The University will keep confidential the identity of any individual who has made a report or Formal Complaint of Title IX Sexual Harassment or Retaliation including any Complainant, the identity of any individual who has been reported to be a perpetrator of Title IX Sexual Harassment or Retaliation including any Respondent, and the identity of any witness, to the extent possible. The University will also maintain the confidentiality of its various records generated in response to reports and Formal Complaints, including, but not limited to, information concerning Supportive Measures, notices, investigation materials, adjudication records, and appeal records, to the extent possible. Notwithstanding the foregoing, the University may reveal the identity of any person or the contents of any record if permitted by FERPA, if necessary to carry out the University's obligations under Title IX and its implementing regulations including providing Supportive Measures, conducting any investigation, adjudication, or appeal under this policy or any subsequent judicial proceeding, or as otherwise required by law. Further, notwithstanding the University's general obligation to maintain confidentiality as specified herein, the parties to a report or Formal Complaint will be given access to investigation and adjudication materials in the circumstances specified in this policy.

Note that certain types of Title IX Sexual Harassment are considered crimes for which the University must disclose crime statistics in its Annual Security Report that is provided to the campus community and available to the public. These disclosures will be made without including personally identifying information.

Conflicts of Interest, Bias, and Procedural Complaints

Neither the Title IX Coordinator nor any investigator, decision maker, or appeal reviewer will make findings or determinations in a case in which they have a material conflict of interest or material bias. Any party who believes one or more of these University officials has a potential material conflict of interest or material bias must raise the concern to

the Title IX Coordinator within two (2) calendar days of discovering the perceived conflict so that the University may evaluate the concern and find a substitute, if appropriate. The parties will be notified of the identities of the decision maker and appeal reviewer for their proceeding before those individual(s) initiate contact with either party. The Title IX Coordinator or designee will determine whether a conflict of interest exists. The failure of a party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal specified in Section III(l) or otherwise.

Standard of Evidence

The University uses the preponderance of the evidence standard. This means that the hearing process determines whether it is more likely than not that a violation of the policy occurred.



