




Northwestern



STUDENT  
HANDBOOK  
2016-17

# INTRODUCTION

The Northwestern community extends you a warm welcome. Your time here should be one of tremendous growth, exploration, and learning, but within the boundaries of guidelines that protect your rights as well as those of your fellow community members.

This handbook describes the expectations for behavior and conduct in the Northwestern community and outlines the procedures to be followed when these expectations are not met. It is your road map, containing the policies and procedures that will guide you as a student while you live and grow in this community of scholars at Northwestern University.

The first statements in this booklet were created by Northwestern students, faculty, and staff working together to define community at Northwestern and to outline our shared principles and values. One aspect of the community is described this way:

A university is a disciplined community, a place where individuals accept their obligations to others and where well-defined governance procedures guide behavior for the common good.

- Freedom is balanced with duty.
- Integrity and honesty are expected.
- Consideration for the needs and rights of others is the norm.
- Disagreement and conflict are acknowledged in respectful discourse.<sup>1</sup>

*To paraphrase Italian philosopher and theologian Thomas Aquinas (c. 1225–74), policies are an organized set of principles designed and written for the common good, put forth by those who care for the community.<sup>2</sup> While some will think of this booklet as a collection of policies, those policies are really the expectations for behavior that we have agreed upon as a community.*

So once again, welcome to the Northwestern community. And welcome to our community of shared principles and values.

<sup>1</sup> Ernest Boyer (1990), *Campus Life: In Search of Community*. San Francisco: Jossey Bass.

<sup>2</sup> Thomas Aquinas, *Summa Theologiae*, I–II, q. 90, art. 4.

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# THE COMMUNITY AT NORTHWESTERN

One goal of a university education is to help you develop as a unique individual—to be educated as a whole person, intellectually, emotionally, socially, ethically, and spiritually. Your development and learning as an individual occur, in part, when you engage in relationships with others and in activities that optimally challenge you. To enhance your growth and learning, become actively involved in the life of the Northwestern community. Engage your fellow students, faculty, staff, and Northwestern’s various communities of interests and form relationships that both challenge and support your growth.

Your journey of individual development does not occur in isolation; it takes place within a dynamic learning community. As a large, complex, and diverse institution, Northwestern attempts to balance its needs—to foster freedom for individual growth, to support its various communities of interests, and to fulfill its broader teaching and research mission. What principles should guide our mutual efforts to meet the diverse needs within our learning community? A group of students presented these statements, as a work in progress for further discussion and study, and for your thoughtful consideration as a member of the Northwestern community.



## Statement of Community Principles and Values

Northwestern University is an educationally purposeful community, a place where faculty and students share academic goals and work together to strengthen teaching and learning on campus.

- Commitment to truth and knowledge is unwavering.
- Respect for individual achievement and excellence is the cornerstone.
- Lifelong learning is expected.

Northwestern University is an open community, a place where civility is powerfully affirmed and where freedom of expression is uncompromisingly protected.

- Civility and respect are expected behaviors.
- Individuality is affirmed while all strive to build a stronger sense of campus community.
- Freedom of choice is balanced with responsibility to the community.



Northwestern University is a just community, a place where the sanctity of the person is honored and where diversity is aggressively pursued.

- Individual differences and unique perspectives are respected.
- Our common humanity is the basis for community relations.
- Inclusion is the foundation for decision making.

Northwestern University is a disciplined community, a place where individuals accept their obligations to others and where well-defined governance procedures guide behavior for the common good.

- Freedom is balanced with duty.
- Integrity and honesty are expected.
- Consideration for the needs and rights of others is the norm.
- Disagreement and conflict are acknowledged in respectful discourse.

Northwestern University is a caring community, a place where the well-being of each member is sensitively supported and where service to others is encouraged.

- “Do no harm to others” is a nonnegotiable value.
- Accurate self-understanding is the foundation for empathy, compassion, and understanding others.
- Social responsibility and an ethic of service to others are extended to all members of the community.
- Emotional, physical, and spiritual wellbeing is cultivated in academic and extracurricular life.

Northwestern University is a celebrative community, one in which the heritage of the institution is remembered and where rituals affirming both tradition and change are widely shared.

- History, traditions, and the contributions of the past are honored.
- Unique cultural and ceremonial practices are affirmed.
- Individual religious and spiritual beliefs are accepted.

<sup>3</sup>Adapted from Ernest Boyer (1990), *Campus Life: In Search of Community*. San Francisco: Jossey Bass.

## Rights and Responsibilities of the Northwestern Community

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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.

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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 student chartered campus 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 20) 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

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# 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](http://www.northwestern.edu/provost/students/integrity).

## Academic Failure

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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 excluded by vote of the faculty of the college or school in which the student is enrolled or by a committee or board that has been delegated such responsibility by that college or school. A student shall be notified in writing no later than the middle of a term that, because of unsatisfactory work in a previous term or terms, he or she is subject to exclusion in the event of unsatisfactory work during the term for which the notice is issued. In the absence of written and timely notice the student may request and then shall be granted a hearing by the faculty (or its committee or board) before the student is excluded.

## Academic Integrity

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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; or (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; or (b) providing false information in connection with any inquiry regarding academic integrity.
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.

In addition to the policies outlined above, the following policy applies to student use of classroom, laboratory, and other academic materials. Students have a limited right to use classroom, laboratory, and other academic materials generated by students in the instructional process, including lecture notes, for personal, educational purposes. Students may not use or disseminate these materials for their own or others' commercial use or gain, however, without the express consent of the appropriate faculty.

### ***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 charges 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.
3. A defined period of probation, with or without the attachment of conditions.
4. Withdrawal of University funding.
5. A defined period of suspension, with or without the attachment of conditions.
6. Exclusion from the University.
7. Notation on the official record.
8. Revocation of an awarded degree.
9. Any appropriate combination of 1–8 above.

*(Additional sanctions may include, but are not limited to, denial of academic honors. It should also 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 permanently excluded as a result of a first-time offense.)*







STUDENT CODE  
OF CONDUCT

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STUDENT CODE OF CONDUCT





## STATEMENT OF EXPECTATIONS

As members of the University community, all students, groups of students, and 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 Student Conduct, please see page 98.



## 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 students' 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 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 student organizations.

# GROUPS AND ORGANIZATIONS

Groups of students and student 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 student organizations, as well as their members and officers, may be held collectively and/or individually responsible for violations of the Code of Student Conduct or other University policies.

### 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 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 and other drugs that apply to Northwestern Students. Northwestern's full Policy on Drugs and Alcohol can be found here: [www.northwestern.edu/alcohol-resources/about-us/biennial-review/index.html](http://www.northwestern.edu/alcohol-resources/about-us/biennial-review/index.html).

#### 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 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 45 (as is applicable by housing type).

Resources for students experiencing alcohol related concerns or who have alcohol related questions can be found here:

[www.northwestern.edu/alcohol-resources/get-help/](http://www.northwestern.edu/alcohol-resources/get-help/)

### Other Drugs

Misconduct related to illegal drugs and controlled substances (including marijuana, medical marijuana, 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.

**Additional Information Regarding Drugs:** Although Illinois' Compassionate Use of Medical Cannabis Pilot Program Act (H.B. 1) allows patients to possess and consume limited amounts of marijuana for certain medical conditions, this state law conflicts with federal laws governing marijuana. Northwestern is subject to the federal Drug-Free Schools and Communities Act Amendments, which mandates campus communities be free of controlled substances (including marijuana). Therefore, the use, possession, manufacture, cultivation, dissemination, or being under the influence of medical marijuana on University property or at University-related activities is and shall remain prohibited.

### **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, focused on the wellbeing of themselves and their peers. When students/groups believe that assistance for an intoxicated/impaired individual (including themselves) is needed to ensure the student's wellbeing, it is critical that they take responsible action and seek that assistance. To encourage students to take responsible action when necessary, the University will not hold students who take such action (for themselves or for others), or for whom such action is taken, accountable for violations of the University's alcohol or 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, help 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 help 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 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 will receive a notice from the Office of Student Conduct and are expected to attend a meeting with a staff member regarding the incident.

If it is determined through this meeting that the student followed all required steps to be eligible for Amnesty through Responsible Action, the student will not be found responsible 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. Amnesty through Responsible Action applies only to alcohol and other drug related policies. If other policy violations occurred, or may have occurred, the student 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 must agree to timely completion of any recommended assessment, educational assignment, and/or treatment. Serious or repeated incidents will prompt a higher degree of medical concern and action. 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 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 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 be found responsible for a subsequent violation of University policy, the University Hearing and Appeals System (UHAS) panel or hearing officer(s) will be informed of any Amnesty through Responsible Action the student has received for the purposes of determining an effective outcome.

## Destruction of Property

- a. Destroying, damaging, defacing, or vandalizing property.
- b. Urinating or defecating in public view or in a public space; or in any space not intended for such purpose.

## Discrimination and Harassment

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, or any other classification protected by law in matters of admissions, employment, housing, services, or in the educational programs or activities it operates.

Harassment, whether verbal, physical, or visual, that is based on any of any of these characteristics is a form of discrimination. This includes harassing conduct affecting tangible job benefits, interfering unreasonably with an individual's academic or work performance, or creating what a reasonable person would perceive is an intimidating, hostile, or offensive environment. Prohibited sex discrimination includes sexual harassment and sexual violence. (See policy on Sexual Misconduct for more detail).

Examples of discrimination and harassment may include:

- Refusing to hire or promote someone because of the person's protected status
- Demoting or terminating someone because of the person's protected status
- Teasing or practical jokes directed at a person based on the person's protected status
- Jokes or epithets about a person's protected status
- Displaying or circulating written materials or pictures that degrade a person or group
- Verbal abuse or insults about, directed at, or made in the presence of an individual or group of individuals in a protected group

The University's full Policy on Discrimination and Harassment and Title IX Statement can be found at [www.northwestern.edu/sexual-harassment/university-policies/discrimination/](http://www.northwestern.edu/sexual-harassment/university-policies/discrimination/). A brochure with all of this information can be found and printed at [www.northwestern.edu/sexual-harassment/docs/discrimbrochure.pdf](http://www.northwestern.edu/sexual-harassment/docs/discrimbrochure.pdf).

## Disruption and Demonstration Policy

Northwestern University supports freedom of speech, freedom of inquiry, freedom of dissent, and freedom to demonstrate in a peaceful fashion. University community members have a corresponding responsibility to welcome and promote this freedom for all, even in disagreement or opposition. Students also share a responsibility to maintain an atmosphere conducive to scholarly pursuits, to preserve the dignity and seriousness of University ceremonies and public exercise, and to respect the rights of all individuals.

To allow for this freedom while also respecting the University's operations, the following guidelines for student disruption and demonstration are in place:

- a. An individual, group, or organization may not cause or allow to continue any loud, unnecessary, or unusual noise that disturbs the peace of others, including violations of residence hall quiet hours or Evanston noise ordinances. All outdoor events/activities are subject to requirements outlined in Northwestern's Outside Events protocol, [www.northwestern.edu/norris/events/event-management/outdoor-event-requests/index.html](http://www.northwestern.edu/norris/events/event-management/outdoor-event-requests/index.html).
- b. An individual, group, or organization may not deprive others of peace or comfort, participation in a University activity, threaten use of force against any community member, or otherwise interfere with their function within the University.
- c. An individual, group, or organization may not disrupt the regularly scheduled activities of the University, such as classes, research, learning, meetings, interviews, ceremonies, emergency services, University business; co-curricular activities; University or public events; or the use of campus facilities that would impede the carrying forward of any of these activities.
- d. An individual, group, or organization may not obstruct movement around the campus, including but not limited to, the entrance to or egress from any campus building, facility, or pathway.
- e. All events are subject to the requirements and limitations of the event's location, including room occupancy, [www.northwestern.edu/fm/campus/classroom-catalog/](http://www.northwestern.edu/fm/campus/classroom-catalog/). All events must comply with building safety codes, [www.northwestern.edu/risk/services/building-inspections.html](http://www.northwestern.edu/risk/services/building-inspections.html).

- f. Placards, banners, and signs are usually allowed. However, if they obstruct the view of those assembled or if a University official finds these items to be endangering other members of the community, the carrier of the item will be asked to relocate or remove their item.
- g. While the University recognizes the right to voluntary assembly, members of the university community must recognize that pickets, demonstrations, mass assemblies, and protests shall be confined to campus areas. Private property adjacent to university campuses is not appropriate for such activities and may be subject to other restrictions by third parties and/or police (e.g. Medical Center facilities, Northwestern Memorial Hospital, residential property, etc.).

Furthermore, all individuals, groups, and organizations have an obligation to leave a University location when instructed to do so by the Dean of Students or designee, the Dean on Call, and/or University Police. Students have an obligation to identify themselves when requested by the Dean of Students or designee, Dean on Call, and/or University Police in connection with enforcing the guidelines above.

Individuals, groups, or organizations that violate the guidelines set forth above will be subject to discipline or educational invention under the University Hearing and Appeal System. In addition, violations of law or city ordinances may result in legal action or criminal proceedings.

## Event Registration and Oversight

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For registration of a demonstration, protest, or similar event, notify the Dean of Students Office ([www.northwestern.edu/studentaffairs/dos/](http://www.northwestern.edu/studentaffairs/dos/), lower level of Scott Hall, [dos@northwestern.edu](mailto:dos@northwestern.edu), 847-491-8430). Student organizations must follow event guidelines and register their events, [www.northwestern.edu/norris/events/event-management/index.html](http://www.northwestern.edu/norris/events/event-management/index.html). All participants in such events must adhere to the Student Code of Conduct: [www.northwestern.edu/student-conduct/student-code-of-conduct/index.html](http://www.northwestern.edu/student-conduct/student-code-of-conduct/index.html).

The Dean on Call generally assumes the responsibility of ensuring that all events are properly managed and run smoothly. Furthermore, the Dean on Call will actively attempt to preserve open discourse. The Dean of Students Office, [www.northwestern.edu/studentaffairs/dos/](http://www.northwestern.edu/studentaffairs/dos/), or Campus Life, [www.northwestern.edu/campuslife/](http://www.northwestern.edu/campuslife/), are in place to assist individuals, groups, or organizations in planning events. The University advises students to utilize these resources in order to increase the effectiveness of their event and decrease the likelihood of disruption disciplinary violations.

## Counter-protest

A protest, demonstration, or event on campus may cause further dissent resulting in a counter-protest. When such an occasion arises, it is the responsibility of the University as well as all involved to allow for the freedom of expression from all individuals. Please note that a separate protest area may be designated by the Dean of Students Office or designee. In order to ensure the safety of all participants, University Police may require the attendance of one or more officers. University Police presence at events is aimed at ensuring the safety and security of all participants, including those exercising their right to protest and dissent.

## 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).



## Failure to Comply

Failure to comply promptly with the reasonable request or instruction of a University official or emergency personnel acting in an official capacity, including, but not limited to, refusing to provide identification, refusing to dispose of or turn over to University authorities prohibited items, failing to respond, or leaving the scene of an incident.

## Fire Safety

Acts that jeopardize the safety or security of the University, the University community, or any University facilities, building, or premises, including

- a. Intentionally damaging or destroying property by fire or explosives;
- b. 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;
- c. 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;
- d. 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;



- e. 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
- f. Violations of state or local fire and fire-related ordinances.

## Guests and Visitors

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Knowingly allowing one's visitors or guests to violate this Student Code of Conduct or other University policies, or failing to monitor the behavior of one's visitors or guests to assure their adherence to such standards.

## Hazing

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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.



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.

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;
- 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.

Acceptance of or consent to an activity on the part of a new member or individual does not justify participation in or sponsorship of the activity. Any violation of this policy should be reported to the Dean of Students Office (847.491.8430), the Office of Student Conduct (847.491.4582), or online via NUhelp at [www.northwestern.edu/nuhelp](http://www.northwestern.edu/nuhelp)

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

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*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 Center for Student Involvement at [hazingprevention@northwestern.edu](mailto: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

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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

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Misconduct related to the student conduct process (University Hearing and Appeals System) or a Title IX 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 Student Rights and Responsibilities in UHAS on page 95;
- 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 student 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 conduct administrator, including, but not limited to, failure to comply with a no-contact directive.

## Misrepresentation

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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;



## Sexual Misconduct

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Violations of the University's policy on Sexual Misconduct including, but not limited to,

- a. Sexual penetration without consent;
- b. Sexual contact without consent;
- c. Incest;
- d. Statutory rape;
- e. Sexual exploitation;
- f. Stalking;
- g. Dating and domestic violence; and
- h. Sexual harassment.

## Unauthorized Taking

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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)

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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

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

## Weapons and Related Items

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Misconduct related to firearms, weapons of any description, explosives, or dangerous substances and devices (including, but not limited to, ammunition, air or pellet guns, paintball guns, slingshots, knives, firecrackers, fireworks, dangerous chemicals, or any other object or substance designed to or used with the intent to inflict a wound or cause injury, or imitations or replicas of any such items), 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. When considering the sanctions to be imposed, a range of factors may be considered, including the

- nature, context, and severity of an incident,
- developmental needs of the student,
- level of accountability and responsibility taken by the student,
- level of cooperation from the student,
- need to stop the misconduct and prevent its recurrence,
- need to remedy and address the impact or effects of the conduct on others,
- disciplinary history of the student,
- 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 additionally aggravating factors.

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, Exclusion, 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 reenroll.

## Disciplinary Sanctions (Individual)

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**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 (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.

**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.

**Exclusion.** Exclusion is exactly as is outlined above for Expulsion with one exception. The exception is that a student who is excluded must be separated from the University for a minimum of two years. After this time, a student may reapply to the University. To reenroll, an excluded student must receive formal acceptance of their application by the Office of Admission and approval from the vice president for student affairs, or designee.

A student who is excluded after having satisfied all degree requirements will not be awarded their degree until two years have passed and (i) they have completed any other conditions imposed for reentry, (ii) reapplied to the University, and (iii) received formal acceptance of their application by the Office of Admission and approval of the vice president for student affairs, or designee. The student may not participate in commencement exercises until the time their degree is conferred.

**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 (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; however, this may be extended to the planned degree completion date of a reporter to ensure that a respondent is not a student at the same time as a reporter.

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 hearing officers or panel.

***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, exclusion, 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.

***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.

**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.

**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 hearing officer/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)

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

***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.

***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 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 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 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.



**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)

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**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.

**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 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 next page).

**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 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.

**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 in the group's co-programming with other groups or organizations on campus; and
- Additional conditions as deemed appropriate by the hearing officer/panel.

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

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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 Student Conduct.

## 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 Student Conduct 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, exclusion, 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, exclusion, 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. Disciplinary matters resolved by the Office of Student Conduct are not recorded on a student's transcript.

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.





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UNIVERSITY PL.

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CHAPIN

HALL

The Residential Center  
Humanities Residential College  
Northwestern University

NO BICYCLE PARKING

NO BICYCLE PARKING  
Violators Will Be Removed

# RESIDENCE HALL AND HOUSING POLICIES AND PROCEDURES





## POLICY FOUNDATION

Underlying Northwestern's residence hall policies and procedures are three basic assumptions:

1. Certain policies and procedures are necessary to guarantee each student the opportunity to take full advantage of Northwestern's academic and co-curricular programs.
2. Most residents are mature, rational adults and will use common sense and consideration in their dealings with others.
3. Policies are necessary to ensure the physical and psychological security and safety of all residents.

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. Failure to comply with any University policies and procedures, including those outlined here, will result in action through the student conduct system, known as the University Hearing and Appeals System, as is outlined on page 91 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.



# DECLARATION OF RESPONSIBLE LIVING

Members of the residential community at Northwestern University agree to the following Bill of Rights and Social Contract.



## Resident Rights and Responsibilities

The basic rights of a resident include:

- The right to read, study, and live free from undue interference, unreasonable 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 smokefree environment;
- Except when there is a significant threat to health or safety or violation of University policy, the right to access one's room and to the facilities provided in the residence hall;
- 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.

## The Social Contract

The basic responsibilities of a resident include:

- Treating other residents with respect and consideration and guaranteeing them their individual rights;
- Understanding all policies necessary for the hall community to function and abiding by those policies (contained in the Student Handbook, Residence Hall policies and procedures, housing contract, and other official University publications and postings);
- Being responsive to all reasonable requests from fellow students;
- Being responsive and cooperative in all dealings with residence hall staff members and other University officials; and
- Accepting responsibility for personal and community safety; e.g., refraining from misusing safety equipment, propping open security doors, lending, losing, forgetting, or duplicating keys or access devices.



# 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 outline in the Student Code of Conduct and all other University policies. Residents are responsible for the activities that occur in their room, regardless of whether they are present or not. When policy violations occur in a room, the University may follow up with all residents of that room. 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 housing 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](http://www.northwestern.edu/living/about-us/policies/index.html).

## Access, Keys, and Key Cards

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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/key cards to anyone for any reason. Any duplication of University keys/key cards is strictly prohibited. Replacements for lost keys must be obtained from the neighborhood 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 \$196. If a key card is lost, there is a \$25 replacement fee. Replacing other keys such as front door keys, security door keys, and mailbox keys may have additional charges. If a key is broken, it will be replaced without charge, provided the portion of the key with the identification numbers is returned to the neighborhood desk. Damaged key cards must be reported to the Wildcard office to avoid a \$15 replacement fee.

2. Any student vacating a residence hall for any reason—including, but not limited to, withdrawal from the University, moving to a different residence hall, vacating the building for Winter Break, and vacating the hall at the end of the academic year in June—must return all keys within 48 hours. Failure to return any key 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.
3. 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

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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 residence hall (except as specifically authorized by Residential Services)
6. No alcohol is permitted in any undergraduate residence hall at any time during Wildcat Welcome, regardless of age.

## Facility Use

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1. Rooms must be maintained in good sanitary condition and must be returned in the same condition as when possession was taken, 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.
2. Students must vacate rooms at the end of the fall and spring quarters as outlined in the housing agreement, and within 48 hours when a room change is approved.
3. 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.
4. 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.
5. Playing musical instruments in any resident's room is prohibited, when the playing disturbs the community.
6. Engaging in physical activities of any kind in the residential facilities is prohibited. Examples include skateboarding, tossing a football or basketball, and riding bicycles. Additionally, the use and storage of hoverboards is prohibited in residence halls.
7. 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.
8. 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 doortodoor solicitation be permitted within the residence halls.
9. Residents interested in posting information in residence halls must contact the residence director responsible for the building in question for permission and public posting locations. For additional information about posting, see "Campus Publicity" on page 86.

## Fire Safety

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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 are required by Illinois and Evanston law. All occupants of a residence hall must leave the building during a fire alarm or exit drill and gather in the space designed 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.
3. Under Illinois law, a person commits aggravated arson when, by means of fire or explosive, he or she knowingly damages, partially or totally, any building, and he or she knows, 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, ecigarettes, 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.

## Guests

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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 nonovernight 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.



## Information Technology

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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 (NUIT). Residents agree to comply with the policies and procedures for NUIT Residence Hall Telephone and Data Services and agree to pay all charges incurred. One data port per resident is provided per room as part of the room rental charge; residents must provide their own computers. Operation of file or web servers is prohibited.
2. NUIT 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, NUIT 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, modifications 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 86, residents may not show copyrighted videos or materials outside of their own rooms.

## Occupancy

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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. No individual resident or guest may use the residence hall's bathroom facilities designated for use by another gender.
5. 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.



## Prohibited Items

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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,
- e. blenders, or
- f. toaster ovens and toasters

The Evanston housing code also forbids the use in sleeping rooms of all heat producing appliances, such as

- g. water heaters
- h. candle warmers
- i. 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 are permitted except for hanging blankets, tapestries, rugs, or fishnets, provided the decorations do not cover more than 50 percent of the wall or window space. Combustible decorations must not be put on the ceiling, in the entryway, on the door, or near heat sources such as radiators or light bulbs. Any method of affixing decorations that puts holes in or mars walls, woodwork, doors, or furnishings is prohibited. Dart boards and the throwing of darts are prohibited. No decorations, flags, banners, or other items may be hung on the exterior or draped from a window or doorway of any residence hall. Signs or posters in windows or on doors must have the approval of all roommates and are subject to the approval of the University.
- c. Lighted candles, live holiday trees, holiday or decorative lights, lit incense, and open flames are prohibited. Students who have religious needs to burn candles are encouraged to speak to their



Residence Director for accommodations. Candles with unburnt or cut off wicks are permitted.

- d. Fireworks, explosives, and incendiary materials are prohibited. The possession or use of firearms or other weapons of any description and for any purpose is prohibited. Flammable items, such as lighter fluid, charcoal, gasoline, and propane, cannot be stored in residence halls.
- e. Bicycles may not be stored in any area of a residence hall other than in areas specifically designated for such use. Bicycles 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.
- f. No motorcycle or other motor vehicle is permitted to be brought into any area of any residence hall for storage or for any purpose whatsoever.
- g. The installation of air conditioners by residents is prohibited
- h. The building, installation, or use of "lofts," or any structures used to increase the height of the bed, including, but not limited to, cinder block, wooden platforms, and bed risers, 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.
- i. The use or possession of water beds is prohibited.
- j. 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.







## Quiet Hours and Noise

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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.

- b. **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.
- c. **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 typically lasts three to five weeks and permits staff to ensure that all residents have returned and to account for any vacant spaces. The residence hall staff is notified when the freeze has been lifted.
2. **Room changes for freshmen.** As stated in the freshman housing brochure, freshmen are not eligible to change rooms until winter quarter unless otherwise directed or authorized by the University. The first date that freshmen may request a room change is the first day of classes of winter quarter. Forms are processed in the order that they are received, according to their time stamps. Room change request forms are available online at [www.northwestern.edu/living/](http://www.northwestern.edu/living/) and may be submitted electronically. Students wishing to submit a form in person may do so. Residential Services opens at 8:30 a.m.
3. **Room changes for transfer students and upperclassmen.** Transfer students and upperclass men may make a room change request starting on the first day of fall quarter classes. Residential Services opens at 8:30 a.m.
4. **Waiting lists for room changes.** Students can add themselves to waiting lists for up to three buildings and can specify what type of room (i.e., a single or a double) they seek. If a specified roommate is desired, the students should submit their room change paper work together.

A resident should submit a waiting list request form even when seeking to change rooms within the same building or when planning a mutual room swap with another student.

In general, to be competitive 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 and have a room change form. Spaces in residential colleges will be filled first by non-resident members of the college in the order they sign up for the waiting list and then, if space is still available, can be offered to anyone interested in living in the building.

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.

If a student's request is accommodated, the student will be asked by email to pick up room change paperwork from Residential Services. Typically, completing and returning the paperwork takes a few days, after which the move is approved and a schedule for tenancy in the new room and vacancy of the old assignment is worked out. Residential Services will notify the residence hall mail services that a student has changed rooms so that the necessary arrangements can be made to have mail forwarded to a new campus address. The online student directory updates automatically with a new address and phone number about seven days after the room change paperwork is completed and submitted.

## 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.

## Housing Logistics

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1. ***Student government membership.*** Signing the residence and board contract automatically constitutes acceptance of membership in the respective student government of the hall to which a student is assigned, with all rights, privileges, and responsibilities of such membership.
2. ***Moving out and damages.*** Residents are responsible for following University and Residential Services policies and procedures when moving out of a room. In addition, residents may be responsible for damage to their room and residence facilities, including lost or unreturned keys and access devices. Failure to comply with these procedures may result in charges.
3. ***Roommate changes.*** Please contact a resident/graduate housing assistant or residence director with any questions or concerns.











**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 Student Conduct and the University Hearing and Appeals System or other designated resolution procedure.

### Addresses and Telephone Numbers

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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 CAESAR under Personal Profile. Changes to parent addresses must be reported to the Office of the Registrar. Instructions can be found on the Office of the Registrar website:

[www.registrar.northwestern.edu](http://www.registrar.northwestern.edu).

### Athletic Facilities Policies of Conduct

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The possession or consumption of alcoholic beverages by students is prohibited inside Ryan Field, Welsh-Ryan Arena, Lanny and Sharon Martin Stadium, Rocky and Berenice Miller Park or other Northwestern athletic facilities whether or not there is a scheduled University athletic event, as is the use of tobacco, electronic smoking devices, and other nicotine delivery systems.

At and during a 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; 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 Student Conduct.

## Behavioral Consultation Team

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Northwestern University's Behavioral Consultation Team (BCT) works to enhance campus safety and violence prevention by conducting fact-based threat assessments.

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 are in significant distress, especially those who may pose a threat of harm to themselves or others or whose behavior has the potential to impact the community in a detrimental way.

The BCT consists of a variety of campus officials in areas related to student behavior, including the Dean of Students Office, Counseling and Psychological Services (CAPS), Human Resources, and University Police. Team members meet regularly or upon demand if the situation warrants it.

University faculty, staff, and students are strongly encouraged to report concerning, violent, potentially violent, or threatening behavior, in a timely manner, to University officials. Individuals who report these behaviors and 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 University Police at 8474913456 or visit the website [www.northwestern.edu/up/bct/](http://www.northwestern.edu/up/bct/)

## Bicycles

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The University has 2.5 miles of bicycle paths on the Evanston campus, connected to Evanston's bicycle rights-of-way. Bicycle riding is prohibited on the following streets:

- Green Bay Road, north from Emerson Street to the Evanston city limits
- Ridge Avenue, between Howard and Emerson Streets

Evanston ordinances prohibit riding bicycles on the sidewalks in the downtown business district at any time or in other districts where signs are posted. Where riding on sidewalks is permitted, cyclists are required to yield the right of way to any pedestrian, give an audible signal before overtaking or passing others, and have the bicycle under control at all times. Ordinances also prohibit operating a bicycle after dark without a white front headlight and a red rear reflector (visible from 500 feet away) or riding a bicycle in an unsafe or reckless manner or in a way that obstructs traffic. Helmets are required for riders under the age of 18, but all students are strongly encouraged to wear helmets and use other safety gear. Violations of city ordinances are subject to a fine of up to \$500. To read the complete set of Evanston ordinances regarding bicycles, see the Evanston City Code (Title 10, Chapter 9)

Bicycles stored or parked on campus must be registered with the University Police Department. Registration is free of charge and may be completed online. Bicycles that are properly registered with the police are much easier to identify and recover should they be stolen or removed.

Owners are highly encouraged to lock and secure their bicycles at all times. Bicycles must be kept in designated areas, which include bicycle racks and bicycle storage rooms. Bikes that are locked to anything other than designated bike parking areas, including those secured to railings, stairwells, handicapped access ramps, posts, or benches or that are parked in hallways, doorways, or rooms in residence halls or academic buildings, create a safety hazard in the event of fire and are subject to removal at the owner's expense. The University will not reimburse individuals for locks that have been cut to remove bicycles not parked in bicycle racks or storage rooms. The University shall not be responsible for any bicycles illegally secured in campus buildings or on campus property or abandoned on University property.

Students who have had an illegally parked bicycle removed should contact Facilities Management, **847-491-5201**, to identify their bike. Bikes can be claimed at the Facilities Management Customer Service Desk located at 2020 Ridge Ave. Hours of operation are between 7AM – 4:30PM, Monday through Friday. There is a \$25 reclaim fee payable by check or money order to Northwestern University due at the time of pick up. In addition, to verify ownership, the bike lock key or the

combination must be presented at the time of payment. Bikes will be stored in the University storage area for a minimum of 30 days. After 30 days the impounded bicycles are donated to a local charity.

For students living in residence halls, Residential Services sponsors a winter bike storage program, offered on a first come, first served basis. Winter bike storage starts the week after Thanksgiving and ends the week after spring break.



## Cable, Satellite, and IP Delivered Television

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Policies that apply to all students using cable television services within the University can be found in the Northwestern University Policy on Cable, Satellite, and IP Delivered Television section at [www.it.northwestern.edu/policies/catv.html](http://www.it.northwestern.edu/policies/catv.html).

## Civility, Mutual Respect, and Unacceptability of Violence on Campus

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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

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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, suspension, or exclusion from the University.

## Computers and Networks

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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 University Information Technology (NUIT) policies, and other University policy regarding computers, networks, or electronic communication. NUIT policies are posted at [www.it.northwestern.edu/policies](http://www.it.northwestern.edu/policies), including the Rights and Responsibilities policy at [www.it.northwestern.edu/policies/responsibilities.html](http://www.it.northwestern.edu/policies/responsibilities.html).

The NUIT security officer should be notified about violations of copyright laws and NUIT policies, as well as about potential loopholes in the security of any computer systems and networks at Northwestern. Contact the NUIT security officer at [security@northwestern.edu](mailto:security@northwestern.edu).

### *Responsibilities of Users (from the NUIT 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 NUInfo 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, suspension, separation, or exclusion from the University.

The NUIT security officer should be notified about violations of copyright laws and these NUIT policies, as well as about potential loopholes in the security of any computer systems and networks at Northwestern. Contact the NUIT security officer at [security@northwestern.edu](mailto: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 NUIT. 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](http://www.it.northwestern.edu/policies/csn-use.html) and the University's Policy on Wireless Networks at [www.it.northwestern.edu/policies/wireless.html](http://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](http://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 an NUIT 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.

## Crime and Safety Information

The Department of Safety & Security is part of the Office of the Executive Vice President and encompasses University Police, Transportation and Parking Services, Security Systems and Emergency Management for the University.

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

## 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. 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

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Northwestern has selected *EthicsPoint* to provide students and other University affiliates with a simple way to report activities that may involve misconduct or violations of University policy, including academic or research misconduct, conflicts of interest, criminal activity, discrimination or harassment, health or safety issues, fraud or financial improprieties, workplace violence or threats, and acts of retaliation. For 24 hours a day/365 days a year, *EthicsPoint* provides monitoring and intake of reports via telephone or through the internet by specially trained personnel. The site can be accessed at [www.northwestern.edu/audit-and-advisory/services/compliance/ethics-and-compliance.html](http://www.northwestern.edu/audit-and-advisory/services/compliance/ethics-and-compliance.html). This service 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. Instead, the *EthicsPoint* system provides an additional means of reporting such issues that provides reporters with options to protect their identity. Any suspected problems or complaints reported via *EthicsPoint* will be reviewed in accordance with current University procedures, including those described in the Faculty Handbook, Staff Handbook, and Student Handbook. Northwestern policy prohibits the taking of retaliatory action against anyone for reporting or inquiring about potential breaches of University policy or for seeking guidance on how to handle suspected breaches.

*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)

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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/academic\\_records/FERPA\\_policy.html](http://www.registrar.northwestern.edu/academic_records/FERPA_policy.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.

## Financial Obligations

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The Office of Student Accounts 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 accounts 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 students on the Evanston campus can be found at:

Complete financial regulations for students on the Chicago campus can be found at: [www.northwestern.edu/sfs/documents/publications\\_and\\_forms/FinRegsCh.pdf](http://www.northwestern.edu/sfs/documents/publications_and_forms/FinRegsCh.pdf).

# Fraternity and Sorority Recruitment for First-Year Students

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Northwestern University restricts firstyear 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 firstyear student. A firstyear 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 recruitment programs sponsored by the chapters. Alcohol is not permitted at any recruitment or new member/pledge activity.

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

## Gambling

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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 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 Student Involvement or other designated University officials.



## Identification Cards (Wildcard)

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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 needed at all times 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, and University athletic events and as a resident of an oncampus living unit.

A cardholder may activate a personal U.S. Bank student checking account, allowing the card to be used as an automatic teller machine (ATM) card. Cardholders can then make purchases wherever ATM cards are accepted as well as write checks against an available balance.

A cash stripe on the Wildcard may be used for purchases in some vending machines and copiers. To use the cash stripe, find any campus Cash to Card machine and insert the card and then money, up to a maximum of \$50. Visitors may purchase cash stripe cards at select Cash to Card machines in the main University Library.

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 [www.northwestern.edu/user-services/Wildcard/advantage\\_discounts](http://www.northwestern.edu/user-services/Wildcard/advantage_discounts).

Immediately report a lost or stolen card to the Wildcard Office, **847.467.NUID (6843)**. Leave a voicemail message if calling after hours. Cards may be replaced at the Wildcard office at Norris University Center, underground level, for a \$15 fee. Found cards should be returned or mailed to the Wildcard office.

## International Students and Policies on Student Immigration Status

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International students agree to maintain and follow the regulations of their immigration status. They should refer to the requirements described at [www.northwestern.edu/international](http://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.

## Liability

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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.

## Library Materials

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Students must observe policies on the use of library facilities, computers, and materials. Most library policies are posted at [www.library.northwestern.edu/about/library-administration/library-policies](http://www.library.northwestern.edu/about/library-administration/library-policies). These apply to all libraries on the Evanston campus and in general to those on the Chicago campus (Galter Health Sciences Library, Pritzker Legal Research Center, and Schaffner Library). Additional services and policies for each Chicago location can be found at the respective web sites: [galter.northwestern.edu/about-us](http://galter.northwestern.edu/about-us), [www.law.northwestern.edu/library/](http://www.law.northwestern.edu/library/), and [www.library.northwestern.edu/libraries-collections/chicago-campus/schaffner-library](http://www.library.northwestern.edu/libraries-collections/chicago-campus/schaffner-library).

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, upon being found in violation, may be suspended or excluded from the University. These offenses may also lead to police investigation and prosecution.

Proper conduct is required in all facilities. This includes 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 a ban 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 full policy on building use is at [www.library.northwestern.edu/about/library-administration/library-policies/building-use](http://www.library.northwestern.edu/about/library-administration/library-policies/building-use).

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. These are outlined at [www.library.northwestern.edu/about/library-administration/library-policies/computer-workstations](http://www.library.northwestern.edu/about/library-administration/library-policies/computer-workstations).

Policies pertaining to borrowing periods, fines, refunds, room reservations, recommendations for purchases, permissions for reproduction of images and other library services are listed at the library's web site, [www.library.northwestern.edu/services](http://www.library.northwestern.edu/services).

## Medical Leave of Absence Protocol

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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 casebycase 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.

All MLOAs for undergraduate, The Graduate School, and School of Law 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](http://www.northwestern.edu/studentaffairs/dos/programs-services/medical-leave-of-absence/index.html)

## Motor Vehicles

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Policies regarding the possession, operation, and parking of motor vehicles on campus are available on the web at [www.northwestern.edu/up/parking](http://www.northwestern.edu/up/parking).

## Noise

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Evanston city ordinance prohibits the playing of loudspeakers, sound amplifiers, radios, phonographs, musical instruments, or other such devices in such a way that the volume disturbs the neighboring area. The operation of any such device between the hours of 10:00 p.m. and 7:00 a.m. Sunday through Thursday and 11:00 p.m. and 7:00 a.m. Friday and Saturday, whereby sounds are plainly audible at a distance of 50 feet from the location of such a device, is prima facie evidence of a violation of the ordinance.

Evanston city ordinance also states that it is unlawful for any person within the city to make, continue, or cause to be continued any loud, unnecessary, or unusual noise that disturbs the peace of others within the city limits. Included are musical instruments, radios, or any other device for producing or reproducing sound or with louder volume than necessary for the convenient hearing of persons who are in the room or outdoor area. Yelling and shouting, specifically between the hours of 11:00 p.m. and 7:00 a.m., are also prohibited. In addition, no person shall disturb or destroy the peace of the neighborhood (through boisterous behavior or behavior that is dangerous or detrimental to health) in which the building or premises is situated. Any person found violating any provision of this ordinance may be fined for each offense. Local ordinances on noise and related subjects are found in Title 9, Chapter 5, of the Evanston City Code.



## Northwestern University Police Department

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The Northwestern University Police Department provides service to both the Evanston and Chicago campuses. The police department is a full-service agency, employing 50 state certified police officers and additional security and support staff. Officers have the same authority as other municipal 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 are authorized to ensure compliance with University policies, included reporting alleged violation 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.

## Patents and Inventions

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The University's Patent and Invention Policy, which may be found at [www.invo.northwestern.edu/policies](http://www.invo.northwestern.edu/policies), 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](mailto:invo@northwestern.edu).

## Public Showing of Copyrighted Videos and Material

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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 a videocassette or DVD carries with it the right to show the video outside the 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 or purchased video. 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/index.html](http://www.swank.com/college/index.html).

For questions regarding movie rights or what constitutes a legal showing on campus, contact any adviser in Student Involvement or an appropriate Residential Services official.

## Respect NU - Hate Crimes and Bias Incidents



At Northwestern we are committed to maintaining an open and supportive environment, free of acts of bias, hate, discrimination, harassment, and all other forms of coercion that impede academic freedom or diminish the dignity of any member of the University community.

It is the policy of Northwestern University not to discriminate or to permit discrimination 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, services, or in the educational programs or activities it operates.

Furthermore, Illinois law provides for criminal and civil penalties against an individual who commits crimes against another person because of such person's race, color, creed, religion, ancestry, gender, sexual orientation, physical or mental disability, or national origin (hate crimes). A bias incident is an act of conduct, speech, or expression to which a bias motive is evident as a contributing factor (regardless of whether the act is criminal). Sanctions may be imposed for students found to have committed hate crimes and for bias incidents that involve conduct that violates laws or University policies, specifically including the University's Discrimination and Harassment Policy.

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

- Investigate and document the incident
- Provide resources and support to individuals affected by such incidents, and
- Take appropriate remedial and corrective actions to address the incident.

For comprehensive information about bias and hate incidents, including multiple avenues for reporting such events, visit the Respect NU website at [www.northwestern.edu/inclusion/respectnu](http://www.northwestern.edu/inclusion/respectnu).



Additional information about the University's response to hate and bias incidents affecting students is available by contacting Lesley-Ann Brown-Henderson, Executive Director of Campus Inclusion and Community, 8474673419, [www.northwestern.edu/inclusion](http://www.northwestern.edu/inclusion).

## SafeRide

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Safe Ride is a service provided to members of the Northwestern community as a safe and free alternative to walking alone after dark. 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 from campus to destinations off campus within our Evanston boundaries and back to campus. Safe Ride is not a taxi; it is a safety service meant to be used in conjunction with other sensible transportation strategies such as walking in groups, using the Northwestern Shuttle Service, or using one of the local Taxi services. Download the TransLoc Rider app to access SafeRide service; [www.northwestern.edu/saferide/getting-a-ride/transloc/index.html](http://www.northwestern.edu/saferide/getting-a-ride/transloc/index.html)

If you do not have a smart phone you can still get a Safe Ride by calling **847-491-7000**, or by going to; [translocrider.com/sms-mobile](http://translocrider.com/sms-mobile)

Safe Ride operates during summer when student employees are available; this is decided during spring quarter each academic year.

Riders are expected to comply with the following policies when using Safe Ride:

- Maximum of three people per ride;
- No advanced reservations; all rides are dispatched on a firstcome, firstserved basis;
- No transport beyond its boundaries, and no rides for less than three blocks;
- Pickups on Northwestern shuttle routes may be redirected to the shuttles;
- Safe Ride reserves the right to refuse service in situations that place drivers in danger. Examples of this include intoxicated, disorderly, or abusive passengers.
- Safe Ride will charge \$125.00 for vomiting in a Safe Ride vehicle to cover the cost of cleaning the vehicle. Incidents involving vomiting in Safe Ride vehicles are reported to the Office of Student Conduct.
- Safe Ride does not provide medical transport. If an ambulance is needed, please call 911.

Safe Ride regulations can be found at; [www.northwestern.edu/saferide/getting-a-ride/regulations/index.html](http://www.northwestern.edu/saferide/getting-a-ride/regulations/index.html)



## Shuttle Bus Service

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Northwestern University 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](http://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/userservices/gps/index.html](http://www.northwestern.edu/userservices/gps/index.html).

## Student Organizations

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Student organizations at Northwestern University have additional policies. All student organizations are responsible for these policies when sponsoring events. For a complete set of policies, applications, and information on sponsoring any type of event, go to the the Office of Campus Life- Student Organizations & Activities Department on the third floor of Norris University Center or online at [www.northwestern.edu/studentorgs/](http://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, the Multicultural Center, the Chaplain's Office, Athletics, or the appropriate academic department). Student organizations must be registered via Wildcat Connection through Student Organizations & Activities.



### ***Policy Regarding Alcohol at Events for Undergraduate Students***

Health, safety and wellness of students are the top priorities of Northwestern University and the underlying principles of this Policy. The University takes a harm reduction approach and supports strategies to mitigate the negative consequences of alcohol. This policy includes specific requirements regarding compliance with laws regarding alcohol; harm reduction strategies, insurance and indemnification; the timeline and execution of contracts and agreements; the responsibilities of the organization, its advisors, and the host site or vendor; and costs. Refer to [www.northwestern.edu/studentorgs/manage-your-org/event-planning/contracts/index.html](http://www.northwestern.edu/studentorgs/manage-your-org/event-planning/contracts/index.html) for complete and detailed information on this policies and the risk management considerations.

### ***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/manage-your-org/campus-publicity-policies-procedures/index.html](http://www.northwestern.edu/studentorgs/manage-your-org/campus-publicity-policies-procedures/index.html).

Student or student group violations of the campus publicity policy and/or procedures should be referred to the associate director of the 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 82.

### ***Gambling Policy for Student Groups***

See “Gambling” on page 77 of this Student Handbook.

### ***Hazing Policy for Student Groups***

See “Hazing” on page 30 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/sofo-policies.pdf](http://www.northwestern.edu/norris/services/sofo/assets/sofo-policies.pdf). For more information about SOFO policies and other guide lines 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 [catalyzer.northwestern.edu/](http://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:

[bit.ly/wewillvolunteers](http://bit.ly/wewillvolunteers)

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

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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 Study Abroad Office, Office of International Program Development, and/or Center for Global Engagement consult 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 Student Conduct 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** – The University uses administrative and panel hearings to determine responsibility for alleged policy violations and, when applicable, to assign sanctions.

# OVERVIEW

## Office of Student Conduct

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The Office of Student Conduct (OSC) is responsible for ensuring students honor and respect themselves, their peers, and the Northwestern community. The OSC 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 Student Conduct 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 non-academic student conduct records. The Office of Student Conduct designates individuals or entities to administer the student conduct process, including the appointment of University Conduct Investigator(s), University Hearing Officers, and the University Hearing Panel.

## Purview

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UHAS is used to resolve alleged violations of nonacademic 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 Sexual Misconduct by Northwestern students are resolved through the Sexual Misconduct Complaint Resolution Process which utilizes the UHAS panel hearing process to resolve cases that have the potential to result in separation from the University. For information on the resolution of allegations of violation of the Policy on Sexual Misconduct, please see the Sexual Misconduct Complaint Resolution Process.

Alleged violations of University policy or professional standards not related to academic policies or the Policy on Sexual Misconduct 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.

## Definition of Roles

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In the student conduct process, the person who reports a concern and/or who has been 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.

## Time Limitations

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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 OSC 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

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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.

## Participation

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The University invites reporters and witnesses to participate fully in the student conduct process. In order for OSC 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.

The University expects respondents to participate fully in all aspects of the student conduct process. If a respondent elects not to participate in any part of the process, the Office of Student Conduct may proceed without the respondent's participation. Respondents will be held accountable for any outcomes issued, even if they fail to participate.

## Privacy

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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

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Northwestern University 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.

Retaliation is materially adverse action taken against an individual because they engaged in protected activities, when the adverse action is sufficiently severe or pervasive that it could deter a reasonable person from engaging in the protected activities. Members of the community are prohibited from engaging in actions directly or through others that reasonably could deter a party or a witness from reporting sexual misconduct or participating in an investigation or hearing. Examples of retaliation could include, but are not limited to: removing someone from an organization; direct or indirect intimidation, threats, or coercion; harassment, terminating someone's employment; reducing a grade; or other forms of discrimination.

Retaliation is considered a violation of the Student Code of Conduct and allegations of retaliation will be resolved through UHAS.



## Participant Rights and Responsibilities in UHAS

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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. Those who participate in UHAS, as either a reporter or a respondent, have the following additional rights:

- To be given 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/hearing officer and to have the opportunity to respond to that information
- To have the allegations resolved by hearing officers, 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,” below)
- To be advised of the appeals process



Participants also have responsibility to be completely honest at all stages of the process and with all conduct administrators, investigators, hearing officers, 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.

## Advisors

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Reporters and respondents may be accompanied by one advisor throughout the student conduct process. 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, hearing officer, or panel and may not represent the reporter or respondent in the process.

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 the structure of their role will be asked to leave the room, and the student conduct process will continue without the advisor present. For information on advisors permitted in panel hearings for cases related to alleged violations of the Policy on Sexual Misconduct, please see the Sexual Misconduct Complaint Resolution Process.

# REPORTS AND INITIAL INQUIRY

## Reports of Alleged Misconduct

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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 OSC. A link to file a report online can be found on the OSC web page ([www.northwestern.edu/student-conduct](http://www.northwestern.edu/student-conduct)). Reports can also be submitted by contacting the office at [student-conduct@northwestern.edu](mailto:student-conduct@northwestern.edu) or 847-491-4582.
- Reports of alleged violations of the Northwestern Policy on Sexual Misconduct by students can be made to the Deputy Title IX Coordinator for Students in the Office of Sexual Harassment Prevention. Information on filing reports can be found on the web page: [www.northwestern.edu/sexual-misconduct](http://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: [www.northwestern.edu/inclusion/respectnu/birt/](http://www.northwestern.edu/inclusion/respectnu/birt/)

The OSC 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 OSC, the University's ability to address alleged misconduct reported by anonymous sources is significantly limited; therefore, anonymous reports are discouraged.

## Initial Inquiry

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When a report is received, a student conduct administrator designated by the Office of Student Conduct will gather information regarding the alleged incident in order to determine the appropriate means of resolution. 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:** In order for a case to be referred for informal or formal resolution, there must be sufficient information to believe a policy violation may have occurred and the alleged individual/group may be responsible. The OSC 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 OSC may, in its discretion, reopen a case in the future if additional information becomes available or if a reporter who was previously unwilling to pursue formal resolution changes their mind (consistent with the time limitations outlined above).
- **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 conduct administrator may determine that there is reasonable information to suggest a policy violation may have occurred. In these cases, the conduct administrator 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 safety of the University community.

Additionally, the OSC administrator will determine whether interim actions should be taken while the case is pending. 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 Student Conduct 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.

These 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 Relocation or Removal from Campus Housing

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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 associate vice president of student affairs may take the same action for students who reside in fraternity/sorority-affiliated on-campus housing.

## Interim Suspension

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An interim suspension of a student from the University for allegations of nonacademic misconduct (including alleged violations of the Policy on Sexual Misconduct) 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 through the UHAS. A student who has been suspended on an interim basis will have five (5) days to request a hearing; failure to request a hearing within this time shall constitute a disciplinary exclusion from the University. A student on interim suspension may request an expedited hearing through the Office of Student Conduct, which will schedule a hearing within a reasonable time. The Office of Student Conduct 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

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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. Deferred conduct action is not taken in cases related to sexual misconduct.

## FORMAL RESOLUTION

The University Hearing and Appeals System 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/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.

Please note, allegations of policy violation related to the Policy on Sexual Misconduct are resolved through the Sexual Misconduct Complaint Resolution Process.

## Standard of Evidence

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The Office of Student Conduct uses the preponderance of the evidence standard in investigations and hearings. This means that the investigator, conduct administrator(s), or panel must determine more likely than not what occurred.

## Notification

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When a case will be resolved through formal resolution, a conduct administrator will send notification of the allegation of misconduct to the respondent. 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.

## Acceptance of Responsibility

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Occasionally the conduct administrator may send students an acceptance of responsibility letter in lieu of notification. An acceptance of responsibility letter contains the same information as a notification, except it provides the respondent the option to forego a hearing and accept responsibility for an alleged violation. Acceptance of responsibility letters are only used for relatively minor incidents at the discretion of the conduct administrator assigned to the case. Respondents may always decline to accept responsibility and request a hearing instead. Failure by a student to request a hearing within a reasonable time as designated by the conduct administrator in writing to the student (typically, within 72 hours of receiving the Acceptance of Responsibility) will result in the decision of responsibility being finalized, and any proposed sanctions will be applied. Decisions rendered by either acceptance of responsibility or failure to respond pursuant to an acceptance of responsibility letter are not eligible for administrative review or appeal, except on the grounds that the student did not have a reasonable opportunity to receive and respond to the letter. Acceptance of responsibility is not utilized in cases involving alleged sexual misconduct.

### Types of Hearings

There are two types of hearings offered through UHAS: Administrative Hearings and Panel Hearings. An Administrative Hearing or Panel Hearing is used to resolve a case as follows:

- All cases that **do not** have the potential to result in separation from the University (i.e., suspension, exclusion, degree revocation, expulsion, or group dissolution) are resolved through Administrative Hearings.
- In cases that **do** have the potential to result in separation from the University the respondent may choose whether to have the allegations resolved through an Administrative or a Panel Hearing.

The potential of an alleged violation (not including alleged violations of the Policy on Sexual Misconduct) to result in separation from the University will be determined by the director of the Office of Student Conduct or designee.

Cases that involve allegations of violation of the Policy on Sexual Misconduct are resolved through the Sexual Misconduct Complaint Resolution Process. When a case of this nature **does not** have the potential to result in separation from the University (as determined by the Deputy Title IX Coordinator for Students, or designee), it is resolved through Administrative Resolution which is conducted by the Office of Sexual Harassment Prevention. When a case of this nature **does** have the potential to result in separation from the University, the Office of



Sexual Harassment Prevention will manage all aspects of the case through the investigation as is outlined in the Sexual Misconduct Complaint Resolution Process. Once the investigation is complete, the case will be resolved through the UHAS Panel process, including the UHAS appeal process. When a case involves alleged violations of the Policy on Sexual Misconduct as well as alleged violations of other University policies, all allegations of policy violation will be resolved together through the Sexual Misconduct Complaint Resolution Process. Staff resolving these cases will be trained as UHAS hearing officers for purposes of adjudicating non-sexual misconduct violations of the student code of conduct arising out of a sexual misconduct complaint.

## Administrative Hearings

An Administrative Hearing is a conversation between a respondent and a conduct administrator, known as a Hearing Officer.

### *Hearing Officers*

A Hearing Officer is a conduct administrator assigned to a specific case of alleged misconduct. Conduct administrators are members of the University staff, usually from within the Division of Student Affairs. Conduct administrators are trained by the OSC to serve as Hearing Officers and to investigate, hear, and resolve matters of student conduct according to the policies and procedures outlined here. It is the responsibility of the OSC to ensure Hearing Officers are able to act impartially in all cases they hear. If a student is concerned about the ability of a Hearing Officer to act impartially, they can request that the director of the OSC review the assignment of the Hearing Officer. For an administrative hearing, this request should be made upon receipt of initial contact by the Hearing Office, and in all cases, prior to the beginning of the hearing.

### *Investigation*

The Hearing Officer 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. When more complex investigations are required, similar procedures as are outlined in Panel Hearing Investigations will apply, though a formal investigative report is not written.

## *Format of Administrative Hearings*

An Administrative Hearing is structured as a discussion or conversation and is conducted in private. The Hearing Officer 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 Hearing Officer will determine whether the respondent is responsible for the alleged policy violation and, if so, will issue appropriate sanctions. At times, the Hearing Officer will communicate the outcome of the Administrative Hearing at the end of the meeting. However, at times, the Hearing Officer 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 (see “Notification of Outcome”).

## *Administrative Reviews*

Both the reporter and respondent have the right to request an Administrative Review of the outcome of an Administrative Hearing. Requests for Reviews must be submitted in writing within a reasonable time as designated by the conduct administrator in writing to the student (typically, within 72 hours of receiving the outcome of an Administrative Hearing). Reviews will be conducted by the director of student conduct or another hearing officer as designated by the director. In cases where the director of student conduct served as a Hearing Officer for a case (or in which the director cannot serve as an impartial reviewer), a Review will be conducted by the dean of students or designee. The finding and sanction issued by the original Hearing Officer are presumed to have been decided reasonably and appropriately, and the only grounds for appeal are as follows:

- New information discovered after the Administrative Hearing that could not have reasonably been available at the time of the hearing 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 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 Reviewer may review the full case, beyond the aspects of the case outlined in the request for Review. If the Reviewer does not find that any of the three grounds for appeal are present in the case, the Reviewer will uphold the outcome (findings and sanctions) of the Hearing Officer. If the Reviewer finds that any of the grounds for appeal are present in the case, they may amend the decision of the original Hearing Officer or may issue a new outcome (findings



and sanctions). The Reviewer 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 Reviewer may refer the case back to the Hearing Officer for further review. If the case is referred back to the Hearing Officer, the Reviewer may recommend that alternate policies or sanctions be considered. Additionally, if a case is referred back to the Hearing Officer, the new decision of the Hearing Officer is considered final (no additional Review will be granted). Following the Review, a written decision will be delivered as outlined in “Notification of Outcome” .

### ***Administrative Hearings for Cases Involving Potential Separation from the University***

Cases involving the potential for separation from the University will be jointly investigated, heard, and resolved by two Hearing Officers. Cases that result in separation from the University are not eligible for Review but will be eligible for Appeal.

## **Panel Hearings**

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Panel hearing are utilized in cases that have the potential to result in separation from the University, either because the respondent chose a panel hearing (instead of an administrative hearing) or because the case involves allegations of sexual misconduct. The following section outlines the investigative and hearing processes utilized in a Panel Hearing.

### ***Investigations for Cases Not Related to Allegations of Sexual Misconduct***

*Note: Investigations for cases related to allegations of sexual misconduct, are investigated through the Sexual Misconduct Complaint and Resolution Process.*

Investigations are conducted by 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 Student Conduct.

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.

### *Investigative Reports*

The investigator will submit a report of findings of fact, applying the preponderance of the evidence standard. In cases not related to allegations of sexual misconduct, the investigative report will be submitted to the Panel Coordinator from the Office of Student Conduct (OSC). In cases related to allegations of sexual misconduct, the investigative report will be submitted to the Deputy Title IX Coordinator. The Panel Coordinator or Deputy Title IX Coordinator will distribute the investigative report to the Panel, the reporter, and the respondent at least five days prior to the meeting of the Panel. The reporter and the respondent will have a reasonable period of time, typically 72 hours, from the receipt of the investigator's report to send a list of any questions they believe the Panel should ask the other party and/or the investigator based on the findings presented in the investigator's report. These should be submitted to the OSC, which will distribute them to the Panel.

### *Panels*

Panel members are students, faculty, and staff from the University community. Panel members apply annually and are selected by the Office of Student Conduct. The vice president for student affairs and the president of the Associated Student Government, or designee, approve the selection of all Panel members.

The Panel for cases not related to allegations of sexual misconduct will typically be made up of five members. The Panel for cases related to allegations of sexual misconduct will be made up of three members and all members will be faculty or staff who have completed training to hear cases related to sexual misconduct. (Note: Students do not serve on panels for cases related to alleged sexual misconduct due to privacy concerns for both the reporter and the respondent. This difference in the make-up of the panel came at the request of and after extensive consultation with Northwestern students.) The Office of Student Conduct should do its best to diversify each Panel—both in terms of social identities and affiliations within the University. Reporters and respondents will be provided a list of all potential panel members prior to the panel hearing and will be given the opportunity to express concern about any potential panel member's ability to act impartially in hearing their case. Decisions related to panel members' participation in their hearing will be made by the Panel Coordinator from the Office of Student Conduct.

In cases not related to sexual misconduct 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 the timeline requires the case to be heard when a fiveperson Panel cannot reasonably be assembled (including but not limited to finals weeks or periods of University break), a three-member Panel may be used in place of a five-member Panel and/or trained Hearing Officers who have no prior involvement in the case can serve as Panel members.

### *Format of Panel Hearings*

A Panel Hearing will include the members of the Panel, a Panel Coordinator from the Office of Student Conduct, and, if applicable, the Deputy Title IX Coordinator, or designee. The role of the OSC 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 provide consult on available sanctions and past precedent. The role of the Deputy Title IX Coordinator is to observe the hearing and ensure compliance with all aspects of the Sexual Misconduct Complaint Resolution Process.

The reporter and respondent will each be given an opportunity to independently speak to the Panel. During this time, they should provide their perspective on policy violations given the findings of the investigator. The reporter and the respondent will not meet with the Panel together but rather will be given individual time with the Panel. The reporter's and the respondent's time with the Panel will be structured as follows:

- Statement to the Panel: Ten (10) minutes to present a statement to the Panel
- Questions from the Panel
- Final Statement: Five (5) minutes to provide any concluding comment

Once the Panel has met with the reporter and the respondent, the Panel may meet privately with the investigator. During this time, Panel members will ask any clarifying questions they have of the investigator. They will consider the questions submitted by the reporter and the respondent when determining which questions to ask the investigator.

The Panel will deliberate the policy violations and sanction decisions in private with the OSC Panel Coordinator and, if applicable, the Deputy Title IX Coordinator. The investigator will not be present but will remain available to the Panel for additional questions as needed. During their deliberations, the Panel members will utilize the findings presented by the investigator and the information they heard from the reporter and the respondent to determine responsibility for each alleged policy violation. A majority vote is needed to find a respondent responsible or not responsible for each policy in question. Each member of the Panel will have one vote.

If the Panel finds the respondent responsible for any policy violations, the Panel will determine appropriate sanctions. The Panel can consult the investigator, as well as the OSC Panel Coordinator, when considering sanction options, but the decision about which sanctions to issue is solely at the discretion of the Panel. A majority vote is needed to issue a sanction. Each member of the Panel has one vote.

## Notification of Outcome

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Upon the conclusion of a hearing, the respondent will be promptly notified 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/appeal procedures. In the case of an Administrative Hearing, this notification will be made by the Hearing Officer. In the case of a Panel Hearing, this notification will be made by the OSC Panel Coordinator.

As is required by law in cases of sexual misconduct, the reporter and the respondent will both be notified simultaneously and in writing of the outcome of the hearing and/or appeal. Notification to the reporter includes findings related to violations of policy, remedies offered or provided to the reporter, sanctions imposed on the respondent that directly relate to the reporter, and any other steps the University has taken to prevent the recurrence and eliminate a hostile environment, if such was found to exist. In a case related to alleged sexual assault, stalking, or dating or domestic violence, the notification of outcome will also include the rationale for the findings related to violations of policy and all sanctions imposed on the respondent, not just those directly related to the reporter. In all cases, the respondent generally will not be notified of the individual remedies offered or provided to the reporter.

For all cases involving an alleged violation of the Sexual Misconduct Policy, reporters and respondents are informed of appeal procedures, any changes to the outcome that occur prior to the time that such outcome becomes final, and when such outcome becomes final.

In accordance with applicable law, the University may also disclose to a victim the final result (the violation committed and any sanction imposed) of a student conduct hearing related to an alleged perpetrator of 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).

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.

## Record of the Hearing

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Records of all hearings are kept by the Office of Student Conduct. 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 the OSC. 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 Student Conduct. 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 the OSC. Conduct case records are only shared in accordance with FERPA and other University records policies.

## Appeals

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The parties in all cases resolved through a Panel Hearing, as well as cases resolved through an Administrative Hearing that resulted in a separation from the University may request an Appeal. A reporter or respondent (and a victim, if the victim is not the reporter, in a case related to alleged sexual misconduct) may request an appeal of the outcome of the hearing in writing to the OSC or Deputy Title IX Coordinator, if applicable, within a reasonable time as designated in the outcome letter (typically within 72 hours of their receipt of the outcome). 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 the hearing that could not have reasonably been available at the time of the hearing 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 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 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. The appealing party will be able to review the response.

Similar to the original investigation and hearing, 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 the respondent nor the reporter will be allowed to request an inperson meeting with the Appellate Panel. In an extraordinary circumstance, the Appellate Panel may request an inperson 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 for the case on the specifics of the findings or consulting a conduct administrator 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 Hearing Officers/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 Hearing Officer/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 Hearing Officer or 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 Hearing Officer/Panel, the new decision of the Hearing Officer/Panel is considered final (no additional Appeal will be granted).

A written decision will be delivered to both parties by the Office of Student Conduct within a reasonable amount of time following receipt of Appellate Panel



## Appellate Panel

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The Appellate Panel will be appointed by the vice president for student affairs, or designee, and will be trained annually by the Office of Student Conduct. The Appellate Panel will be made up of seniorlevel administrators and academic leaders who represent the Division of Student Affairs and the Office of the Provost. 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 hearing panel member who has had no previous involvement in the case can be assigned by the OSC to fill in for a member of the Appellate Panel to ensure expediency of the decision. The OSC Panel Coordinator or designee will be privy to all Appellate Panel discussions to ensure compliance with the UHAS procedures.

## 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

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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 oncampus housing. The assistant vice president of student auxiliary services, or designee, has the authority to take administrative actions regarding the housing of students who live in fraternity/sororityaffiliated oncampus housing, including relocating a student or removing a student from fraternity/sororityaffiliated oncampus housing. These actions are considered final and are not subject to further review.

## Summary Exclusion from the University

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In rare and exigent circumstances, when a student's actions are demonstrably extreme violations of the Student Code of Conduct and/or pose substantial threat to the University community, a summary exclusion of a student from the University may be imposed by the University president, or designee, in their discretion and shall become effective immediately. The University president or the designee issuing the summary exclusion will make a reasonable attempt to speak with the student and give the student an opportunity to respond to the concerns before issuing the summary exclusion.

Any student who receives a summary exclusion is subject to the terms of University exclusion, outlined in the sanctions section of the Student Code of Conduct. Summary exclusion is considered final and is not subject to further review or appeal.

## ADDITIONAL INFORMATION ABOUT UHAS

### Status of a Student/Group Pending Administrative Review or Appeal

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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

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In cases that have the potential to result in separation from the University, 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's withdrawal shall

- constitute a disciplinary exclusion from the University;
- be recorded in the student's permanent file in OSC (but not on the transcript);
- prohibit the student from subsequently enrolling in any school in the University unless admitted through the office of admissions of the appropriate school and cleared by the vice president for student affairs.

If a party files with the OSC a notice of withdrawal 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 appealed shall become final.

## Disciplinary Hold

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At any time after the filing of a report, the Office of Student Conduct 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 prevent, 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

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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 student conduct 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. In incidents involving the Sexual Misconduct policy, the University will not agree to any such hold except at the request of law enforcement for the narrow and temporary purpose of evidence collection. The granting of any hold is at the full and sole discretion of the University.

## Accommodations for Students with Disabilities

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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, realtime 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/](http://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 Equal Opportunity and Access, 720 University Place, Evanston campus, **847-491-7458**, fax **847-467-0698**, [eeo@northwestern.edu](mailto: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/hr/equopp-access/employees-with-disabilities/disability-grievances.html](http://www.northwestern.edu/hr/equopp-access/employees-with-disabilities/disability-grievances.html).

## Complaints against Faculty and Staff

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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.

Title IX–related cases concerning members of the faculty or staff or third parties can be filed directly with the Title IX coordinator in the Sexual Harassment Prevention Office. Additional information can be found in the policy on Sexual Misconduct.





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UNIVERSITY PL.

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The Residential College  
Humanities  
Residential  
College  
Northwestern University

RESIDENTIAL COLLEGE

**NO BICYCLE  
PARKING**  
Violators Will Be Removed

CHAPIN

HALL

# SEXUAL MISCONDUCT



## POLICY STATEMENT

Northwestern University prohibits all forms of sexual misconduct, including but not limited to, sexual assault, stalking, dating or domestic violence, and sexual harassment. Such conduct violates the community values and principles of our institution and disrupts the living, learning, and working environment for students, faculty, staff and other community members. In furtherance of this policy, Northwestern 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, and third parties – with respect to sexual misconduct. These standards apply equally to all regardless of the sex, gender, sexual orientation, gender identity, or gender expression of any of the individuals involved.

## REASON FOR POLICY/PURPOSE

Northwestern University is committed to fostering an environment in which all members of our campus community are safe, secure, and free from sexual misconduct of any form. Our community expects that all interpersonal relationships and interactions – especially those of an intimate nature – will be grounded upon mutual respect, open communication, and clear consent. When learning of conduct or behavior that may not meet these standards, community members are expected take an active role in upholding this policy and promoting the inherent dignity of all individuals.

## WHO APPROVED THIS POLICY

Vice President of Student Affairs Provost

Executive Vice President for Business and Finance

## WHO NEEDS TO KNOW THIS POLICY

All Northwestern University community members, including students, faculty and staff, as well as

University vendors, contractors, visitors, guests, volunteers, interns, and third parties.

## JURISDICTIONAL STATEMENT

Northwestern University may investigate any alleged 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 that conduct occurred on or off campus. In situations where the alleged sexual misconduct occurred outside of

the context of a University program or activity or off-campus and the respondent is not a member of the University community, the University will typically not conduct an investigation but may address the situation and provide appropriate resources to those individuals impacted and, where appropriate, the broader University community.

## WEBSITE ADDRESS FOR THIS POLICY

[www.northwestern.edu/sexual-misconduct](http://www.northwestern.edu/sexual-misconduct)

## CONTACTS

If you have any questions about this policy, you may contact: Title IX Coordinator and Director of the Office of Sexual Harassment Prevention: (847) 491-3745 or [TitleIXCoordinator@northwestern.edu](mailto:TitleIXCoordinator@northwestern.edu).

## POLICY

The terms and definitions used here are important components of University policy. The definitions are intended to give meaning to these terms in the context of the Northwestern University community. Criminal and other applicable state laws may use different definitions. Appendix A provides Illinois criminal law terms and definitions.

### I. Consent

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Consent represents the cornerstone of respectful and healthy intimate relationships. Northwestern University strongly encourages 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 undertaking a new type of sexual activity) to ensure that consent is present before acting and is present during sexual activity.

**When determining whether consent was present, the University will consider whether a sober, reasonable person in the same position should have known whether the other party could or could not consent to the sexual activity.**

- A. 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:** Consent must demonstrate that all individuals understand, are aware of, and agree 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. Consent to engage in sexual activity with one person does not constitute consent to engage in sexual activity with another person.
- **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 force (violence, physical restraint, or the presence of a weapon), threats (indications of intent to harm, whether direct or indirect), 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) 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 may also be withdrawn at any time – provided the person withdrawing consent makes that known in clearly understandable words or actions.

- B.** Consent is not present when an individual does not have the capacity to give consent, voluntarily or involuntarily, due to age (generally 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.

Signs of incapacitation include when an individual demonstrates that they are unaware of where they are, how they got there, or why or how they became engaged in a sexual interaction. 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).

A person may appear to be giving consent but may not have the capacity to do so, in which case the apparent consent is not effective. When determining whether consent was present, the University will consider whether a sober, reasonable person in the same position should have known whether the other party could or could not consent to the sexual activity. If there is any doubt as to another person's capacity to give consent, community members should assume that the other person does not have the 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.

## II. Prohibited Conduct

Northwestern University prohibits all forms of sexual misconduct. Such conduct violates the community values and principles of our institution and disrupts the living, learning, and working environment for students, faculty, staff and other community members. Therefore, the University prohibits the actions listed below. An attempt to commit an act identified in this policy, as well as assisting or willfully encouraging any such act, is also considered a violation of this policy. An act may violate one or more parts of this policy. Community members may also be held



responsible for the misconduct of their visitors and guests.

## A. Sexual Assault

1. **Sexual Penetration without Consent (e.g., rape):** 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.
2. **Sexual Contact without Consent (e.g., fondling):** Knowingly touching or fondling a person's genitals, breasts, thighs, groin, or buttocks, or knowingly touching a person with one's own genitals, breasts, or buttocks, when consent is not present.

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> Breast-feeding a child is not indecent.

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.

3. **Incest:** Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by the laws of the state<sup>1</sup> in which the incident occurred.
4. **Statutory Rape:** Sexual intercourse with a person who is under the statutory age of consent under the laws of the state<sup>2</sup> in which the incident occurred.

## B. Sexual Exploitation:

Taking sexual advantage of another person for the benefit of oneself or a third party 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;
- Indecent or lewd exposure or inducing others to expose themselves when consent is not present<sup>3</sup>;
- 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 with the intent to engage in sexual conduct, regardless of whether prohibited sexual conduct actually occurs.

### **C. Stalking:**

A course of conduct directed at a specific person that is unwelcome and that would cause a reasonable person to fear for their safety (or the safety of a third party) or suffer substantial emotional distress.

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

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

### **D. Dating/Domestic Violence:**

Intimidation, harassment, physical abuse, sexual abuse, or interference with personal liberty of any person by someone in an intimate relationship, as described below. These actions may include, but are not limited to:

- Physical abuse: hitting, slapping, shoving, grabbing, pinching, biting, or hair pulling;
- Psychological or emotional abuse: a pattern of behavior undermining an individual's sense of self-worth or self-esteem, constant criticism, diminishing one's abilities, name-calling, or damaging one's relationship with one's children;



- Sexual abuse: attacks on sexual parts of the body, forcing sex after physical violence, treating one in a sexually demeaning manner, coercing or attempting to coerce any sexual contact or behavior without consent.

Individuals encompassed in the definition of Dating Violence include, but are not limited to:

- Persons who have or have had a dating relationship;
- Persons who have or have had a social relationship of a romantic or intimate nature.

Individuals encompassed in Domestic Violence include, but are not limited to:

- Current and former spouses;
- Current and former domestic partners;
- Intimate partners or dating partners who share or formerly shared a common dwelling;
- Persons who otherwise have a child in common or share a relationship through a child.

#### **E. Sexual Harassment:**

Sexual harassment is any unwelcome conduct of a sexual nature where: sexual favors are used or threatened to be used as a basis for academic or employment decisions (quid pro quo harassment); where the conduct creates a hostile, intimidating or offensive academic or working environment; where the conduct has the effect of unreasonably interfering with an individual's work performance; or where other verbal, nonverbal, or physical conduct of a sexual nature is sufficiently severe, persistent, or pervasive to limit a person's ability to participate in or benefit from an educational program or activity.

Some examples of sexual harassment may 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;
- Remarks about a person's gender, nonconformity with gender stereotypes, or sexual orientation;
- Sexual innuendoes or humor;
- Obscene gestures;

- Sexual graffiti, pictures, or posters;
- Sexually explicit profanity;
- Stalking or cyberbullying that is based on gender or sex;
- E-mail, texting (“sexting”) and Internet use that violates this policy;
- Sexual assault or violence.

All forms of sexual misconduct identified in this policy are also prohibited forms of sexual harassment.

### III. Reporting Obligation

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All University employees (including student employees), as well as non-employees 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 Title IX Coordinator or Deputy Title IX Coordinator, unless they are a resource listed in Appendix D. The University encourages all individuals to report sexual misconduct.

### IV. Retaliation

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

Retaliation is materially adverse action taken against an individual because they engaged in protected activities, when the adverse action is sufficiently severe or pervasive that it could deter a reasonable person from engaging in the protected activities. Members of the community are prohibited from engaging in actions directly or through others that reasonably could deter a party or a witness from reporting sexual misconduct or participating in an investigation or hearing. Examples of retaliation could include, but are not limited to: terminating someone’s employment; reducing a grade; removing someone from an organization; direct or indirect intimidation, threats, or coercion; or harassment or other forms of discrimination.

The Northwestern community is strongly encouraged to report any alleged incident of retaliation under this policy to the Title IX Coordinator or Deputy Title IX Coordinator, who shall investigate the matter and take appropriate actions to address such conduct. Individuals who are found to have engaged in retaliation are subject to disciplinary action that may include, but is not limited to, the sanctions listed in Procedures Section 6B, up to and including exclusion, expulsion, or dismiss-

al from the University, and termination of employment, including revocation of tenure. Sanctions for retaliation may be applied regardless of whether there is a finding on the underlying complaint that sexual misconduct has occurred.



## V. Amnesty for Sexual Misconduct Complainants and Witnesses

Northwestern University encourages reporting of sexual misconduct and seeks to remove any barriers to making a report. The University recognizes that an individual who has been drinking or using drugs at the time of the incident may be hesitant to make a report because of potential consequences for their own conduct. To encourage reporting, an individual who makes a good faith report of sexual misconduct that was directed at them or another person 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. The University may, however, initiate an educational discussion or pursue other educational

interventions regarding alcohol or other drugs. These interventions do not include involuntary leaves for students from the University. Amnesty does not preclude or prevent action by police or other legal authorities. This Amnesty provision shall also apply to student groups making a report of sexual misconduct.

## VI. Free Expression and Academic Freedom

Northwestern University is firmly committed to free expression and academic freedom. We are equally committed to creating and maintaining a safe, healthy, and harassment-free environment for all members of our community. We firmly believe 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 sexual misconduct or retaliation that involve an individual's statements or speech.

## VII. Title IX and VAWA Statement

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It is the policy of Northwestern University to comply with Title IX of the Education Amendments of

1972, 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 federal Violence Against Women Act amendments to the Jeanne Clery Disclosure of Campus Security Policy and Campus Crimes Statistics Act, and the accompanying regulations (collectively referred to as VAWA). 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 Coordinator to coordinate Northwestern's compliance with the Clery reporting-related VAWA requirements. For more information about Title IX and VAWA, please go to [www.northwestern.edu/sexual-misconduct](http://www.northwestern.edu/sexual-misconduct). 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](http://www2.ed.gov/about/offices/list/ocr/complaintintro.html) or calling 1-800-421-3481.

## PROCEDURES

Information covered in this section includes:

1. Seeking Medical Assistance
2. Preserving Evidence
3. Confidential Support, Advocacy & Counseling Services
4. Reporting Sexual Misconduct
5. Protective Measures
6. Investigation & Resolution of Alleged Sexual Misconduct Violations
7. Educational Training, Awareness & Prevention Programs

## 1. Seeking Medical Assistance

Experiencing any form of sexual misconduct, especially acts of violence, 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 Procedures Section 2), which are also strongly recommended to maintain all legal options.

Medical services are available from the following resources on or near Evanston and Chicago campuses:

### Northwestern University Health Services

*Evidence collection kit cannot be provided; CARE staff can be contacted to provide support services, if desired. (See Procedures Section 3 for more information on CARE).*

Evanston Campus: 633 Emerson Street, Evanston

Phone: (847) 491-8100 (doctor on call 24 hours)

Website: [www.northwestern.edu/healthservice-evanston/](http://www.northwestern.edu/healthservice-<u>evanston/</u>) (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/medical-services/appointments/index.html](http://www.northwestern.edu/healthservice-<u>chicago/medical-services/appointments/index.html</u>) (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; 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/](http://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; Advocate from Rape Victim Advocates will be present to provide support services, if desired.*

Location: 251 E Erie Street, Chicago

Phone: (312) 926-5188 (emergency room)

Website: [www.nmh.org/nm/quality-emergency-department-services](http://www.nmh.org/nm/quality-emergency-department-services)  
(for more information)

**Presence St. Francis Hospital, Emergency Services (24 hours)**

*Evidence collection kit available; Evanston Police victim services advocate can be present to provide support services, if desired. Emergency contraception not provided.*

Location: 355 Ridge Avenue, Evanston

Phone: (847) 316-4000

Website: [www.reshealth.jobs/sub\\_sfh/sfhservices/service\\_detail.cfm?rhcServiceID=2](http://www.reshealth.jobs/sub_sfh/sfhservices/service_detail.cfm?rhcServiceID=2)

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. Preserving Evidence

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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. These options are available solely at the discretion of survivors, who may change their minds about pursuing them at any time. 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 maintain 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, the 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:

### *General evidence preservation suggestions:*

- In order to maintain 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.
- Even if survivors choose not to make a complaint regarding sexual misconduct, they may consider speaking with University Police or other law enforcement to preserve evidence in the event that they change their mind at a later date.



## *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 bag (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.

## 3. Confidential Support, Advocacy & Counseling

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The following resources are available for individuals to discuss incidents and issues related to sexual misconduct on a confidential basis. Confidential resources will not disclose information about incidents of sexual misconduct to anyone, including law enforcement or the University, 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 where state law requires a report be made. Confidential resources can provide survivors with information about support services and their options. Because of the confidential nature of these resources, disclosing information to or seeking advice from a confidential counselor 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 or law enforcement.

<sup>5</sup> CARE is a confidential advisor under the Illinois Preventing Sexual Violence in Higher Education Act.

## On-Campus **Confidential** Resources

### CARE: Center for Awareness, Response & Education<sup>5</sup>

Provides confidential support and advocacy services for students who are survivors of sexual violence, dating/domestic violence, or stalking, as well as friends and supporters of survivors. CARE support services include short-term management of trauma symptoms, safety planning, skill building, and a Trauma Recovery Group Advocates. can provide help requesting academic or housing accommodations from the University or support through a Title IX or police reporting process. CARE can also provide referrals to counseling, legal or medical advocacy, or other resources on and off campus.

Phone: (847) 491-2054

Location: Evanston Campus: 633 Emerson Street, 3rd Floor

Email: [care@northwestern.edu](mailto:care@northwestern.edu)

Website: [www.northwestern.edu/care](http://www.northwestern.edu/care)

### Women's Center Counseling Services

Provides counseling services for faculty, students and staff members

**Evanston Campus:** 2000 Sheridan Road

Phone: (847) 491-7360

**Chicago Campus:** Abbott Hall, Suite 1400  
710 North Lake Shore Drive

Phone: (312) 503-3400

Email: [womenscenter@northwestern.edu](mailto:womenscenter@northwestern.edu)

Website: [www.northwestern.edu/womenscenter/](http://www.northwestern.edu/womenscenter/)

## 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 North Lake Shore Drive

Phone: (312) 503-0936  
(847) 491-2151 (after hours)

Website: [www.northwestern.edu/counseling/](http://www.northwestern.edu/counseling/)

## Office of the University Chaplain/Office of Religious Life

Provides spiritual counseling and advice for all members of the University community

**Evanston Campus:** 1870 Sheridan Road

Phone: (847) 491-7256  
(847) 864-7865 (after hours)

Phone: chaplain@northwestern.edu

Website: [www.northwestern.edu/religious-life/](http://www.northwestern.edu/religious-life/)

## Faculty and Staff 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: [www.northwestern.edu/hr/work-life/faculty-staff-assistance-program.html](http://www.northwestern.edu/hr/work-life/faculty-staff-assistance-program.html)

## Hotlines (not staffed by or affiliated with Northwestern)

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  
[ohl.rainn.org/online/](http://ohl.rainn.org/online/)  
(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

LGBTBQ Violence  
Resource Line: 773-871-2273

Website: [www.centeronhalsted.org/](http://www.centeronhalsted.org/)

## Rape Victim Advocates

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

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

Phone: (312) 443-9603

Website: [www.rapevictimadvocates.org](http://www.rapevictimadvocates.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.org/evanston](http://www.ywca.org/evanston)

## Evanston Victim Services Program

Services include: crisis intervention for survivors of sexual violence and/or dating/domestic violence, medical and legal/court advocacy

Evanston Police Department 1454 Elmwood Avenue, Evanston

Website: [www.cityofevanston.org/police/about-us/police-social-services/](http://www.cityofevanston.org/police/about-us/police-social-services/)

## 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 700, Chicago,

Phone: (312) 408-1210

Email: [life-span@life-span.org](mailto:life-span@life-span.org)

Website: [www.life-span.org](http://www.life-span.org)

### Center for Contextual Change

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

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

Location: 9239 Gross Point Road, Skokie

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

Website: [www.centerforcontextualchange.org](http://www.centerforcontextualchange.org)

### Porchlight Counseling Services

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

Phone: (773) 750-7077

Website: [www.porchlightcounseling.org/](http://www.porchlightcounseling.org/)

### 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: 2434 E. Dempster St. Suite 111,  
Des Plaines

Phone: 773-583-1392

Website: [www.kanwin.org](http://www.kanwin.org)

## 4. Reporting Sexual Misconduct

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While the University strongly encourages reporting, members of the University community who believe they have experienced sexual misconduct have the right to choose whether or not to report the incident to the University or law enforcement and pursue a sexual misconduct complaint with the University.

The information below provides information for individuals who wish to report incidents of sexual misconduct.

### A. *Reporting to Law Enforcement*

Northwestern University encourages individuals to report incidents of sexual misconduct to University Police or local law enforcement officials. Timely reporting to the police is an important factor in successful investigation and prosecution of crimes, including sexual violence crimes, and may lead to the arrest of an offender or aid in the investigation of other incidents.

An individual who has experienced sexual misconduct has the right to choose whether to file a police report. Filing a police report can result in the investigation of whether sexual violence or related crimes occurred and the prosecution of those crimes against a perpetrator. It is important to know that reporting the incident to police or University Police does not mean an individual is obligated to testify in court.

The Northwestern University Police Department has officers who are specially trained to work with individuals reporting sexual violence. Further, University Police has a written guarantee for sexual violence survivors that reflects its primary concern for survivors and emphasizes sensitivity and privacy. (Available at: <http://www.northwestern.edu/up/crime/awareness/sexual-violence.html>). University Police can also assist in reviewing options with survivors and identifying and facilitating support resources related to:

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



Reports of sexual misconduct made to University Police will automatically be reported to the Title IX Coordinator or Deputy Title IX Coordinator 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:	<a href="http://www.northwestern.edu/up/">www.northwestern.edu/up/</a>

Evanston Police Department	
Evanston Campus:	1454 Elmwood Avenue, Evanston
Phone:	911 or (847) 866-5000 (24 hours)
Website:	<a href="http://www.cityofevanston.org/police/">www.cityofevanston.org/police/</a>

Chicago Police Department – 18th District (covers Chicago campus)	
Chicago Campus:	1160 North Larrabee Ave., Chicago
Phone:	911 or 312) 744-4000 (24 hours)
Website:	<a href="http://www.chicagopolice.org/">www.chicagopolice.org/</a>

## ***B. Reporting Incidents to the University***

An individual who has experienced sexual misconduct has the right to choose whether to report the incident to the Office of Sexual Harassment Prevention. As stated in Policy Section III, all University employees (including student employees) are obligated to promptly report incidents of sexual misconduct of which they become aware during the scope of their work for the University, unless they are a resource listed in Appendix D. Further, students, bystanders, and third parties who have observed or been made aware of sexual misconduct may report the incident to the Office of Sexual Harassment Prevention. Northwestern provides the option for making reports in-person, by email, regular mail, or phone, and electronically.

While anonymous reports will be reviewed by the Title IX Coordinator, the University's ability to address alleged misconduct reported by anonymous sources is significantly limited.

To speak to someone confidentially without making a report, please see the Confidential Resources listed in Section 3 above.

The staff identified below are specially trained to work with individuals who report sexual misconduct and have knowledge about on- and off-campus resources, services, and options – including the availability of protective measures discussed in Procedures Section 5. The University has generally designated the Title IX Coordinator to oversee complaints of sexual misconduct involving staff, faculty, and third parties, and the Deputy Title IX Coordinator for Students to oversee complaints of sexual misconduct involving students.

### **Title IX Coordinator and Director of the Office of Sexual Harassment Prevention**

*(Sexual misconduct complaints against faculty, staff, and third parties)*

Contact: **Joan Slavin, Title IX Coordinator;**  
*Director, Office of Sexual Harassment Prevention*

Phone: (847) 491-3745

Location: 633 Clark Street, Room 2-636, Evanston

Email: [j-slavin@northwestern.edu](mailto:j-slavin@northwestern.edu) or  
[TitleIXCoordinator@northwestern.edu](mailto:TitleIXCoordinator@northwestern.edu)

Website: [www.northwestern.edu/sexual-misconduct](http://www.northwestern.edu/sexual-misconduct)

## 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 Sexual Harassment Prevention:

Website: [Bit.ly/NUReportSexualMisconduct](https://bit.ly/NUReportSexualMisconduct)

Individuals may also file a report electronically by email to: [TitleXReport@northwestern.edu](mailto:TitleXReport@northwestern.edu).

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/](http://www.northwestern.edu/ethics/)

### C. *Reporting Incidents Involving Minors*

As stated in the University's Policy on Reporting Suspected Abuse and Neglect Related to Minors, it is the University's Policy that all University community members are obligated to report to DCFS and University Police any suspected abuse and neglect of a child. This includes any and all incidents of sexual misconduct involving minors. (Policy available at [http://policies.northwestern.edu/docs/Reporting\\_Child\\_Abuse\\_and\\_Neglect.pdf](http://policies.northwestern.edu/docs/Reporting_Child_Abuse_and_Neglect.pdf)). Further, it is a crime in Illinois to fail to report sexual abuse of a child of which someone over the age of 18 has personally observed.

## 5. Protective Measures

Protective measures are reasonable measures the University can put in place for an individual who reports having experienced sexual misconduct or retaliation. Protective measures can provide immediate support and help protect the individual's safety and ability to access their education and employment, at no cost to that individual. These measures can be temporary in duration pending the results of an investigation, but can become permanent. Protective measures include, but are not limited to:

- A no-contact directive issued by the Title IX Coordinator, Deputy Title IX Coordinator, or their designee;
- Housing or work space relocation;
- Changes to dining situation;
- Adjustment of course schedules or other changes to an individual's academic situation;
- Changes to work schedules or other changes to an individual's employment situation;
- Time off from class or work, or a leave of absence;
- Transportation arrangements;
- Safety planning;
- Honoring an order of protection entered by a court.

Protective measures are available regardless of whether an individual chooses to report an incident to University police or local law enforcement or pursue a complaint with the University. The Title IX Coordinator, Deputy Title IX Coordinator, or their designee will determine whether protective measures are reasonable and should be implemented, and, if so, will work to ensure that protective measures are implemented as soon as possible.

The University will keep confidential any protective measures provided, to the extent that maintaining such confidentiality would not impair the ability of the institution to provide the protective measures.

To seek a protective measure:

Students should contact:

Deputy Title IX Coordinator for Students: TBD
Email:
Website:

or

<b>The Center for Awareness, Response and Education (CARE)</b>
Phone: (847) 491-2054
Location: 633 Emerson Street, Third Floor, Evanston
Email: <a href="mailto:care@northwestern.edu">care@northwestern.edu</a>
Website: <a href="http://www.northwestern.edu/care">www.northwestern.edu/care</a>

Staff and faculty should contact:

Joan Slavin, <i>Title IX Coordinator</i>	
Phone:	(847) 491-3745
Location:	633 Clark Street, #2-636, Evanston
Email:	<a href="mailto:j-slavin@northwestern.edu">j-slavin@northwestern.edu</a> or <a href="mailto:TitleIXCoordinator@northwestern.edu">TitleIXCoordinator@northwestern.edu</a>
Website:	<a href="http://www.northwestern.edu/sexual-misconduct/">www.northwestern.edu/sexual-misconduct/</a>

Violations of directives related to protective measures may lead to an investigation and disciplinary action which may include, but is not limited to, the sanctions listed in Procedures Section 6B, including exclusion, expulsion, or dismissal from the University, and termination of employment, including revocation of tenure.

## 6. Investigation and Resolution of Alleged Violations of the Sexual Misconduct Policy

Reporting an incident of sexual misconduct or retaliation to the University can result in the investigation of whether a violation of this policy occurred and can also result in disciplinary action against any student, staff or faculty member, or outside party, who is determined to have violated this policy. The University has generally designated the Office of Sexual Harassment Prevention to receive and oversee complaints of sexual misconduct and retaliation. Upon receiving a report of sexual assault, stalking, or dating or domestic violence, the Office will provide the complainant with information about their rights and options.

The University's resolution process for reports of violations of this policy will be prompt, fair, and impartial. The resolution process is intended to afford a prompt response to reports of sexual misconduct, to maintain privacy and fairness consistent with applicable legal requirements, and to impose appropriate sanctions on violators of this policy. The resolution process for complaints of sexual misconduct is set forth in detail in Appendix C.

Because allegations of violations of this policy can sometimes raise challenging new issues and involve competing interests, the University reserves discretion to take reasonable actions to address those issues in a manner consistent with the spirit of this policy, and which preserves fairness for both parties and maintains the integrity in the investigation and resolution processes.

There is no time limit for when an incident of sexual misconduct may be reported; however,

in most cases, the University will not investigate reports of incidents that occurred over one year prior to the time the investigation is requested. The Title IX Coordinator reserves the right to conduct an initial inquiry, investigate, or otherwise address any report, regardless of the time it is made, based on concern for the safety or well-being of the University community. All reports should be made as soon as possible after the incident because the passing of time makes a review of the evidence more difficult and the memories of involved parties become less reliable.

If, based on an initial inquiry into the report, the Title IX Coordinator determines that insufficient information exists to move forward or that the alleged misconduct, even if substantiated, would not be a violation of the policy, the Office may close the case unless the Title IX Coordinator determines that the interests of the community warrant further action on the report by the Office or the University.

#### **A. Standard of review**

The University uses the preponderance of the evidence standard to determine responsibility of violations of this policy.

#### **B. Sanctions, corrective actions, and remedies**

Violations of this policy may result in sanctions and corrective actions, which can include, but are not limited to:

- Verbal warning
- Written warning
- Advisory Letter
- Monitoring
- Disciplinary hold on academic and/or financial records
- Performance improvement/ management process
- Required counseling or therapy
- Required training or education
- Campus access restrictions
- 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
- Exclusion
- Expulsion
- Degree revocation
- 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, the University may take steps to remediate the effects of a violation on victims and others.

Following an investigation, the University may extend protective measures, and/or take other measures to eliminate any hostile environment caused by the sexual misconduct, prevent the recurrence of any sexual misconduct, and remedy the effects of the sexual misconduct on the complainant and the University community. Such measures may include, but are not limited to, the protective measures referenced in Procedures Section 5, as well as counseling, training, and other preventative measures.

### **C. Advisor/legal counsel**

Complainants and respondents may be accompanied by one advisor throughout the investigation and any hearing process. An advisor is a support person who is present to provide support to a complainant or respondent throughout an investigation and/or hearing. An advisor may not speak, write, or otherwise communicate with an investigator, hearing officer or panel on behalf of the complainant or respondent. 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. Further, the advisor is still limited to the supportive and not participatory role described above. In all other matters, 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.

#### ***D. Privacy and Sharing of Information***

The University considers complaints and investigations conducted under this Policy to be private matters for the parties involved. For that reason, 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. The University does not publish the names nor post identifiable information about persons involved in a report of sexual misconduct in the University Police Daily Crime Log (Blotter) or elsewhere online. The University does not confirm to outside parties the identity of an individual who may be involved in a report of sexual misconduct without that individual's consent. However, the University cannot promise complete confidentiality or privacy in the handling of sexual misconduct reports or complaints.

Most situations require the disclosure of the complainant's identity to those involved in the investigation in order to fully investigate the matter and/or to enable the respondent to fully respond to the allegations. When individuals report allegations of 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 complaints may be limited. In cases where an individual reporting 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 Title IX Coordinator or Deputy Title IX Coordinator may determine that the University needs to proceed with an investigation based on concern for the safety or well-being of the broader University community (e.g., risk of future acts of sexual violence or a pattern of sexual misconduct). Northwestern reserves the right to take appropriate action in such cir-

cumstances, including in cases when the individual reporting the misconduct is reluctant to proceed.

All participants in an investigation of sexual misconduct will be informed that confidentiality 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. For these reasons, the complainant and respondent will be asked at the beginning of an 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 as to the investigation, to the extent consistent with applicable law.

Upon the conclusion of an investigation, the complainant and respondent will notified in writing, at the same time, of the outcome of the investigation, including whether the alleged conduct was found to have occurred, and any sanctions imposed on the respondent that directly relate to the complainant. For the same reasons noted above, the University encourages the parties to maintain the confidentiality of this communication.

## 7. Educational Training, Awareness and Prevention Programs

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The University offers a variety of training, awareness, and prevention programs to help prevent sexual misconduct within the Northwestern community. The University strives to ensure that such programming is developed to be culturally relevant; inclusive of diverse communities and identities; sustainable; responsive to community needs; is informed by research or assessed for value, effectiveness, or outcome; and considers 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 sexual misconduct, investigation, and resolution. For information on educational training, awareness, and prevention programs offered each year, see the Appendices to each campus' annual security report, posted at: [www.northwestern.edu/up/safety/annual-report/](http://www.northwestern.edu/up/safety/annual-report/).

For appendices referenced in the Policy on Sexual Misconduct, please see the policy posted on the Sexual Misconduct Response and Prevention website: [www.northwestern.edu/sexual-misconduct/university-policy/sexual-misconduct-policy.html](http://www.northwestern.edu/sexual-misconduct/university-policy/sexual-misconduct-policy.html)

# SEXUAL MISCONDUCT COMPLAINT RESOLUTION PROCESS

## I. INTRODUCTION AND GENERAL PROCEDURES

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### *Introduction*

Northwestern University is committed to providing a safe and non-discriminatory environment for all members of its community. The University's Policy on Sexual Misconduct prohibits sexual assault, sexual exploitation, stalking, dating violence, domestic violence, sexual harassment, and retaliation. The procedures below outline the process the University follows when it receives a report alleging a violation of the Policy on Sexual Misconduct. The Sexual Harassment Prevention Office ("the Office" or "Title IX staff") is responsible for handling reports alleging sexual misconduct. 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 these guidelines.

The process described below is Northwestern's internal University process to determine whether Northwestern's policy has been 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 to investigate or adjudicate criminal or civil legal violations. A victim of sexual violence or other crime has the right to simultaneously file and pursue a criminal complaint with law enforcement and a complaint with the University if he or she chooses, and to be assisted by the University in notifying law enforcement authorities if he or she chooses, or to decline to notify such authorities. Parties may also have options to file civil actions in court.

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

### *Participant Roles*

- A **complainant** is the person who reports a concern and/or who has been impacted by an alleged policy violation. (This person is called a **reporter** for purposes of other conduct violations handled in the Office of Student Conduct).

- 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 direct or indirect 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 and witnesses to participate fully in the complaint resolution process. In order for the University to investigate a complaint and/or enable a respondent to fully respond to the allegations, most situations will require the complainant's participation and that their identity be disclosed to the respondent. If a complainant decides not to participate, but wants disciplinary action to be taken, the University will determine whether it is possible to move forward with a case without the participation of the complainant. In some cases, it will not be possible for disciplinary action to be taken without the participation of the complainant.

When individuals report allegations of 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 complaints may be limited. In cases where an individual reporting 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 Title IX Coordinator or Deputy Title IX Coordinator or designee may determine that the University needs to proceed with an investigation based on concern for the safety or well-being of the broader University community (e.g., risk of future acts of sexual violence or a pattern of sexual misconduct). Northwestern reserves the right to take appropriate action in such circumstances, including in cases when the individual reporting the misconduct is reluctant to proceed.

The University expects respondents to participate fully in all aspects of the complaint resolution process. If a respondent elects not to participate 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.

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 complaints and investigations of sexual misconduct to be private matters for the parties involved. For that reason, 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. The University does not publish the names nor post identifiable information about persons involved in a report of sexual misconduct in the University Police Daily Crime Log (Blotter) or elsewhere online. The University does not confirm to outside parties the identity of an individual who may be involved in a report of sexual misconduct without that individual's consent. However, the University cannot promise complete confidentiality or privacy in the handling of sexual misconduct reports or complaints.

All participants in an investigation of sexual misconduct will be informed that confidentiality 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. 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 maintain complete confidentiality, to the extent consistent with applicable law.

The University reserves the right to share information regarding the case with other appropriate parties on a needtoknow basis in accordance with FERPA and other applicable law.

### *Retaliation*

Any participant in a sexual misconduct complaint who is aware of possible retaliation or has other concerns regarding the matter should report these concerns to the Title IX Coordinator, who shall take appropriate action to address such conduct in a prompt and equitable manner. Retaliation is explained on page 7 of the Policy on Sexual Misconduct.

### ***Case Resolution Timeline***

In most cases, the University investigates and resolves complaints of sexual misconduct, including determining what sanctions and/or corrective actions will be taken, within 60 days of receiving a complaint, though this may vary based on the availability of the parties and witnesses, the scope of the investigation, provision of interim protective measures or accommodations, or unforeseen circumstances. Many cases are resolved in a much shorter time. Extensions of time beyond this 60 day timeframe may occur for good cause. 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 complaint during any law enforcement investigation.

### ***Conflicts of Interest***

A list of investigators, panel members, and appeal reviewers who may make findings in sexual misconduct matters is posted at: {LINK}. Northwestern reserves the right to use an investigator, panel member, or appeal reviewer not on this list as it deems necessary. Parties have the opportunity to raise the issue of a potential conflict of interest or perceived bias within 2 days of their initial meeting with a Title IX staff member. The Title IX Coordinator will determine whether a conflict of interest exists. No investigator, panelist, or appeal reviewer will make findings or determinations in a case in which they have a conflict of interest.

### ***Standard of Evidence***

The University uses the preponderance of the evidence standard in investigations and hearings of complaints alleging sexual misconduct and any related violations. This means that the investigation and hearing determine whether it is more likely than not that a violation of the policy occurred. A preponderance of the evidence means that over 50% of the information supports a finding that the misconduct occurred.

### ***Advisor/Legal Counsel***

Complainants and respondents may be accompanied by one advisor throughout the investigation and any hearing process. An advisor is a support person who is present to provide support to a complainant or respondent throughout an investigation and/or hearing. An advisor may not speak, write, or otherwise communicate with an investigator, hearing officer or panel on behalf of the complainant or respondent. 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. Further, the advisor is still limited to the supportive and not participatory role described above. In all other matters, 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.

## II. REPORTING SEXUAL MISCONDUCT

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### *Time Limitations for Reporting Sexual Misconduct*

All reports should be made as soon as possible after an incident because the passing of time makes a review of the evidence more difficult and the memories of involved parties become less reliable. There is no time limit for when an incident of sexual misconduct may be reported; however, in most cases, the University will not investigate reports of incidents that occurred over one year prior to time the investigation is requested. The Title IX Coordinator reserves the right to conduct an initial inquiry, investigate, or otherwise address any report, regardless of the time it is made, based on concern for the safety or well-being of the University community.

### *Reporting Sexual Misconduct*

A report of a violation can be submitted by anyone by any means. Reports of sexual misconduct may be submitted electronically using an incident report form, which can be found here: [bit.ly/NURereportSexualMisconduct](https://bit.ly/NURereportSexualMisconduct). Reports can also be submitted by email to: [TitleIXReport@northwestern.edu](mailto:TitleIXReport@northwestern.edu), or in person to the Office of Sexual Harassment Prevention, 633 Clark Street #2-636, 847-491-3745. While anonymous incident reports will be reviewed by the Title IX Coordinator, the University's ability to address alleged misconduct reported by anonymous sources is significantly limited.

Upon receipt of a report of a violation, either from someone other than the alleged victim (e.g., a witness or a colleague), or directly by the alleged victim, a Title IX staff member will contact the alleged victim to provide information about resources and options. The information provided by the Title IX staff member will generally include information about 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 protective measures and accommodations; how to preserve evidence; where to access more information; and an invitation to meet with or speak to a Title IX staff member.



### III. INITIAL INQUIRY

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When the Sexual Harassment Prevention Office receives a report of sexual misconduct, Title IX staff will begin an initial inquiry as soon as practicable, generally within one week. This will most frequently begin with an attempt to gain additional information from the complainant or alleged victim, preferably through an in-person meeting. The scope and timing of further action will depend upon a number of factors, including but not limited to, whether the identity of the alleged victim is known; whether the complainant/alleged victim is willing to participate in an investigation and/or hearing; whether the complainant/alleged victim requests anonymity or confidentiality; whether the respondent is affiliated with the University; and whether the University has an obligation to proceed with an investigation based on concerns for the safety of the broader University community, regardless of the complainant's wishes. Following an Initial Inquiry, possible next steps include:

- **Close the Case:** In order for a case to be referred for a full investigation, there must be sufficient information to believe a policy violation may have occurred and the respondent may be responsible. The Office may dismiss 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 or a complainant who was unwilling to pursue formal resolution changes their mind, (consistent with the time limitations discussed above).
- **Informal Resolution:** Informal resolution involves action taken by the University in response to a situation or report of sexual misconduct when formal resolution is not desired by the complainant or when there is not enough information to proceed with a formal resolution process. Examples of informal resolutions can include, but are not limited to, a warning to cease current behaviors, no-contact directives, an educational conversation with the respondent or others, and changes in academic, work, or living arrangements. Mediation will not be used to resolve complaints involving sexual misconduct. See below for further information.
- **Formal Resolution:** The Title IX Coordinator, Deputy Title IX Coordinator, or designee may determine that there is reasonable information to suggest a policy violation may have occurred. In these cases, the complaint will proceed to further investigation and formal resolution. See below for further information.

## IV. PROTECTIVE MEASURES

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The Title IX Coordinator, Deputy Title IX Coordinator, or designee will also determine whether protective measures should be taken while the case is pending. Protective measures may include measures taken prior to the formal resolution to ensure the safety and security of the campus community and/or following the resolution of a case. Protective measures may be applied to the complainant, the respondent or the broader University community and include (but are not limited to):

- A nocontact directive placed between members of the community
- Changes in academic, work, or living arrangements
- Assistance in requesting academic allowances
- A formal request or warning that a community member cease certain behaviors
- Removal of privileges or suspension of activity (including attendance in a specific class)
- Issuance of a timely warning to the University community
- Interim relocation or removal from campus housing (pursuant to the procedures set forth in the Student Handbook)
- Interim suspension or administrative leave pending resolution (pursuant to the procedures set forth in the applicable Student, Faculty, and Staff Handbooks).

## V. INFORMAL RESOLUTION

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Informal resolution can be used in certain sexual misconduct cases as a way to prevent the recurrence and remediate the impact of alleged sexual misconduct. Informal resolution is most commonly used in cases where the identities of the complainant or respondent are not known or when the complainant wishes to remain anonymous or requests that further action not be taken and the University is able to honor this request. Informal resolution may also be used when the Office determines there is not enough information to proceed to a formal resolution but still believes some action is necessary to address the impact on the University community. Informal resolution is not used when formal resolution is desired by a complainant and the respondent's identity is known. A matter initially resolved through informal resolution may later be referred for formal resolution if additional information becomes available or a complainant who was unwilling to pursue formal resolution changes their mind, (consistent with the time limitations discussed above).

Informal resolution does not result in findings related to responsibility or in sanctions. Options for informal resolution include, but are not limited to:

- A nocontact directive placed between members of the community
- Changes in academic, work, or living arrangements
- An educational meeting with the respondent
- Training for a group or unit
- A formal advisory letter
- Permanent relocation or removal from a residence hall or fraternity/sorority-affiliated on-campus housing

## VI. FORMAL RESOLUTION

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### *Notification to Respondent*

The sexual misconduct complaint resolution process operates under a standard of fairness, which includes an opportunity for the respondent 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 Office will notify the respondent of the alleged misconduct and the respondent will be given an opportunity to respond. The notification will typically include a brief description of the alleged misconduct, 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*

The University will investigate complaints proceeding through formal resolution. Depending upon the circumstances, one or more investigators will be assigned from the Sexual Harassment Prevention Office, the Office of Equal Opportunity and Access, or the Office of Human Resources. In some cases, another University office may conduct an investigation under the direction of these offices, or an outside investigator may be retained. All investigators are trained on Title IX and the University's policies and procedures. Further, the Title IX Coordinator and the Deputy Title IX Coordinator for Students will be trained as hearing officers for purposes of adjudicating other potential violations of the student code of conduct arising out of the same complaint. Depending on the circumstances and in its discretion, the University may consolidate for investigation multiple complaints involving the same respondent; and/or complaints where the parties have made sexual misconduct allegations against each other.

During an investigation, the complainant will have the opportunity to describe their allegations and present supporting evidence to the investigator. The respondent will have the opportunity to hear the allegations, respond to them, and present supporting evidence to the

investigator. Investigation meetings are not electronically recorded by the University, and may not be recorded by any participant. Parties and witnesses may take notes during investigation meetings. Generally, the investigator will meet with each party and each witness separately. In some cases, the investigator may interview the parties and/or witnesses more than once. The parties may submit additional materials or information to the investigator following their interview(s). In all cases, both the complainant and respondent will have equal opportunities to share information and have their information considered.

The complainant and the respondent will both have the opportunity to present names of witnesses they suggest the investigator solicit information from and questions they request that the investigator ask the other party. Complainants and respondents may only present factual witnesses and may not present character or expert witnesses. The investigator will take the lists provided by the complainant and respondent into consideration when identifying whom they will interview and what questions they ask, but these decisions remain in the investigator's discretion. The investigator may also choose to interview other witnesses not identified by the parties.

Following investigation, the matter will be resolved using either Administrative Resolution or a Panel Hearing, as discussed below.

### ***A. Administrative Resolution***

Administrative resolution is used in all sexual misconduct cases involving faculty, staff, or third party respondents, and in cases involving student respondents that do not have the potential to result in separation from the University of a respondent (i.e., suspension, exclusion, degree revocation, expulsion, or group dissolution). The potential of an alleged violation involving a student respondent to result in separation from the University will be determined by the Title IX Coordinator, Deputy Title IX Coordinator, or designee following initial inquiry.

Administrative resolution involves a determination made by the Sexual Harassment Prevention Office of whether the *Policy on Sexual Misconduct* has been violated. In addition, the Office may make findings on other potential policy violations arising out of the same complaint in place of the student conduct administrative hearing process (UHAS) or other University investigation process that otherwise would have been applicable.

The complainant and the respondent will both be notified simultaneously in writing of the findings of the administrative resolution. In the event a violation is found, the investigator will also provide their findings to the appropriate University office.

- For student respondents, in the event a policy violation is found, the Title IX Coordinator or Deputy Title IX Coordinator, in consultation with the Director of the Office of Student Conduct or designee, will determine what sanctions or corrective actions should be imposed on the respondent in accordance with the Sanctions section of the Student Handbook.
- For staff respondents, in the event a policy violation is found, the Title IX Coordinator will provide findings 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 Staff Handbook.
- For faculty respondents, in the event a policy violation is found, the Title IX Coordinator will provide findings to the faculty member's Dean and the Associate Provost for Faculty. Any sanctions or corrective actions imposed will be determined in accordance with the procedures set forth in the Faculty Handbook.
- For third party respondents, findings of a violation will be provided to the appropriate University office for further action consistent with the findings.

Notification of findings and sanctions may be provided to the complainant and the respondent in separate correspondence from the investigator and the office imposing the sanction. Notification to the complainant will include findings related to violations of policy, 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 hostile environment, if such was found to exist. In a case related to alleged sexual assault, stalking, or dating or domestic violence, the notification of outcome will also include the rationale for the findings related to violations of policy and all sanctions imposed on the respondent, not just those directly related to the complainant. The respondent generally will not be notified of the individual remedies offered or provided to the complainant. Complainants and respondents are informed of appeal procedures and any changes to the outcome that occur prior to the time that such outcome becomes final. The University encourages the parties to maintain confidentiality of all communication related to findings and sanctions.

### ***B. Panel Hearings in Certain Student Cases***

In cases where the Deputy Title IX Coordinator or designee has determined, based on initial inquiry, that the alleged violation has the potential to result in separation of a respondent from the University (i.e., suspension, exclusion, degree revocation, expulsion, or group dissolution), the matter will be heard in a panel hearing pursuant to the University Hearing and Appeals System (UHAS) Panel Hearing Process. That process is set forth in Appendix A.

## VII. SANCTIONS

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When a violation of the Policy on Sexual Misconduct is found, sanctions are determined based on several factors, including the severity of the conduct and any prior policy violations. In addition, the University may take steps to address the effects of the conduct on victims and others, including, but not limited to, counseling and support resources, academic and housing assistance, change in work situations, leaves of absence, and training or other preventative measures. Sanctions and remedial actions aim to eliminate any hostile environment, prevent sexual misconduct from recurring, and remedy any discriminatory effects on a complainant or others. Sanctions and corrective actions can include, but are not limited to:

- Verbal warning
- Written warning
- Advisory Letter
- Monitoring
- Disciplinary hold on academic and/or financial records
- Performance improvement/ management process
- Required counseling or therapy
- Required training or education
- Campus access restrictions
- 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
- Exclusion
- Expulsion
- Degree revocation

- Termination of employment
- Revocation of tenure
- Termination of contract (for contractors)

## VIII. APPEALS

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### A. Appeals After Administrative Resolution

The complainant or respondent may appeal the findings in an administrative resolution, and, if sanctions are imposed, a determination of sanctions. An appeal will be handled in a manner consistent with any applicable terms or procedures in the Faculty Handbook, Staff Handbook, or applicable contract. Otherwise, the terms and procedures outlined in these guidelines will control.

The appeal must be made within five (5) calendar days of the date of the written notification of the findings or, if sanctions are imposed, the determination of sanctions. An appeal must be in writing and specify the basis for the appeal. 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 ;
- 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).

In the event sanctions were imposed, it shall be in the discretion of the Title IX Coordinator 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:

Joan Slavin  
Title IX Coordinator  
Rebecca Crown Center  
633 Clark Street  
Evanston, IL 60608  
(847) 491-3745  
[j-slavin@northwestern.edu](mailto:j-slavin@northwestern.edu)



- An appeal of a complaint against a faculty member should be addressed to:

P. Lindsay Chase-Lansdale  
Associate Provost for Faculty  
Rebecca Crown Center  
633 Clark Street  
Evanston, IL 60608  
(847) 467-6906  
[lcl@northwestern.edu](mailto:lcl@northwestern.edu)

- An appeal of a complaint against a staff member or third-party should be addressed to:

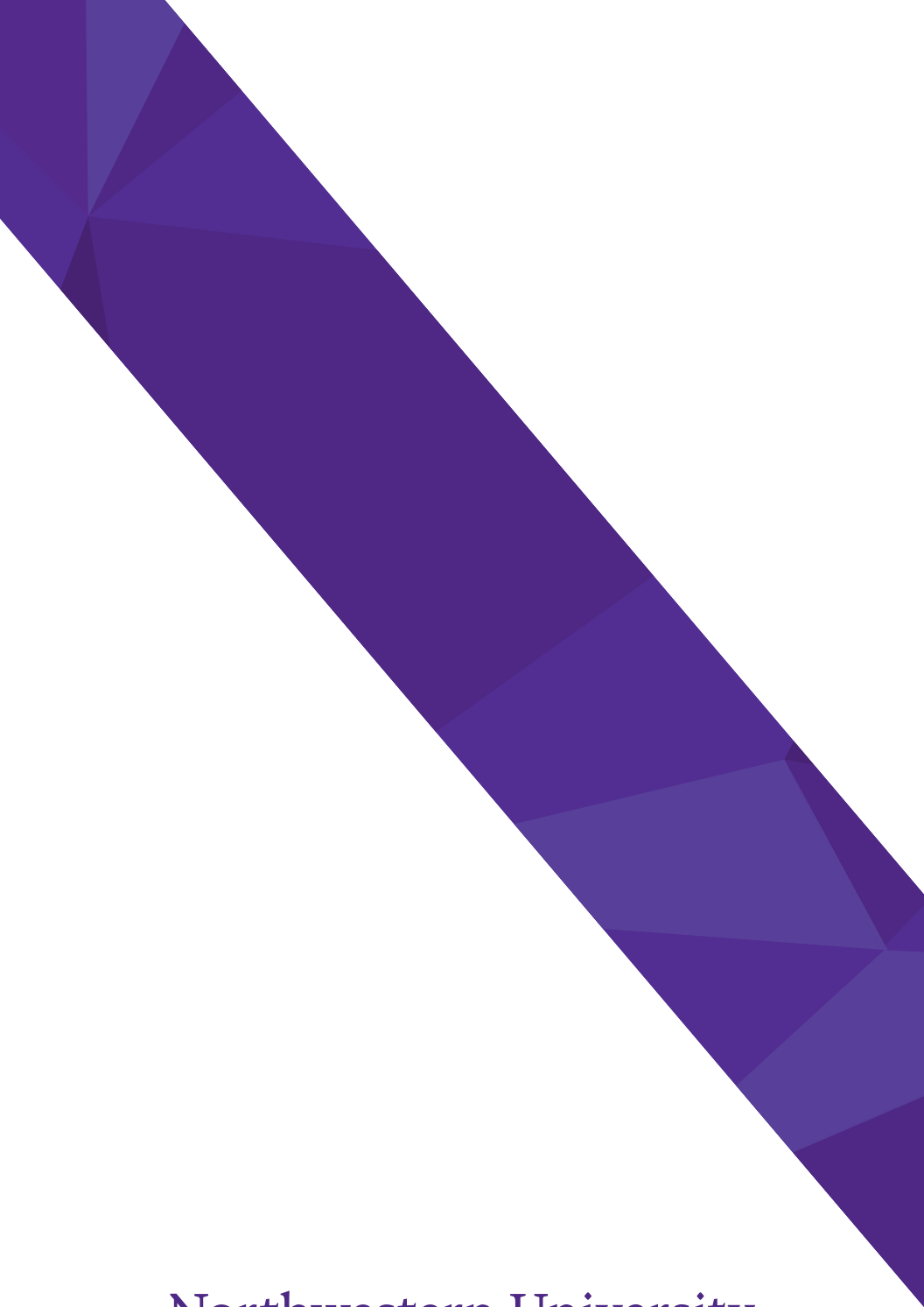
Pamela S. Beemer  
Associate Vice President for Human Resources  
720 University Place  
Evanston, IL 60208  
(847) 491-7505  
[p-beemer@northwestern.edu](mailto:p-beemer@northwestern.edu)

The decision on an appeal will be issued as expeditiously as possible, usually within 21 days, 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 investigator for further consideration. A final outcome on an appeal is not subject to further appeal.

### ***B. Appeals After Panel Hearing***

In student cases that are resolved through a Panel Hearing, the parties may request an appeal, which is conducted using the process set forth in the University Hearing and Appeals System (UHAS) (**See Appendix A**).

For Appendix A please see the panel hearing section of the University Hearing and Appeals System section of this handbook on page 106.



Northwestern University