

Northwestern



2018
STUDENT
HANDBOOK
2019

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.¹

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.² 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.

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

² 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 non-negotiable 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.

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

Rights and Responsibilities of the Northwestern Community

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

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

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

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


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

Policy Statement on Student Rights and Responsibilities

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

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

1. Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, veteran status, or genetic information in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.
2. The student has freedom of research, of legitimate classroom discussion, and of the advocacy of alternative opinions to those presented in the classroom.
3. The student will be evaluated on knowledge and academic performance for purposes of granting academic credit and not on the basis of personal or political beliefs.
4. The teacher-student relationship within the classroom is confidential, and disclosures of a student's personal or political beliefs expressed in connection with course work will not be made public without explicit permission of the student. It is understood that the teacher may undertake the usual evaluation of knowledge and academic performance.
5. Students' records may be released to persons outside the University only on request of the student or through compliance with applicable laws.

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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 recognized student organizations, subject to policies as to time and manner governing the facility.
 13. Students may invite and hear speakers of their choice on subjects of their choice, and approval will not be withheld by University officers for the purpose of censorship.
 14. Students will have their views and welfare considered in the formation of University policy and will be consulted by or represented on University committees that affect students as members of the University community.
 15. Students are free to assemble, to demonstrate, to communicate, and to protest, recognizing that freedom requires order, discipline, and responsibility and further recognizing the right of all faculty and students to pursue their legitimate goals without interference.

16. Students will be exempt from disciplinary action or dismissal from the University except for academic failure, failure to pay a University debt, or violation of a student or University policy. Policies shall be fully and clearly communicated in advance of the alleged violation. The University has no authority over a student when outside University property, except where the student is on the property of a University affiliated institution, where the student is engaged in a project, seminar, or class for academic credit, or as otherwise provided in University policies and procedures (See the Student Code of Conduct page 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**

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.

Academic Failure

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

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

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

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

A. Basic Standards of Academic Integrity

Registration at Northwestern requires adherence to the University's standards of academic integrity. These standards may be intuitively understood, and cannot in any case be listed exhaustively; the following examples represent some basic types of behavior that are unacceptable.



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

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

B. Due Process and Student Rights

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

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

1. Prompt investigation of all charges of academic dishonesty, to be conducted, insofar as possible, in a manner that prevents public disclosure of the student's identity. Such investigation may include informal review and discussion with an official of the school prior to bringing a charge, provided that such review does not compromise the rights of the student in the formal process.
2. Reasonable written notice of the facts and evidence underlying the charge of academic dishonesty and of the principle(s) of academic integrity said to have been violated.
3. 3. Reasonable written notice of the procedure by which the accuracy of the charge will be determined.
4. 4. Reasonable time, if requested, within which to prepare a response to the charge.
5. 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. 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. 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 and warning.
3. A defined period of suspension, up to one year. Ineligibility for certain awards, honors and special programs.
4. Revocation of an awarded degree.
5. Permanent exclusion from the University (noted on an official transcript).
6. Any combination of the above.

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

E. Reportability

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





STUDENT CODE
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STATEMENT OF EXPECTATIONS

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

When learning of conduct or behavior that may not meet these standards, community members are expected to take an active role in upholding our community principles and values. Students are encouraged to alert the police or emergency personnel; report the behavior to University officials; confront the situation as it occurs; or speak directly to the individuals involved. All emergencies should be reported by calling police through 911. For information on filing a report of concern with the Office of Student Conduct, please see [page 106](#).



SCOPE OF THE CODE OF CONDUCT

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



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

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

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

GROUPS AND RECOGNIZED ORGANIZATIONS

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

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

Or whether:

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

Collective and Individual Responsibility

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

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/assets/nuannualnotification2017.pdf

Alcohol

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



- a. Use or possession of alcohol, or containers that previously contained alcohol, by individuals under the age of 21 (or the age of majority in the jurisdiction);
- b. Manufacturing alcoholic beverages on University property, premises, or facilities (except as specifically authorized by the University) or by individuals under the age of 21;
- c. Providing or distributing alcohol to individuals under the age of 21;
- d. Severe intoxication resulting in disruptive behaviors or concern

- e. Driving under the influence of alcohol or while intoxicated;
- f. Possession of open containers of alcohol in public buildings, parks, beaches, highways, streets, alleys, sidewalks, parkways, and public parking lots (except as specifically authorized by legal authority); and
- g. Violations of other laws pertaining to alcohol.

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

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



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

Students and student organizations who wish to plan an event for undergraduate students at which alcohol is available for individuals over the age of 21 should consult the [Policy Regarding Alcohol at Events for Undergraduates](#). Any undergraduate event, at which alcohol will be served, is expected to prioritize the safety and welfare of all guests by, at minimum, following the provisions noted in the policy, which can be found on [page 68](#).

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

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

To be eligible for Amnesty through Responsible Action you must:

1. **CALL for help:** In medical emergencies, immediate action should be taken by calling 9-1-1 from either on or off campus. You may also activate a University Blue Light emergency phone anywhere on campus. In non-emergency situations, 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 or student group takes responsible action (for themselves or for others) and calls, stays, and cooperates, or has such action taken for them, the responding party (e.g., NUPD, Resident Assistant) will fully document the incident. Students will be asked to provide their name, ID number, and contact information to the responding party(ies). Students and if applicable, student groups will receive a notice from the Office of 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 or student group followed all required steps to be eligible for Amnesty through Responsible Action, the student or student group will not be held accountable for an alcohol or other drug related policy violation (with the exception of driving under the influence). The student may still be asked to complete an alcohol or other drug intervention and to complete educational activities. For example, a student may be required to participate in BASICS or alcohol and other drug education group through Health Promotion and Wellness, or may be required to seek an evaluation for substance abuse and to follow treatment recommendations. Student groups may be asked to participate in educational activities. Amnesty through Responsible Action applies only to alcohol and other drug related policies. If other policy violations occurred, or may have occurred, the student or student group will participate in the student conduct process related to those policies and may be found responsible.

In order for Amnesty through Responsible Action to apply, the student or student group must agree to timely completion of any educational assignment, recommended assessment, and/or treatment. 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 or student group may be subject to formal disciplinary action.



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

Should the student or student group be found responsible for a subsequent violation of University policy, the 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 appropriate outcome.



Amnesty Through Responsible Action, In Summary

1. The incident will be documented by the responding party (e.g., NUPD, Resident Assistant) in an incident report submitted to the Office of Student Conduct.
2. Students involved will meet with staff from the Office of Student Conduct to share their account of what occurred.
3. If a student is found to be eligible for Amnesty related to alcohol or other drug misconduct:
 - a. The student will not receive any disciplinary outcomes (e.g., warning or probation).
 - b. The student may receive educational outcomes such as participating in an alcohol or other drug intervention and/or having a parent letter sent home.
4. If the student is not found to be eligible for Amnesty or there are additional allegations of policy violations unrelated to alcohol or drug misconduct, the student may receive both disciplinary and educational outcomes.

Destruction of Property

Destroying, damaging, defacing, or vandalizing property.

Discrimination 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. Further

prohibited by law is discrimination against any employee or job applicant who chooses to inquire about, discuss, or disclose their own compensation or the compensation of another employee or applicant.

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/hr/equopp-access/equal-employment-opportunity/nondiscrimination.html. A printable brochure with this information may be found at www.northwestern.edu/sexual-misconduct/docs/discrimbrochure.pdf.

Disorderly Conduct

Disorderly conduct or disruptive acts, including the following:

- a. No member of the University community may 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.
- b. No member of the University community may impede (or attempt to impede) others from participating in a University activity.
- c. Urinating or defecating in public view or in a public space, or in a space not intended for such purpose.

Demonstration Policy

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

I. General Guidelines

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

- A. **Rights of others.** No community member may prevent or obstruct (or attempt to prevent or obstruct) the speech or other expression of another community member, except that Northwestern Police or other University officials may act consistent with this Policy to ensure the speech or other expression of community members is consistent with the guidelines in this Policy. Similarly, no community member may deprive (or attempt to deprive) others of participation in a University activity, threaten use of force against any community member, or otherwise interfere with the function of others within the University.
- B. **University operations.** No community member may prevent or obstruct (or attempt to prevent or obstruct) (i) the regularly scheduled activities of the University, such as classes, research, learning, meetings, interviews, ceremonies, emergency services, or University business; (ii) co-curricular activities; (iii) University or public events; or (iv) medical center access or business. Similarly, no community member may use or occupy campus facilities so as to impede the carrying forward of such activities or events. Groups may occupy space but not in a manner that blocks movement around the campus (including but not limited to entrance to or egress from any campus building, campus facility, or University-owned and -maintained roadway or pathway) unless authorized by a University official.
- C. **Research areas.** Demonstrations cannot take place in research areas where the presence of participants would compromise individual safety or violate laws, regulations, or Northwestern policies relating to research safety.

- D. **Signs.** Placards, banners, and signs may not obstruct the view of those assembled or endanger other community members.
 - E. **Police and other officials.** The role of Northwestern Police during a demonstration is to maximize the safety and security of community members as well as University property. When enforcing this Policy, other Northwestern policies, or applicable law, Northwestern Police or other University officials may request community members to identify themselves and/or instruct community members to remove placards, banners, or signs or to leave a University location. Community members are expected to follow these requests.
 - F. **Facilities.** All events are subject to the requirements and limitations of the event's location, including room occupancy. All events must comply with applicable building safety codes.
 - G. **Other laws and policies.** Participants in demonstrations or protests are subject to other Northwestern policies, city ordinances, and state and federal law in addition to this Policy.
- II. Event Notification and Other Advance Arrangements
- A. **Student events.** To facilitate advance planning of an event and to help protect the community, students and/or student groups are encouraged to notify Student Organizations and Activities in advance of any demonstration (see "Contacts" below for additional information). Notification should be submitted at least 48 hours before the start of the event. Whenever possible, students and/or student groups should give additional advance notice, ideally two weeks or more, to best facilitate planning. When conducting such events, student organizers are expected to promote a safe environment and, to the best of their ability, ensure participants adhere to the Student Code of Conduct.
 - B. **Event Support Team (EST).** Once notified of a planned demonstration, typically involving students, the University will convene the EST, which provides on-site support to assist with management of the event. The EST will actively attempt to preserve open discourse surrounding and during the event.
 - C. **Resources for risk assessment.** Occasionally an invited speaker or event will raise a credible likelihood (based on prior incidents or communications of intent) that the speaker or event may prompt a demonstration or become the target of threats or violence. In these circumstances, community members planning an event are encouraged to notify Student Organizations and Activities and/or Northwestern Police as soon as is feasible to consult and conduct a risk assessment (see "Contacts" below for additional information).

- D. **Reserving space.** Community members are expected to follow applicable guidelines for seeking permission to use University space to conduct demonstrations. All outdoor events and activities are subject to the requirements outlined in Northwestern's Outdoor Event Request Portal.
- E. **Security.** Community members planning an event may need police presence or security, especially if there is a possibility of protest or dissent. Northwestern Police will assess and determine the safety and security needs for the event. Their assessment may result in the presence of police officers, security officers, and processes such as bag-check, event ticketing, and other steps to maximize the safety of attendees and the broader community.
- F. **Media.** Faculty or staff planning to invite journalists other than Northwestern student journalists to cover an event should contact Global Marketing and Communications in advance of the event.

III. Counter Demonstration

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

Response

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



Endangering Self or Others

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

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 before instructed to do so.

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

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

Hazing

It is the responsibility of all students/student organizations to encourage an atmosphere of learning, social responsibility, and respect for human dignity and to provide positive influences and constructive development for members and aspiring members. Students/organizations are expected to use good judgment to determine the abilities of individual

students as they relate to organization activities and requirements. If a healthy team or organization is being created and the values and purpose of the organization are being upheld, chances are the organization will not have to worry about whether or not an activity is hazing. Hazing leads to dysfunction within the organization and is ineffective at creating teamwork, respect, and unity, and it is an unproductive and hazardous custom that is forbidden by the University.



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/hazing-prevention/reporting/how-to-report/index.html

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

Helpful Information about Hazing

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

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

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

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

Information Technology

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

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



Misconduct within the Student Conduct Process

Misconduct related to the student conduct process (University Hearing and Appeals System) or 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 104](#);
- 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

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

Violations of the University's policy on Sexual Misconduct (see [page 130](#)), 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

Unauthorized taking of property, including the following:

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

University Properties (Use of)

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

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

Violations of Other Policies

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

Weapons and Related Items

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

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

SANCTIONS

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

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. Expulsions are noted on student transcripts.

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

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)

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

Housing 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)

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 miscon-

duct, 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)

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 al-

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

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



WILDCAT
WELCOME

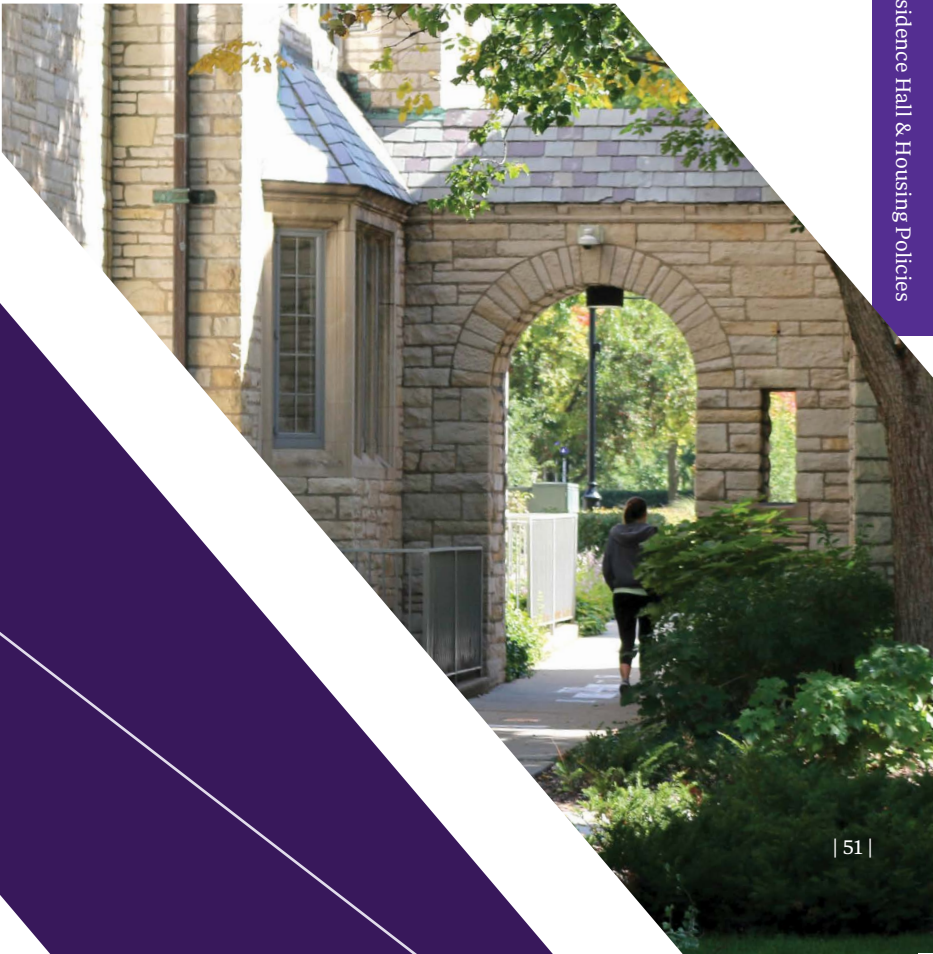
RESIDENCE HALL AND HOUSING POLICIES AND PROCEDURES



POLICY FOUNDATION

Building an effective community is facilitated primarily by residents' respect for one another and cooperation with fellow residents and hall staff. Policies and procedures are in place to ensure the successful development of our residential community and a safe and secure environment for all residents. In addition, all policies contained within, apply to residents, non-residents and guests that enter the residential facilities. Failure to comply with any University policies and procedures, including those outlined here, may result in action through the student conduct process, known as the University Hearing and Appeals System, as is outlined on [page 99](#) 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.



RESPONSIBILITIES TO THE COMMUNITY

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



Resident Rights

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

- The right to read, study, and live free from undue interference, 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 smoke free environment;
- The right to access one's room and to the facilities provided in the residence hall, except when there is a significant threat to health or safety or violation of University policy;
- The right to personal privacy;
- The right to have any alleged violations of policy resolved through the University Hearing and Appeals System; and
- The right to be free from physical or psychological intimidation, harassment, and/or harm.

RESIDENCE HALL POLICIES AND PROCEDURES

The policies and procedures outlined below are included in the residence and board contract between student residents and Northwestern University. As such, all residents are responsible for complying with these policies and procedures in addition to the policies outlined in the Student Code of Conduct and all other University policies. Residents are responsible for the activities that occur in their room, 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.

Access, Keys, and Key Cards

1. All keys and key cards (including Wildcards) are the property of Northwestern University. Residents and non-resident Residential College members are prohibited at all times from giving and/or loaning their keys/access cards to anyone for any reason. Any duplication of University keys/access cards is strictly prohibited. Replacements for lost keys must be obtained from the 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, residents must report this to their desk to process a lock change, for which the charge (including a new key) is \$196. If a key card is lost, there is a \$25 replacement fee. If a key is broken, it will be replaced without charge, provided all of the pieces are returned to the neighborhood desk. Damaged Wildcards must be reported to the Wildcard office to avoid a \$15 (\$25 for Indala contactless smartcard) 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 check out with Residential Life staff within 48 hours of their room change or move-out date. Failure to return any keys or access cards assigned within this time limit will be cause for the assessment of damages as specified in the residence and board contract and an improper checkout charge.
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

1. Students under the age of 21 may not be present in any undergraduate residence hall location in which an alcohol policy violation is occurring. Students under the age of 21 are expected to leave the location in which the alcohol policy violation is occurring, or notify appropriate staff members to stop the violation.
2. Students who live in substance free living units are not permitted to consume alcohol in their residence, regardless of age.
3. Residents (other than those living in substance free units) who are 21 years of age or older may consume alcohol in the privacy of their rooms/apartments so long as the only individuals under 21 are the student's roommates (or in the case of students in graduate residence halls, family members), the event does not become public, does not create a disturbance, and the number of individuals present does not exceed double the occupancy of the sleeping quarters (e.g., four people in a double room).
4. "Progressive parties" involving multiple rooms or multiple floors where alcohol is present are prohibited.
5. Residents and their guests may not possess or use alcohol, regardless of age, in any common area of a residential facility including all residence halls and graduate housing facilities (except as specifically authorized by Residential Services).
6. Graduate Students, residing in graduate housing facilities, who are over the age of 21, may consume alcohol in community lounge spaces, not including children's play areas, so long as no disturbance is created, common source containers (i.e. – kegs) are not present, and all individuals consume responsibly.
7. No alcohol is permitted in any undergraduate residence hall at any time during Wildcat Welcome, regardless of age.

Facility Use

1. Rooms must be maintained in good sanitary condition and free of any noxious odors. A noxious odor is any aroma of such intensity that it becomes apparent to others. Any odor may become noxious or offensive when it is too strong. Some examples are perfume, air freshener or large amounts of dirty laundry. When the source of a noxious odor can be traced to a particular room, the occupants of that room may be subject to disciplinary action.
2. Rooms 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.
3. 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.
4. The removal or opening of window screens, or of stops designed to limit the opening of the window, by residents, either permanently or for a short period of time, is prohibited.
5. All University furnishings and fixtures must remain in the room they are assigned to at all times. Furniture in lounges and common areas must not be removed from the room they are located in.
6. Playing musical instruments in any resident's room is prohibited, when the playing disturbs the community.
7. Engaging in physical activities of any kind in the residential facilities is prohibited. Examples include skateboarding, tossing a football or basketball, use of hover boards, and riding bicycles.
8. Residence halls are restricted areas and may not be used for sale and solicitation of goods and services, for the collection of information, or to gain support for organizations or causes without permission from Residential Services. Residents must occupy their assigned spaces solely as personal residences. Students may not operate a business or other commercial enterprise, including those conducted online or via the Internet, from their residence hall room or building. Students may not use room/apartment addresses, phone numbers, data jacks, or wireless internet access for nonresidential purposes. Any exception to this policy requires written approval from the executive director of residential services or designee.
9. Subletting or rental of rooms to another individual outside of the assigned resident is prohibited at all times (e.g., AirBnB).

10. No one is permitted to place materials on, at, or under resident room doors unless for official University business or communication between known acquaintances. At no time and under no circumstances will doortodoor solicitation be permitted within the residence halls.
11. 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 94](#).
12. Residents may be held accountable for behavior they allow to occur in their room, even if they are not present.

Fire Safety

1. Fire alarms, automatic sprinklers, extinguishers, and other devices are provided for the safety of residents in case of fire. Exiting through an alarmed security door (except in case of emergency) or propping open, disabling, or tampering with a fire door is prohibited. Tampering with these devices or using them for other purposes is prohibited, including covering devices or hanging items from sprinkler pipes. Sounding a false alarm is a violation of city and state law and University policy. **Persons found to have sounded a false alarm, misused security or fire doors, or tampered with extinguishers, smoke or fire detection devices, or automatic sprinklers may be fined, and other disciplinary sanctions may be applied up to and including removal from University housing.**
2. Fire exit drills for residence halls 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.

5. Residents are responsible for minimizing the risk fire hazards by not placing any items on radiators or radiator covers. In addition, electrical outlets should not be overloaded with multiple plug adaptors or extension cords.

Guests

1. Only residents assigned by Northwestern University may reside in their assigned rooms; residents may not invite or permit any other person to reside in their assigned room or in any other area of the residence hall.

2. A resident may have overnight guests, limited to one guest per resident at any one time with approval of all roommates/suitemates. Overnight guest privileges are limited to a maximum of three consecutive nights and a total of seven nights per resident per quarter. A guest is defined as any person who does not have a contract to live in a given space.



3. A resident may host 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.
4. Residents are accountable for the conduct of their guests and may be subject to disciplinary action for violations of University policy committed by their guests.

Information Technology

1. All telecommunication services in the residence halls—including, but not limited to, telephone and data services—are provided exclusively through Northwestern University Information Technology (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. Wireless internet is provided to all residents in their rooms and commons spaces in all residence halls. Residents must provide their own computers. Operation of file or web servers is prohibited.
2. 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 91](#), residents may not show copyrighted videos or materials outside of their own rooms.
5. Residents are prohibited from using university email listservs for the promotion of personal business ventures and from carrying out jokes or pranks on other residents. In addition, it is prohibited to misrepresent oneself or impersonate another person or organization on a university sponsored listserv.

Non-Residents

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

Occupancy

1. Only approved residents may remain in the undergraduate residence halls during break periods. Residents not approved must check out of their residence hall within 24 hours of their last scheduled final exam in the fall quarter. In addition, all residents must check out and remove all personal belongings from the residence halls within 24 hours of their last scheduled final exam in June. Personal items may not be stored in residence halls during the summer. Northwestern University will not be responsible for any loss due to fire, theft, or other casualty.
2. If any resident unreasonably refuses to accept a roommate or hinders the University in the assignment of or occupancy by a roommate, the University may, at its discretion, require that resident to be responsible for the total rent for the room.
3. Residents or guests may not occupy or sleep in common areas of the residence hall.
4. Residents may not occupy and/or use any other sleeping room aside from their University assigned bed space without University permission.
5. In buildings with community restrooms, restrooms on each residence hall floor are to be used only as designated by males or individuals who have a gender identity or expression as male, or by females or individuals who have a gender identity or expression as female.
6. 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


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,

- f. toaster ovens and toasters
- 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 such as:
 - 1. *Hanging blankets, tapestries, rugs or fishnets*
 - 2. *Any decoration that covers more than 50 percent of the wall or window space*
 - 3. *Combustible decorations on or near heat sources such as radiators or light bulbs*
 - 4. *Dart Boards*
- c. Any method of affixing decorations that puts holes in or marks walls, woodwork, doors, or furnishings is prohibited.
- d. No decorations, flags, banners, or other items may be hung on the exterior or draped from a window or doorway of any residence hall.
- e. Signs or posters in windows or on doors must have the approval of all roommates and are subject to the approval of the University.
- f. Lighted candles, live holiday trees, 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 Resident Director for accommodations. Candles with unburnt or cut off wicks are permitted.
- g. The possession or use of firearms or other weapons of any description and for any purpose is prohibited. Air soft guns, pellet guns, and other plastic guns/weapons whether real or fake are prohibited. Knives that are used for cooking purposes and pocket knives with blades less than four-inches are allowed, while all others including, hunting, combat, and switchblade are prohibited.

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- h. Fireworks, explosives, and incendiary materials are prohibited. Flammable items, such as lighter fluid, charcoal, gasoline, and propane, cannot be stored in residence halls.
 - i. Bicycles may not be stored in any area of a residence hall other than in areas specifically designated for such use. Motorized bicycles (scooters, mopeds, etc.) parked in stairwells or on ramps, attached to handrails, or otherwise impeding egress from a building will be removed at the bicycle owner's expense. Bicycles inappropriately parked in the common areas surrounding residence halls may also be removed.
 - j. No motorcycle or other motor vehicle, including hoverboards, is permitted to be brought into any area of any residence hall for storage or for any purpose whatsoever.
 - k. The installation of air conditioners by residents is prohibited.
 - l. The building, installation, or use of "lofts," or any structures used to increase the height 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.
 - m. The use or possession of water beds is prohibited.
 - n. No pets or animals of any kind (except for documented and approved service and assistance animals) are permitted in the residence halls at any time for any reason. Students planning to bring their service or assistance animal to reside in a residence hall should submit an accommodation request online through the Residential Services website: www.northwestern.edu/living/housing-assignments/special-accommodations/.

Quiet Hours and Noise

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

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

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

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

- 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 First-Year Students.** First-Year Students are not eligible to change rooms until winter quarter unless otherwise directed or authorized by the University. The first date that first-year students 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 can be made in the housing portal at www.northwestern.edu/living/. Students wishing to submit a form in person may do so. Residential Services opens at 8:30 a.m. and closes at 5 p.m.
3. **Room changes for transfer students and upperclassmen.** Transfer students and upperclass students 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 nonper-

formance 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.







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

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.

Alcohol at Events for Undergraduate Students

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

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

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

1. The possession, use and/or consumption of alcoholic beverages by undergraduate students must at all times be in compliance with all applicable local ordinances and laws of the State of Illinois and policies of Northwestern University, including the Student Code of Conduct and the prohibited use or possession of alcohol by individuals under the age of 21. Violation of this policy is grounds for discipline under Northwestern's disciplinary policies.

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

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

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

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

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

Athletic Facilities Policies of Conduct

The 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

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

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

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

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

Serving as a central point of contact for receiving community concerns regarding threatening or concerning behavior. For further information, contact the Director of Threat Assessment at **847-467-5375** or visit the website www.northwestern.edu/up/your-safety/behavioral-consultation-team.html. Community members who prefer to report anonymously may do so by utilizing the Wildcats Aware: Concerning Behavior Reporting Form.

Bicycles

Bicycle safety is of great importance at Northwestern. Members of the University community can register their bicycle, receive a free helmet and light, and purchase a lock at a discounted rate through the University Police Department. The process can be completed www.northwestern.edu/up/special/bike-registration-locks.html or in person at either the Evanston or Chicago University Police offices.

Biking in Evanston

- There are more than 2.5 miles of bicycle paths on the Evanston campus.
- The City of Evanston provides a plethora of information including bike safety, rules of the road, and bicycle trails at www.bikeevanston.org.
- Sidewalks are for pedestrians only in Evanston, and bikes must be walked if on a sidewalk.
- White headlights and red rear reflectors are required after dark in Evanston.
- Bicycles parked on campus must be registered with University Police. Registration can be done at www.northwestern.edu/up/special/bike-registration-locks.html.

Bicycle Parking and Storage

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



Cable, Satellite, and IP Delivered Television

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.

Civility, Mutual Respect, and Unacceptability of Violence on Campus

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

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



8. **Visitors.** Visitors, vendors, and the families of members of the community are expected to comply with the provisions of this policy. Noncompliant behavior leads to removal from the campus.
9. **Resources.** Guidance for identifying potential threatening or violent behavior and for the best ways to deal with incidents is available through the Department of Human Resources.
10. **Violation.** A community member who has violated this policy is subject to disciplinary action, which may include separation of the offending party from the University, consistent with established disciplinary procedures.

Computer and Telecommunications Equipment, Facilities, and Services

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

Computers and Networks

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

General Policy

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

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

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

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

1. Users are responsible for the use of their network ID (NetID) and all computer accounts that are assigned to them. Users may not give anyone else access to their NetID or computer accounts. Users must not use a NetID or a Northwestern University computer account that was not assigned to them. Users may not try in any way to obtain a password for another user's NetID or computer account. The NetID and its associated password are the property of Northwestern University Information Technology. Applications and services that require their use must be approved by the Office of the Vice President for Information Technology or by a director within NUIT.

2. Users may not misrepresent themselves or their data on the network.
3. Users are responsible for the security of their passwords. This includes changing passwords on a regular basis and making sure no one else knows them.
4. Users must not use Northwestern's network resources to gain or attempt to gain unauthorized access to remote computers.
5. Users must not deliberately perform an act that will seriously impair the operation of computers, terminals, peripherals, or networks. This includes, but is not limited to, tampering with components of a local area network (LAN) or the highspeed backbone network, otherwise blocking communication lines, or interfering with the operational readiness of a computer.
6. Users must not run or install on any of Northwestern's computer systems, or give to another, a program that could result in eventual damage to a file or computer system and/or the reproduction of itself. This is directed towards, but not limited to, the classes of programs known as computer viruses, Trojan horses, and worms.
7. Users must not attempt to circumvent data protection schemes or exploit security loop holes or interfere with standard technical measures that identify and protect the rights of copyright owners.
8. Users must abide by the terms of all software licensing agreements and copyright laws. Users must not make copies of, or make available on the network, copyrighted material, including, without limitation, software programs, music files, video files, still and digital images, radio and television broadcasts, and written text works, unless permitted by a license, by the consent of the copyright owner, by a fair use limitation under copyright law, or under the Digital Millennium Copyright Act (DMCA) when made by a library or archive for preservation purposes or when incidental to computer maintenance and repair. Please see the more complete discussion of software copyright protections available on 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 Northwestern Information Technology security officer should be notified about violations of copyright laws and these Northwestern Information Technology policies, as well as about potential loopholes in the security of any computer systems and networks at Northwestern. Contact the Northwestern Information Technology security officer at security@northwestern.edu.

Wireless Policy

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

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

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

Use of Student Residence Computer Networks

Student residence computer networks are shared, finite resources installed by the University to promote scholarship and learning for all students. Accidental or intentional disruption of a residence network will deprive others of access to important University resources. Computers attached to student residence networks must adhere to the Use of Student Residence Computer Networks Policy at www.it.northwestern.edu/policies/resnet.html.

System and Network Use

System and network users are responsible for

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

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

Network Administration

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

Appeal of an Administrative Action

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

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 Clery Disclosure of Campus Security Policy and Crime Statistics Act (Clery Act). The report also outlines the University policy relative to emergency notifications for our community.

Drones (Unmanned Aircraft Systems)

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

Email Notification

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

At the University all students will be assigned an official University email address. All official University communications will be sent to this official University email address. 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

Northwestern has partnered with EthicsPoint (Navex Global) to provide a confidential resource for students and other members of the University community to anonymously report activities that may be in violation of federal, state, and local laws and regulations, or policies in Northwestern's Standards for Business Conduct, or the Faculty Handbook, Staff Handbook, or Student Handbook.

EthicsPoint is available 24 hours a day, 365 days a year. You may file a confidential, anonymous report via telephone (866-294-3545) or by accessing EthicsPoint online at: www.northwestern.edu/ethics/about/about-us.html. Once submitted, EthicsPoint reports are routed to the University Response Team for review and referral to the appropriate Northwestern department for investigation. Reports are handled as promptly and discreetly as possible. Northwestern's Policy on Non-Retaliation strictly prohibits retaliation against any member of its community for reporting or inquiring in good faith about what the member believes to be wrongful or unlawful activity, or for participating in an investigation or proceeding related to such activity.

EthicsPoint is not a substitute for, nor does it supersede, any existing reporting methods or protocols already in place at Northwestern for reporting suspected problems or complaints. Instead, the EthicsPoint system provides a means for individuals to report issues without disclosing their identity.

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

Family Educational Rights and Privacy Act (FERPA)

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

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

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

Financial Obligations

The Office of Student 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 Northwestern students can be found on the Student Financial Services website:
www.northwestern.edu/sfs.

Fraternity and Sorority Recruitment for First-Year Students

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

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

Gambling

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

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

Identification Cards (Wildcard)

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

The student's ID number is encoded on the card's magnetic stripe 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 on-campus living unit.

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

A computer chip is embedded on all Wildcards, giving authorized cardholders access to secured on-campus buildings, labs, or residence halls.

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/uservices/wildcard/advantage_discounts.

Immediately report a lost or stolen card to the Wildcard Office, **847-467-NUID (6843)**, or e-mail wildcard@northwestern.edu. Cards may be replaced at the Wildcard office at Norris University Center, underground level, for a \$25 fee. Found cards should be returned or mailed to the Wildcard office.

International Students and Policies on Student Immigration Status

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 in order to remain in compliance with US immigration regulations, which govern their academic study, travel, and employment in the United States.

Liability

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

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

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

- Galter Health Sciences Library www.galter.northwestern.edu/about-us;
- Pritzker Legal Research Center www.law.northwestern.edu/library/ and

- Schaffner Library www.library.northwestern.edu/libraries-collections/schaffner-library/index.html.

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

Theft, mutilation, graffiti, vandalism or any other actions that render books, periodicals, or other library materials or facilities inaccessible or unfit for use is a serious offense against the University community. Students who commit any of these offenses shall be subject to University disciplinary procedures and, upon being found in violation, may be suspended or excluded from the University. These offenses may also lead to police investigation and prosecution.

For more information pertaining to borrowing periods, fines, refunds, room reservations, recommendations for purchases, permissions for reproduction of images, and other library services of the University Libraries are listed at their website www.library.northwestern.edu/find-borrow-request/index.html.

Medical Leave of Absence Protocol

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

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

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

An MLOA may not be used to circumvent or supplant the procedures of the student conduct process. In the event a disciplinary suspension

and an MLOA occur simultaneously, the leave and suspension are to be effective consecutively, and not concurrently, unless otherwise determined by the hearing officers or panel.

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

Motor Vehicles

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

Non-Enrolled Students:

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



Northwestern University Police Department

The Northwestern University Police Department provides service to both the Evanston and Chicago campuses 24 hours a day each day of the year. The police department is a full-service agency, employing 50 state certified police officers, Community Service Officers (CSOs) and dispatchers. Officers have the same authority as other police officers throughout the state of Illinois while operating within their designated jurisdiction. In addition to exercising police authority, University police officers also serve as University officials. As an official of the university they assist in assuring compliance with University policies and are expected to report alleged violations to the appropriate administrative office.

Community members are encouraged to direct questions, comments or other feedback regarding the University Police Department via phone at **847-491-3456** or via the web at www.northwestern.edu/up/about/compliments-complaints.html.

Off-Campus Noise

Northwestern students live and engage in activities in neighboring municipalities and cities, many in Evanston. Students are expected to be responsible neighbors and abide by local noise ordinances in the municipalities and cities in which they reside or visit. Such city ordinances often limit the time, volume and type of noise which is allowed within city limits (i.e., Evanston ordinances on noise and related subjects are found in Title 9, Chapter 5, of the Evanston City Code).

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

Patents and Inventions

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

Public Showing of Copyrighted Videos and Material

The Federal Copyright Act (Title 17 of the United States Code) governs how copyrighted materials, such as movies and television shows, may be used. Neither the rental nor the purchase of media, including but not limited to DVDs, Blu-Rays, or Netflix, 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-campus/copyright/

For questions regarding movie rights or what constitutes a legal showing on campus, contact any adviser in Student Organizations & Activities 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.

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, 847-467-3419, www.northwestern.edu/inclusion.

SafeRide

Safe Ride is a service provided to members of the Northwestern community as a safe and free alternative to walking alone after dark. 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. Students can use the TransLoc Rider app in order to call a ride, track their assigned drivers, and receive live updated wait times. For more information go to: www.northwestern.edu/saferide/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: www.translocrider.com/sms-mobile

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

- Maximum of three people per ride
- No advanced reservations; rides are queued through TransLoc on-demand only
- No transport beyond Safe Ride boundaries, and no rides for less than three blocks;
- No alcohol in Safe Ride vehicles
- 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.

A full list of Safe Ride regulations can be found at:

www.northwestern.edu/saferide/getting-a-ride/regulations/index.html

Service, Assistance, and Other Animals

Students are encouraged to review the University policy on Service, Assistance, and Other Animals at Northwestern: policies.northwestern.edu/docs/animal-policy-final-012717.pdf. Students planning to bring their service or assistance animal to reside in a residence hall should submit an accommodation request online through the Residential Services website: www.northwestern.edu/living/housing-assignments/special-accommodations/.

Shuttle Bus Service

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. For service updates, call **847-467-5284**. Students can track shuttle arrivals and departures through Northwestern smartphone applications and online at www.northwestern.edu/uservices/gps/index.html.

Student Organizations

Student organizations 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 on the third floor of Norris University Center, or online at www.northwestern.edu/studentorgs, or to the office that is responsible for advising the particular group (e.g., Fraternity and Sorority Life, Residential College Office, Residential Services, 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. Registered Student Organizations and its members are responsible to stay knowledgeable to this information, and can find all related materials in the Registered Student Organization Handbook found at www.northwestern.edu/studentorgs.

Campus Publicity

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

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

Copyright Law and Public Showing of Videos and DVDs

Student organizations and groups, including residence halls and residential colleges, that wish to show copyrighted material, including movies and television shows, in a public forum are required to secure appropriate performance rights before displaying the material. For more information, see "Public Showing of Copyrighted Videos and Material" on [page 91](#).

Gambling Policy for Student Groups

See "Gambling" on [page 86](#) of this Student Handbook.

Hazing Policy for Student Groups

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

Fiscal Responsibility, Contracts, and Business Practices

Student organizations, through their affiliation with Northwestern

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

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

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

Crowdfunding

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

Before entering into a crowdfunding agreement, please work with your faculty or staff advisor, staff in Student Organizations & Activities, and Alumni Relations and Development utilizing the information posted on the Northwestern Group Fundraising section found here: www.bit.ly/wewillvolunteers

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

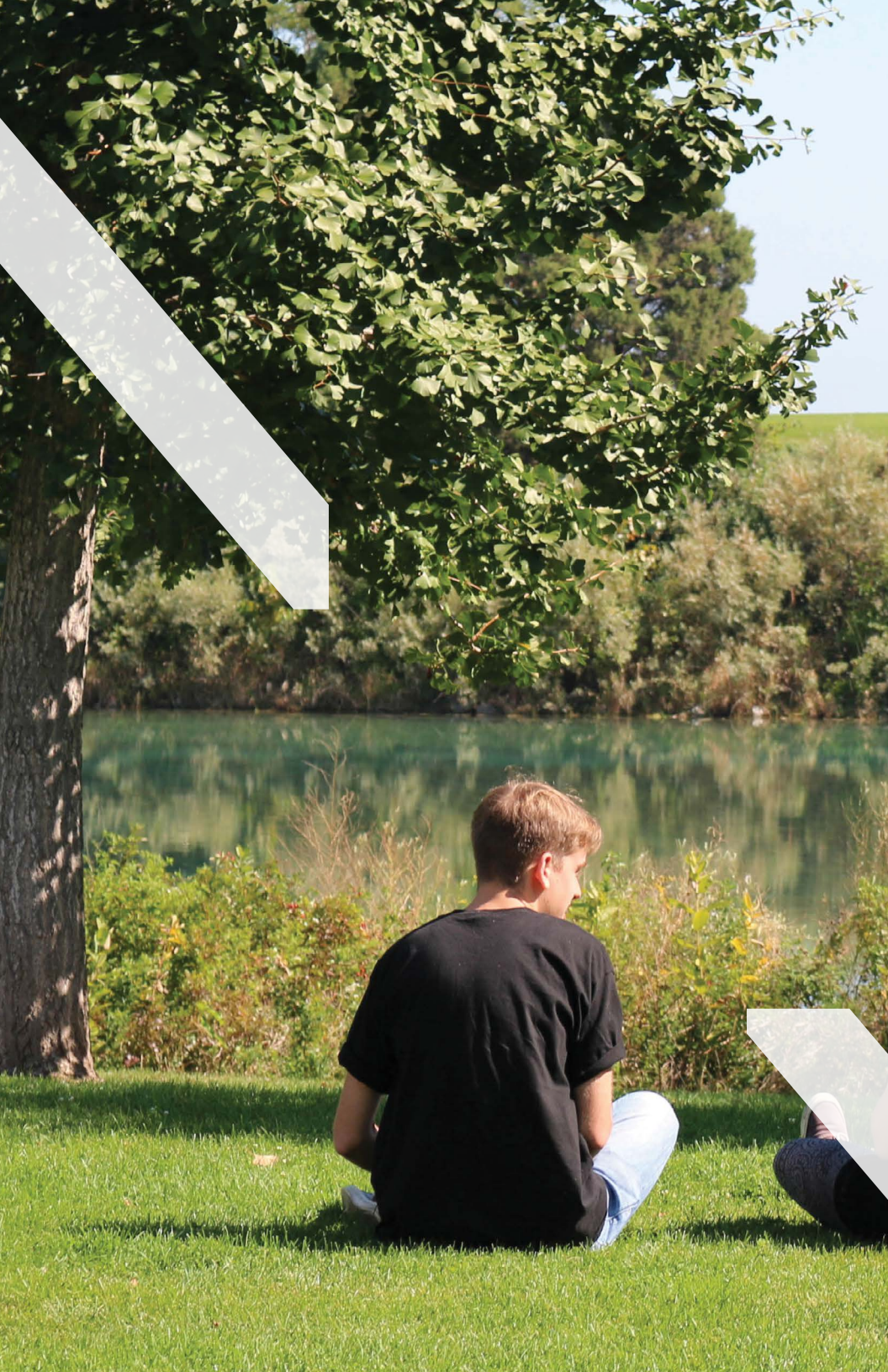
- Review the terms and conditions of the agreement, including tax issues
- Use individual name, or the name of your group or organization (not Northwestern University)
- You may identify your role at Northwestern but clearly state that you are launching the project separate from Northwestern
- You may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

Study Abroad

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

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 non-academic student conduct matters, for ensuring student compliance with all nonacademic conduct conditions and sanctions assigned through the student conduct process, and for maintaining official nonacademic student conduct records. The Office of 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

UHAS is used to resolve alleged violations of non-academic University policies by Northwestern students. Alleged violations of academic related policies are resolved through the faculties of the University's individual schools, and in accordance with the procedures adopted by each school. Cases involving allegations of violations of Northwestern's Policy on Sexual Misconduct by Northwestern students are resolved through the Sexual Misconduct Complaint Resolution Process, which utilizes the UHAS panel to assign sanctions for cases which 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 on [page 156](#).

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

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

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

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

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. When the respondent is a student organization/group, the organization/group is expected to identify a representative to respond to the alleged policies of concern on behalf of the group/organization. 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

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



Retaliation

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

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

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



Participant Rights and Responsibilities in UHAS

All who participate in the UHAS will be treated with dignity and respect and have the right not to be retaliated against for their participation. 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,” on next page)
- 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. This provision does not apply to a good faith report that is not substantiated or proven by a preponderance of the evidence.



Advisors

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

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

Advisors who do not abide by these guidelines may be excluded from the student conduct process, which will continue without the advisor present. For information on advisors related to alleged violations of the Policy on Sexual Misconduct, please see the Sexual Misconduct Complaint Resolution Process on [page 156](#).

REPORTS AND INITIAL INQUIRY

Reports of Alleged Misconduct

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

- Reports of alleged violations of University policy by Northwestern students can be submitted to the OSC. A link to file a report online can be found on the OSC web page (www.northwestern.edu/student-conduct). Reports can also be submitted by contacting the office at 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 Equity. Information on filing reports can be found on the web page: www.northwestern.edu/sexual-misconduct
- Reports of alleged bias or hate related incidents can be reported to the Bias Incident Response Team. Information on filing reports can be found on the web page: 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

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:** 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.
- **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 OSC may determine that there is reasonable information to suggest a policy violation may have occurred. In these cases, the OSC will refer the case to formal resolution for further investigation and formal resolution.
- **Summary Resolution:** Summary resolution involves administrative action taken when exigent circumstances require immediate action to protect the welfare and safety of the University community.

Additionally, the 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.

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

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

Interim Relocation or Removal from Campus Housing

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

Interim Suspension

An interim suspension of a student from the University for allegations of nonacademic misconduct (including alleged violations of the Policy on 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. The University must balance the need for a prompt outcome with the need to protect the integrity of the system and to ensure a fair, thorough, and equitable student conduct process and outcome.

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

INFORMAL RESOLUTION

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

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

Deferred Conduct Action

In appropriate situations, conduct cases may be deferred. When a case is deferred, the University refrains from taking any action on a case for a designated period of time (generally up to one year from the date of the incident), during which time a student may be given the opportunity to satisfy certain conditions or obligations as a means of avoiding further conduct action. Sanctions may also be deferred.

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 or student group to be notified of the alleged misconduct and the policy violations under consideration and an opportunity to be heard. As such, if a case is referred for formal resolution, the respondent will be notified of the alleged misconduct and will be given an opportunity to respond.

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

Please note, allegations of policy violation related to the Policy on Sexual Misconduct are resolved through the Sexual Misconduct Complaint Resolution Process on [page 156](#).

Standard of Evidence

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. A preponderance of the evidence means that over 50% of the information supports a finding that the misconduct occurred.

Notification

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. The University may modify the list of policies allegedly violated based on additional information revealed during investigation.

Acceptance of Responsibility

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.

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, 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.

Withdrawal of Complaint

Prior to the completion of any investigation (as described below, the reporter may request to withdraw the complaint by contacting the Director of Student Conduct in writing. The Director of Student Conduct or designee will determine whether to close the case or conclude the investigation without the reporter's continued participation.

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 community, 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 Student Conduct 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 (see [page 114](#)) 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" on [page 116](#)).

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 5 calendar days 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” on [page 116](#).

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 [page 118](#).

Panel Hearings

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 Involving Potential Separation from the University

Note: Investigations for cases related to allegations of sexual misconduct, are investigated through the Sexual Misconduct Complaint Resolution Process on [page 156](#).

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. The investigative report will be submitted to the Panel Coordinator from the Office of Student Conduct (OSC). The Panel 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. The reporter and the respondent, in this time frame, may also submit additional documentary evidence not previously provided to the investigators for consideration. All of these materials should be submitted to the Panel Coordinator, 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.

Hearing Panels will typically be made up of five members. 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.

In cases where there are exigent circumstances (including but not limited to concern for the safety or security of the University community or the academic progress of a student) or in cases where the timeline requires the case to be heard when a five-person 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. 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 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 Panel 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 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

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 Panel Coordinator.

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 perpe-

trator 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

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 Student Conduct. 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 OSC. Conduct case records are only shared in accordance with FERPA and other University records policies.

Appeals

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 of a crime of violence) may request an appeal of the outcome of the hearing in writing to the Director of Student Conduct within a reasonable time as designated in the outcome letter (typically within 5 calendar days 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 in-person meeting with the Appellate Panel. In an extraordinary circumstance, the Appellate Panel may request an in-person meeting with the reporter and respondent. Should the Appellate Panel request a meeting with one party, a meeting will also be requested with the other party.

The Appellate Panel will review the Appeal, the investigator's report, and the case record. The Appellate Panel may consult in confidence with other members of the University community in order to substantiate the grounds for appeal or to seek clarification of issues raised in the Appeal. (Examples might include, but are not limited to, consulting the investigator 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 the Appellate Panel's decision.

Appellate Panel

An 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 senior-level 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 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

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

ADDITIONAL INFORMATION ABOUT UHAS

Status of a Student/Group Pending Administrative Review or Appeal

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

Effect of Withdrawal

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

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

Disciplinary Hold

At any time after the filing of a report, the Office of 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

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. The granting of any hold is at the full and sole discretion of the University.

Accommodations for Students with Disabilities

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

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

Procedures

Northwestern University does not discriminate or permit discrimination on the basis of disability in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. The Director of Equal Opportunity and Access has been designated as the Section 504 coordinator and coordinates compliance with the nondiscrimination requirements of Section 504 of the Rehabilitation Act, the Americans with Disabilities Act (ADA), and applicable federal and state regulations. The coordinator may be contacted at Section 504 Coordinator, Office of Equity, 800 Sherman, Evanston campus, **847-491-7458**, fax **847-467-0698**, eeo@northwestern.edu.

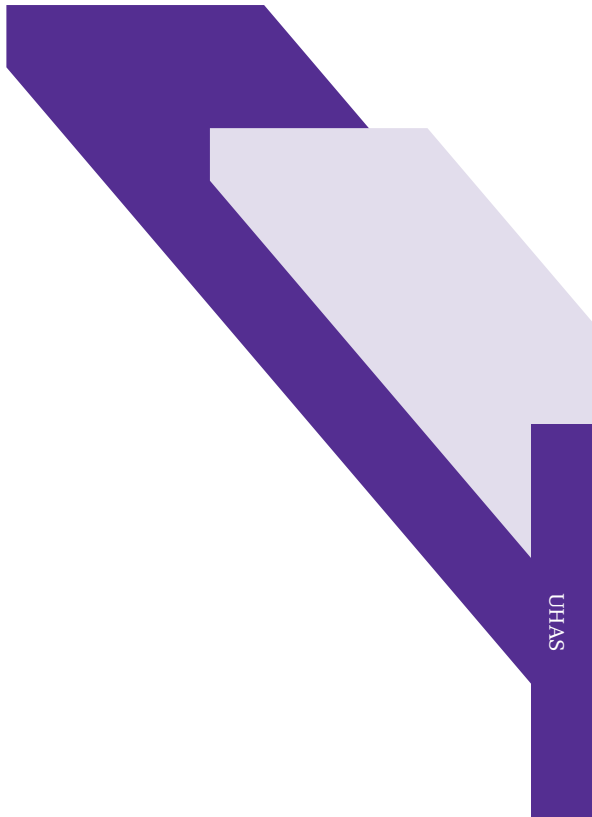
Northwestern University has adopted internal grievance procedures providing for prompt, equitable, and impartial resolution of grievances alleging any action prohibited by the ADA or Section 504. These procedures apply to reports of discrimination or harassment on the basis of disability by staff, faculty,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

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

Complaints against Faculty and Staff

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

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 Office of Equity. Additional information can be found in the Policy on Sexual Misconduct.







**SEXUAL
MISCONDUCT**

POLICY STATEMENT

Northwestern prohibits all forms of sexual misconduct, including but not limited to, sexual assault, sexual exploitation, stalking, dating or domestic violence, and sexual harassment. Northwestern also prohibits discrimination and harassment on the basis of sex, pregnancy, sexual orientation, gender identity, gender expression, and parental status under the University's [*Policy on Discrimination and Harassment*](#). Such conduct violates Northwestern's values and disrupts the living, learning, and working environment for students, faculty, staff, and other community members. In furtherance of this policy, the University has adopted the following standards of conduct for all members of our community – students, faculty, and staff, as well as University vendors, contractors, visitors, guests, volunteers, interns, and third parties – 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.

JURISDICTION

Northwestern may investigate any reported violations of this policy that occur in the context of a University program or activity or that otherwise affect the University's working or learning environments, regardless of whether the reported conduct occurred on or off campus. If the respondent is not a member of the University community or is no longer affiliated with the University at the time of the complaint (including when the respondent has graduated or left the University), the University may be unable to conduct an investigation or take disciplinary action. However, for every report, the Office of Equity will review the circumstances of the reported conduct to determine whether the University has jurisdiction over the parties involved and take steps within its control to eliminate, prevent, and address the reported conduct. The University will also assist in identifying external reporting options and/or provide appropriate resources to impacted individuals. **Individuals impacted by sexual misconduct may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Complaint Resolution Process described in Section III below.** Please see section III(A) ("Participation in Process") for more information.

PURPOSE

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

ACCESSIBILITY

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

DEFINITIONS

The following terms and definitions are important components of this policy. The definitions are intended to give meaning to these terms in the context of the Northwestern community, and can be accessed in the policy using the links below:

- [Consent](#)
- [Dating/Domestic Violence](#)
- [Retaliation](#)—see also the [University Policy on Non-Retaliation](#)
- [Sexual Assault](#)
- [Sexual Exploitation](#)
- [Sexual Harassment](#)
- [Stalking](#)

Criminal and other applicable state laws may use different definitions of these terms.¹

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

IMPLEMENTATION

1. Consent

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

A. Capacity to consent

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

When alcohol is involved, incapacitation is a state beyond drunkenness or intoxication. When drug use is involved, incapacitation is a state beyond being under the influence or impaired by use of the drug. Alcohol and other drugs impact each individual differently, and determining whether an individual is incapacitated requires an individualized determination.

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

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

A person may appear to be giving consent but may not have the capacity to do so. **When determining whether a person has the capacity to provide consent, the University will consider whether a sober, reasonable person in the same position knew or should have known whether the other party could or could not consent to the sexual activity.** It is especially important, therefore, that anyone engaging in sexual activity is aware of both their own and the other person's level of intoxication and 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.

B. Aspects of Valid Consent

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

Consent must be all of the following:

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



2. Prohibited Conduct

Northwestern prohibits all forms of sexual misconduct. Such conduct violates our community values and disrupts the living, learning, and working environment for students, faculty, staff, and other community members. 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.



A. Sexual Assault

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

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

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

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

B. Sexual Exploitation:

Taking sexual advantage of another person or violating the sexual privacy of another when consent is not present.

This includes, but is not limited to, the following actions (including when they are done via electronic means, methods or devices):

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

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

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

3. Breast-feeding a child is not indecent.

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

C. Stalking:

Knowingly engaging in a course of conduct directed at a specific person that one knows or should know would cause a reasonable person to fear for their safety (or the safety of a third party) or suffer substantial emotional distress.

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

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

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

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

E. Sexual Harassment:

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

- I. Submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any University program and/or activity, or is used as the basis for University decisions affecting the individual (often referred to as "quid pro quo" harassment); or
- II. Such conduct creates a hostile environment. A hostile environment exists when the conduct is sufficiently severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives an individual from participating in or benefitting from the University's education or employment programs and/or activities. The existence of a hostile environment is to be judged both objectively (meaning a reasonable person would find the environment hostile) and subjectively (meaning the impacted individual felt the environment was hostile).

Examples of conduct that may constitute sexual harassment include:

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

3. Reporting

A. Sexual Misconduct Reporting Options

The University encourages reporting of sexual misconduct. 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 have the right to choose whether to engage with the University once the University receives a report. The information below is for individuals who wish to report incidents of sexual misconduct.

I. Reporting Incidents to the University

An individual who has experienced sexual misconduct may choose to report the incident to the Office of Equity. Anyone wishing to make a report of sexual misconduct to the Office of Equity may do so in person, by email, by regular mail, by phone, or electronically as explained below. **Individuals impacted by sexual misconduct may contact the Office of Equity to receive support, resources, and information even if they do not wish to move forward with the Complaint Resolution Process described in Section III below.** Please see section III(A) (“Participation in Process”) for more information. To speak to someone confidentially without making a report to the University, please see the Confidential Resources listed in Section II(A) below.

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

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

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

Title IX Coordinator

Contact: **Colleen Johnston**
Office of Equity

Phone: (847) 491-3881

Location: 1800 Sherman, Suite 4-500, Evanston

Email: colleen.johnston@northwestern.edu

Deputy Title IX Coordinator for Students

Contact: **Amanda DaSilva**
Office of Equity

Phone: (847) 467-6571

Location: 1800 Sherman, Suite 4-500, Evanston

Email: amanda.dasilva@northwestern.edu

To File a Report Electronically

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

www.bit.ly/NUReportSexualMisconduct.

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

Other University Reporting Options

EthicsPoint

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

Phone: (866) 294-3545

Website: www.northwestern.edu/ethics/

Upon receipt of a report, an Office of Equity staff member will contact the person who may have experienced sexual misconduct. The outreach from the Office of Equity 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 measures from the University; how to preserve evidence; and where to access more information. The outreach will also include an invitation to meet with or provide additional information to an Office of Equity staff member.

II. Reporting Incidents to Law Enforcement

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

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

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

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

Employees of the University Police are University employees and therefore are obligated to promptly report incidents of sexual misconduct of which they become aware during the scope of their work as explained below in Section I(F)(3)b. Employees of the University Police will make reports to the Office of Equity regardless of whether the individual who experienced the sexual misconduct chooses to pursue criminal charges.

5 For additional information, see Northwestern's Resource Guide on Sexual Misconduct and Title IX (www.northwestern.edu/sexual-misconduct/docs/TitleIXResourceGuide.pdf). Print copies are available by contacting the Office of Equity, at (847) 467-6165 or TitleIXCoordinator@northwestern.edu.

Northwestern University Police Department

Evanston Campus: 1201 Davis Street, Evanston

Phone: 847) 491-3456 (24 hours)

Chicago Campus: 211 East Superior Street, Chicago

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

Website: www.northwestern.edu/up/

Evanston Police Department

Evanston Campus: 1454 Elmwood Avenue, Evanston

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

Website: www.cityofevanston.org/police/

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

Chicago Campus: 1160 North Larrabee Ave., Chicago

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

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

B. Reporting Obligations

I. Sexual misconduct

All University employees (including student employees) and graduate students with teaching or supervisory authority, are obligated to promptly report sexual misconduct of which they become aware in the scope of their work for the University to the Title IX Coordinator or Deputy Title IX Coordinator for Students, unless they are a resource listed below. The University encourages all individuals – including students not referenced above – to report sexual misconduct.

II. Incidents involving minors

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

as well as notifying the Office of Risk Management and the Office of Compliance, Audit, and Advisory Services in writing that a report has been made.

4. Interim Measures and Support Services

Interim measures are individualized services offered as appropriate to either or both the reporting and responding parties involved in an incident of sexual misconduct, prior to an investigation or while an investigation is pending. Interim measures include counseling, extensions of time or other course-related adjustments, modifications of work or class schedules, campus escort services, restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar accommodations. It may be appropriate for the University to take interim measures during the investigation of a complaint.

Interim measures will be individualized and appropriate based on the information gathered by the Office of Equity, making every effort to avoid depriving any student of their education. The measures needed by each party may change over time, and the Office of Equity will communicate with parties throughout an investigation to ensure that any interim measures are necessary and effective based on the parties' evolving needs.

As noted above, an individual may request to receive support – including the measures mentioned in this section – even if they do not choose to participate in the University's Complaint Resolution Process.

5. Retaliation

Northwestern 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.

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

The Northwestern community is strongly encouraged to report any potential incident of retaliation under this policy to the Title IX Coordinator or Deputy Title IX Coordinator for Students, who shall assess the matter and take appropriate actions to address such conduct.

6. Amnesty for Sexual Misconduct Complainants and Witnesses

Northwestern encourages reporting of sexual misconduct and seeks to remove any barriers to making a report. The University recognizes that an individual who has been consuming alcohol (including underage consumption) or using drugs at the time of the incident may be hesitant to make a report because of potential consequences for 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. Amnesty does not preclude or prevent action by police or other legal authorities. This Amnesty provision may also apply to student groups making a report of sexual misconduct.

7. Free Expression and Academic Freedom

Northwestern is firmly committed to free expression and academic freedom. The University is equally committed to creating and maintaining a safe, healthy, and harassment-free environment for all members of its community, and firmly believes that these two legitimate interests can coexist. Discrimination, harassment, and retaliation against members of the Northwestern community are not protected expression or the proper exercise of academic freedom. The University will consider academic freedom in the investigation of reports of sexual misconduct or retaliation that involve an individual's statements or speech.

8. Title IX and VAWA Statement

It is the policy of Northwestern to comply with Title IX of the Education Amendments of 1972 (and all other applicable laws regarding unlawful discrimination and harassment), which prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. It is also Northwestern's policy to comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crimes Statistics Act, as amended by the Violence Against Women Act. Title IX prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. VAWA imposes additional duties on universities and colleges to investigate and respond to reports of sexual assault, stalking, and dating or domestic violence, and to publish policies and procedures related to the way these reports are handled. Northwestern has designated the Title IX Coordinator, with assistance of the Deputy Title IX Coordinators, to coordinate Northwestern's compliance with Title IX and VAWA and to

respond to reports of violations. The University has directed its Clery Program Manager to coordinate Northwestern's compliance with the Clery reporting related VAWA requirements. A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling 1-800-421-3481. Employees may also file a charge with the Equal Employment Opportunity Commission regarding an alleged violation of Title VII by calling 1-800-669-4000 or visiting www.eeoc.gov/employees/howtofile.cfm.

G. Consequences of Violating this Policy

1. Sexual Misconduct Violations

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

- Verbal warning
- Written warning
- Advisory letter
- Conduct review
- Disciplinary hold on academic and/or financial records
- Performance improvement/management process
- Required counseling or coaching
- Required training or education
- Campus access restrictions
- No trespass order issued by NUPD (with respect to campus locations)
- No contact directive (with respect to an individual)
- Loss of privileges
- Loss of oversight, teaching or supervisory responsibility
- Probation
- Demotion
- Loss of pay increase
- Transfer (employment)
- Revocation of offer (employment or admissions)
- Disciplinary suspension
- Suspension with pay
- Suspension without pay

- Expulsion
- Recommendation of 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 to imposing sanctions, the University may take steps to remediate the effects of a violation on the impacted parties and others.

Following an investigation, the University may offer additional measures, and/or take other action to eliminate any hostile environment caused by the 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 actions referenced above in Section I(F)(4), as well as training or other measures.

2. Violations of Directives Related to Interim Measures

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

3. Retaliation

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

H. Related Information

1. University policies and procedures

- [Faculty Handbook](#)
- [Non-Retaliation](#)
- [Policy on Minors at Northwestern](#)
- [Staff Handbook](#)
- [Student Handbook](#)

2. Other information

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

I. History

Supersedes policy revision dated August 2017. Original policy was adopted in January 2014 and was later revised in 2014, 2015, 2016, and 2017.

J. Policy URL

http://www.northwestern.edu/sexual-misconduct/docs/sexual_misconduct_policy.pdf

II. Resources⁵

A. Confidential Support, Advocacy, and Counseling

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

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

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

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

On-Campus **Confidential** Resources

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

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

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

Phone: (847) 491-2054

Evanston Campus: 633 Emerson Street, 3rd Floor

Email: care@northwestern.edu

Website: www.northwestern.edu/care

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

CAPS: Counseling and Psychological Services

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

Evanston Campus: 633 Emerson Street, 2nd Floor

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

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

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

Website: www.northwestern.edu/counseling/

Religious & Spiritual Life

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

Evanston Campus: 1870 Sheridan Road

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

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

Faculty Wellness Program

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

Contact: Director
Richard A. Carroll, PhD

Phone: (312) 695-2323

Email: rcarroll@nm.org

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

Employee Assistance Program

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

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

Website: www.northwestern.edu/hr/work-life/employee-assistance-program.html

Off-Campus **Confidential** Resources

Hotlines

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

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

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

Chicago Domestic Violence Line: (877) 863-6338

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

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

Center on Halsted (LGBTQ Services)

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

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

LGBTQ Violence (773) 871-2273
Resource Line: (Monday to Friday, 9 a.m. to 5 p.m.)

Website: www.centeronhalsted.org/

in*power (LGBTQ Survivor Support Services)

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

Main Office: 4025 N. Sheridan Rd, Chicago

Phone: (773) 388-1600 ext 7929

Website: in.power@howardbrown.org

Resilience (Formerly known as Rape Victim Advocates)

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

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

Phone: (312) 443-9603

Website: www.ourresilience.org

YWCA- Evanston

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

Location: 1215 Church St, Evanston

Phone: (847) 864-8445

Website: www.ywca.org/evanston

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

Website: 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

Apna Ghar

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

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

Phone: (773) 334-4663

Website: www.apnaghar.org

Mujeres Latinas en accion

Services include: counseling, legal advocacy, medical advocacy

Location: 2124 West 21st Place
Chicago, IL 60608

Phone: (773) 890-7676

Website: www.mujereslatinasenaccion.org

Porchlight Counseling Services

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

Location: 4753 North Broadway, Ste. 632
Chicago, IL 60640

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

Website: 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: Offices in Chicago and Park Ridge

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

Website: www.kanwin.org

DC Rape Crisis Center

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

Location: 5321 First Place NE
Washington, DC 20011

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

Website: dcrcc.org/

Network for Victim Recovery of DC

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

Location: 6856 Eastern Avenue NW
Washington, DC 20012

Phone: (202) 742-1727

Website: nvrdc.org

Kristi House (Miami)

Services include: connecting victims to case coordinators, therapists, prosecutors, medical professionals, law enforcement, and GAL services

Location: 1265 NW 12th Ave
Miami, FL 33136

Phone: (305) 547-6800

Website: www.kristihouse.org/

Survivors' Pathway (Miami)

Services include: counseling and social services

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

Phone: (786) 275-4364

Website: survivorspathway.org

San Francisco Women Against Rape

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

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

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

Website: www.sfwar.org/contact.html

Trauma Recovery Center (San Francisco)

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

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

Phone: (415) 437-3000

Website: traumarecoverycenter.org/

B. Seeking Confidential Medical Assistance in the United States

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 Section II(D)(2)), which are also strongly recommended to preserve all legal remedies.

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

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

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

Northwestern University Health Services⁷

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

Evanston Campus: 633 Emerson Street, Evanston

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

Website: [www.northwestern.edu/healthservice-evanston/](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/index.html](http://www.northwestern.edu/healthservice-<u>chicago/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 at no charge; Evanston Police Victim Services advocate can be present to provide support services, if desired.

Location: 2650 Ridge Avenue, Evanston

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

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

Northwestern Memorial Hospital, Emergency Department (24 hours)

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

Location: 251 E Huron Street, Chicago

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

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

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

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

Location: 355 Ridge Avenue, Evanston

Phone: (847) 316-4000

Website: www.presencehealth.org/presence-saint-francis-hospital-evanston-emergency-care

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

2. Medical Services Available Near the Miami, Florida Campus

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

Evidence collection kit available at no charge.

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

Phone: (305) 585-7273

Website: jacksonhealth.org/services-rape-treatment.asp

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

MedStar Washington Hospital Center (2.9 miles from campus)

Evidence collection kit available at no charge via DC Forensic Nurse Examiners; student can get a free Uber to MedStar by calling phone number below.

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

Phone: (800) 641-4028

Website: www.medstarwashington.org/

4. Medical Services Available Near the San Francisco Campus

Zuckerberg San Francisco General Hospital (7 miles from campus)

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

Location: 1001 Potrero Avenue, San Francisco

Phone: (415) 437-3000

Website: zuckerbergsanfranciscogeneral.org/



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

C. Preserving Physical Evidence

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

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

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

1. General physical evidence preservation suggestions:

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

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

2. Physical evidence preservation suggestions specific to sexual assault:

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

D. Educational Training, Awareness, and Prevention Programs

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; trauma informed; inclusive of diverse communities and identities; sustainable; responsive to community needs; informed by research or assessed for value, effectiveness, and outcome; and considerate of environmental risk and protective

factors as they occur on the individual, relationship, institutional, community, and societal levels. Additionally, the University provides annual training to investigators, and hearing panel members are trained on issues related to sexual misconduct, investigation, and resolution. For information on educational training, awareness, and prevention programs offered each year, see the Appendices to each campus' [annual crime and safety report](http://www.northwestern.edu/up/your-safety/clery-act-safety-reports.html), posted at: www.northwestern.edu/up/your-safety/clery-act-safety-reports.html.

III. SEXUAL MISCONDUCT COMPLAINT RESOLUTION PROCESS

A. INTRODUCTION AND GENERAL PROCEDURES

Introduction

The procedures below outline the process the University follows when it receives a report alleging a violation of the *Policy on Sexual Misconduct*. The Office of Equity (“the Office”) is responsible for handling reports alleging sexual misconduct. 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 apply. All reports will be handled in a prompt, fair, and impartial manner in accordance with Title IX, the *Violence Against Women Act*, the *Illinois Preventing Sexual Violence in Higher Education Act*, and other relevant laws and regulations, applicable University policies, and this process.

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

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

Participant Roles

- A **complainant** is the person who has been impacted by an alleged policy violation and has chosen to participate in the complaint resolution process. (This person is called a **reporter** for purposes of other conduct violations handled in the Office of 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 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 Office of Equity may determine that the University needs to proceed with an investigation. In such cases, the University will not compel an individual to participate. The Office will consider the following factors in reaching a determination on whether to proceed:

- the totality of the known circumstances;
- the nature and scope of the alleged conduct, including whether the reported behavior involves the use of a weapon;
- the respective ages and roles of the complainant and respondent;

- the risk posed to any individual or to the campus community by not proceeding, including the risk of additional violence;
- whether there have been other reports of other prohibited conduct or other misconduct by the respondent;
- whether the report reveals a pattern of misconduct (e.g., via illicit use of drugs or alcohol) at a given location or by a particular group;
- the complainant's interest in the University's not pursuing an investigation or disciplinary action and the impact of such actions on the complainant;
- whether the University possesses other means to obtain relevant evidence;
- fairness considerations for both the complainant and the respondent;
- the University's obligation to provide a safe and non-discriminatory environment; and
- any other available and relevant information.

The University invites respondents to participate fully in all aspects of the complaint resolution process. If a respondent elects not to 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. 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 need-to-know basis in accordance with FERPA and other applicable law.

Case Resolution Timeline

Though the University strives to resolve all cases in a prompt and timely manner, the timeline varies based on the circumstances of the case. Additionally, the timeline for a case may be affected by breaks in the academic calendar, availability of the parties and witnesses (including due to leave of absence), scope of the investigation, need for interim actions, and unforeseen or exigent circumstances. The parties will be periodically updated on the status of their case. In cases where there is a simultaneous law enforcement investigation, the University may need to temporarily delay its investigation while law enforcement gathers evidence. However, the University 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, conduct administrators, and appeal reviewers who may make findings or participate in student Sanctioning Panels in sexual misconduct matters is posted at: www.northwestern.edu/student-conduct/about-us/hearing-officers-investigators-panel-members/index.html. Northwestern reserves the right to use an adequately trained 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 the Office of Equity. In matters where a Sanctioning Panel is convened, parties also have the opportunity to raise the issue of a potential conflict of interest or perceived bias involving panel members within 2 days of notification that a Sanctioning Panel has been scheduled. The Title IX Coordinator or designee 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 of complaints alleging sexual misconduct and any related violations. This means that the investigation determines whether it is more likely than not that a violation of the policy occurred.

Advisor/Legal Counsel

An advisor is a support person who is present to provide support to a complainant or respondent throughout an investigation and/or sanctioning process. Complainants and respondents may be accompanied by one advisor throughout the investigation and any sanctioning process, provided that the involvement of the advisor does not result in an undue delay of the process. It is the responsibility of each party to coordinate scheduling with their advisor for any meetings. An advisor may not speak, write, or otherwise communicate with an investigator, conduct administrator, Sanctioning Panel member or appeal reviewer on behalf of the complainant or respondent. Advisors may not engage in behavior or advocacy that harasses, abuses, or intimidates either party, a witness, or individuals involved in resolving the complaint. Advisors who do not abide by these guidelines may be excluded from the process.

In any matter involving a complaint of sexual assault, stalking, or dating or domestic violence, the advisor may be any person of the party's choosing, including an attorney. However, an advisor may not also serve as a witness in the same matter. Further, the advisor is still limited to the supportive and non-participatory role described above. A representative from the University's Office of General Counsel may attend any proceeding where an attorney serving as an advisor is present. In matters not involving a complaint of sexual assault, stalking, or dating or domestic violence, advisors cannot be a witness or party in the matter or a related matter, a family member of the complainant or respondent, or an attorney. A union representative may serve as an advisor, where applicable.

B. INITIAL INQUIRY

When a complainant chooses to move forward with the complaint resolution process, the first step is an initial inquiry. An initial inquiry is an assessment by the Office of Equity as to whether the allegations, if substantiated, would rise to the level of a violation of University Policy. Following an initial inquiry, possible next steps include:

- **Close the Case:** The Office may close a case when insufficient information exists to move forward or when the alleged misconduct—even if substantiated— would not be a violation of policy. The Office may, in its discretion, reopen a case in the future if additional information becomes available.
- **Informal Action** (See section C below)
- **Formal Resolution** (See section D below)

C. INFORMAL ACTION

Informal action involves measures taken by the University in response to a situation or report of sexual misconduct when formal resolution is not desired by the person who may have experienced sexual misconduct, or when there is not enough information to proceed with a formal resolution process against a known respondent. Informal action is not used when formal resolution is desired by a complainant and the respondent’s identity is known.

Informal action does not result in findings related to responsibility or in sanctions. Informal actions include, but are not limited to:

- An educational meeting with the subject of the report
- Training for a group or unit
- An advisory letter

D. FORMAL RESOLUTION

Notification to Respondent

The sexual misconduct complaint resolution process operates under a standard of fairness for all parties involved. If a case is referred for formal resolution, the Office of Equity will notify the respondent of the alleged misconduct and the respondent will be given an opportunity to respond. The notification will include the allegations, identities of the parties involved, the specific section(s) of University Policy allegedly violated, the precise conduct allegedly constituting the potential violation, and the date and location of the incident. This notice will be given before any initial interview. The University may modify the list of policies allegedly violated based on additional information learned during investigation.

Investigation

The Office of Equity investigates complaints proceeding through formal resolution. Depending upon the circumstances, one or more investigators will be assigned from the Office of Equity. In some cases, another University office may conduct an investigation under the direction of the Office, or an outside investigator may be retained. All investigators are trained on Title IX and the University’s policies and

procedures. Further, the Title IX Coordinator, Deputy Title IX Coordinator for Students, and investigators 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 and sanctioning 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 audio 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 and may hold multiple meetings with a party to obtain all necessary information. 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 irrelevant prior sexual history of the parties will not be considered as evidence in the investigation.

The complainant and the respondent will both have the opportunity to present names of potential witnesses and questions the investigator might 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 might ask, but these decisions are solely within the investigator's discretion. The investigator may also choose to interview other witnesses not identified by the parties.

Withdrawal of Complaint

Prior to the conclusion of a sexual misconduct investigation, the complainant may request to withdraw the complaint by contacting the Title IX Coordinator in writing. The Title IX Coordinator or designee will determine whether to close the case or conclude the investigation without the complainant's continued participation.

- 1. Resolution of cases involving faculty, staff, or third party respondents and cases involving student respondents that do not have the potential to result in separation from the University**

The Office of Equity will determine whether the Policy on Sexual Misconduct has been violated.

The complainant and the respondent will both be notified simultaneously in writing of the outcome of the investigation.

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. As noted above, the University encourages the parties to maintain confidentiality of all communications related to findings and sanctions.

In the event a policy violation is found, the investigator will also provide their findings to the appropriate University office as explained below.

- For student respondents, in the event a policy violation is found, the Office of Equity, in consultation with the Office of Student Conduct, 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 Office of Equity 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 the Staff Handbook.
- For faculty respondents, in the event a policy violation is found, the Office of Equity will provide findings to the faculty member's Dean, Department Chair, and/or the Vice Provost for Academics and 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.

2. Resolution of cases involving student respondents that have the potential to result in separation from the University

In cases where the Office of Equity 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, degree revocation, expulsion, or group dissolution), the matter will be resolved through the following process.

a. Preliminary Investigative Report:

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

The parties will be provided with an opportunity to review the preliminary report and respond. The parties may each submit comments, feedback, additional evidence, requests for additional steps in the investigation, names of additional witnesses, or any other information they deem relevant to the investigators, up to twenty (20) pages, within five (5) calendar days after it is made available for review. The Title IX Coordinator or designee may, in their discretion, waive or adjust the page or time limit for the feedback.

In the event new, relevant information is provided or identified by one of the parties, the information will be incorporated into the preliminary report and the parties will be provided a second and final opportunity to review and provide feedback regarding the new information before the investigators proceed with finalizing the report.

b. Final Investigative Report

After receiving any comments or after the comment period has lapsed without comment, the investigators will make a determination of whether the preponderance of the evidence shows the respondent has violated the Policy on Sexual Misconduct or other identified policies. The complainant and the respondent will both be notified simultaneously in writing of the outcome of the investigation. In the event a policy violation is found, the investigators will refer the matter to the Office of Student Conduct for sanctioning by a UHAS Sanctioning Panel.

c. Sanctioning in Matters Where a Policy Violation has been Found

In matters where a respondent has been found responsible for violating policy, the University will initiate a sanctioning process designed to eliminate the conduct, prevent its recurrence, remedy its effects, and educate the respondent.

The Office of Student Conduct will facilitate the sanctioning process by convening a UHAS Sanctioning Panel. The panel will be made up of three faculty or staff members who have been trained to resolve cases related to sexual misconduct.

d. Format of Sanctioning Panel

A Sanctioning Panel will include the members of the panel, a Panel Coordinator from the Office of Student Conduct, and the Deputy Title IX Coordinator for Students, or designee. The role of the Panel Coordinator is to ensure that the Panel follows the process set forth in this document, clarify any questions about the policies and procedures, and consult on any available sanctions and past precedent. Similarly, the Deputy Title IX Coordinator is present to observe the process and ensure compliance with the process.

Each party will receive an opportunity to independently speak to the panel to provide input toward sanctioning. The purpose of this time is to allow parties to explain what sanction(s) they believe the panel should assign and the rationales for their proposals. The parties will each be given ten minutes to present a statement to the panel. The panel may then ask questions of the party. Either party may choose to submit a written statement to be read to the panel in lieu of appearing at the hearing. Such written statements may not exceed five (5) pages, including attachments.

The parties will not meet with the panel together but may choose to listen to one another from a space provided by the Office of Student Conduct. The complainant's or respondent's decision whether to participate in the Sanctioning Panel and/or listen to the other party is completely voluntary.

In determining the appropriate sanctions, the panel will consider:

- The nature of the conduct at issue;
- The impact of the conduct on the complainant;
- The impact of the conduct on the community or the University;
- Prior misconduct by the respondent, including the respondent's relevant prior discipline history;
- Whether the respondent has accepted responsibility for the conduct, which may be considered as a factor that may lessen, not increase, the severity of the sanctions;

- The necessity of any specific action in order to eliminate the conduct, prevent its recurrence, and remedy its effects on the complainant or other University community members; and
- Any other mitigating, aggravating, or compelling circumstances, including those presented in the statements to the panel.

e. Written Notification of Sanction(s)

The Office of Student Conduct will provide written notice of the sanction(s) to the parties simultaneously within seven (7) calendar days of the sanction decision. The notice will reference findings made by the Office of Equity and will include the sanction(s), a summary of the rationale, and information about the appeal process.

E. APPEALS

1. Appeals of cases involving faculty, staff, or third party respondents and cases involving student respondents that do not have the potential to result in separation from the University

The complainant or respondent may appeal the findings 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).

If either party submits an appeal, the other party will be provided with a copy of the appeal and given five (5) calendar days to submit a written response. The Title IX Coordinator or designee may, in their discretion, adjust the time limit for the appeal and/or response.

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

Contact: **Lucas Christain**
Assistant Dean/Director of Student Conduct

Location: Scott Hall
601 University Place
Evanston, IL 60208

Email: lucas.christain@northwestern.edu

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

Contact: **Lindsay Chase-Lansdale**
Vice Provost for Academics and
Associate Provost for Faculty

Phone: (847) 467-6906

Location: Rebecca Crown Center
633 Clark Street, Evanston, IL 60208

Email: lcl@northwestern.edu

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

Contact: **Pamela S. Beemer**
Vice President for Human Resources

Phone: (847) 491-7505

Location: 720 University Place, Evanston, IL 60208

Email: p-beemer@northwestern.edu

The decision on an appeal will be issued as expeditiously as possible, usually within seven (7) calendar days of making a decision, though this may vary based on the scope of the appeal or unforeseen circumstances. The reviewer may review the full case, beyond the aspects of the case outlined in the request for appeal. If the reviewer does not find that any of the three grounds for appeal are present in the case, the outcome will be upheld. If the reviewer finds that any of the grounds for appeal are present in the case, they may amend the outcome, may issue a new outcome, or may refer the matter back to the investigator for further consideration. A final outcome on an appeal is not subject to further appeal.

2. Appeals of cases involving student respondents that have the potential to result in separation from the University

In matters where there is a finding of no responsibility:

A complainant or respondent may request an appeal of the outcome of the investigation in writing to the Office of Student Conduct within a reasonable time as designated in the outcome letter (typically within five (5) calendar days of their receipt of the outcome). The original finding is presumed to have been decided reasonably and appropriately, and 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 process that may have substantially affected the fairness of the process
- A finding 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, described further below, 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, 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 complainant will be allowed to request an in-person meeting with the Appellate Panel. In an extraordinary circumstance, the Appellate Panel may request an in-person meeting with the complainant 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 investigators 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 findings of the investigators. If the Appellate Panel finds that any of the grounds for appeal are present in the case, they may amend the decision of the original investigators or may issue a new outcome (findings) and may refer to matter to a sanctioning panel. The Appellate Panel has final authority to determine the outcome of the case. No additional appeal or review of the finding can be requested or granted. In an extraordinary circumstance, the Appellate Panel may refer the case back to the investigators for further review. In this case, the Appellate panel may recommend that alternate policies be considered. Additionally, if a case is referred back to the investigators, the new decision of the investigators 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 seven (7) calendar days of the Appellate Panel's review.

In matters where there is a finding of responsibility:

When the investigators make a finding of responsibility, the matter will proceed to a sanctioning panel as outlined above. *At the conclusion of the sanctioning panel process*, a complainant or respondent may request an appeal of the outcome of the investigation and/or sanctioning panel hearing in writing to the Office of Student Conduct, if applicable, within a reasonable time as designated in the outcome letter (typically within five (5) calendar days of their receipt of the outcome). At this point, the same appeals process outlined immediately above applies.

Appellate Panel

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 senior-level 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.

IV. APPENDIX A: SUMMARY OF INFORMATION ON REPORTING SEXUAL MISCONDUCT AND RECEIVING SUPPORT (INCLUDING CONFIDENTIAL SUPPORT) AND RESOURCES AT THE NU-Q CAMPUS

Options and Resources

How can Northwestern help?

Knowing what options and resources are available will be helpful if you or someone you know experiences sexual misconduct.

Persons who may have experienced sexual misconduct have options:

1. *Seek Medical Attention*
2. *Speak with On-Campus Confidential Resources*
3. *Access Off-Campus Resources*
4. *Contact the Police*
5. *Contact the University's Title IX Coordinator*
6. *Request Interim Measures*
7. *Preserve Evidence*

More detailed information about each of these options is provided below.

1. Seek Medical Attention

In Qatar, if a survivor goes to the hospital, they may not retain sole discretion over whether to pursue criminal charges. Medical personnel at hospitals are required to alert the police when it appears that the person seeking treatment has sustained an injury as a result of a criminal offense, including sexual assault. The person seeking treatment then could be required to speak with the police. Survivors should visit a hospital or doctor with whom they feel comfortable. Survivors can talk to the NU-Q Deputy Title IX Coordinator for more information.

If the survivor chooses not to go to the emergency room, s/he should still consider seeing a private doctor or a clinician. Survivors are encouraged to inquire about and understand the extent of confidentiality

healthcare providers can provide to the survivor of sexual violence. The confidentiality laws and regulations may differ substantially from those in other countries. Emergency contraception is not available in Qatar. Rape evidence collection may not be available in Qatar.

Individuals who have been sexually assaulted may choose to go to the emergency room. The nearest hospitals to the Northwestern University in Qatar campus are:

Al-Ahli Hospital (6km from Education City)

Location: Ahmed Bin Ali Street
Emergency 24 hours a day,
7 days a week

Phone: +974 4489 8901,
+974 4489 8999,
+974 4489 3349

Women's Hospital (6km from Education City)

Location: Al Rayyan Road opposite Lulu Centre
Emergency 24 hours a day, 7 days a week

Phone: +974 4439 3299/3295

There is also medical care available at the following location on campus:

Sidra Medicine (1km from Education City) Women and children only

Location: Dukhan Road opposite Northwestern
University in Qatar

Outpatient: Sunday-Thursday, 7:00 am – 4:00 pm

Phone: +974 4003 3333

There is also medical care available at the following location on campus:

Qatar Foundation Primary Healthcare Center (QF PHCC)

Location: HBKU Student Center

Phone: +974 4454 1244 (call to inquire about hours of operation)

2. Speak with On-Campus Confidential Resources

These campus resources keep communications confidential except in very limited situations (e.g. minors, imminent danger).

Employee Assistance Program (EAP) (provides confidential short term counseling services to employees via telephone)

Visit www.livewell.optum.com and click on 'My Services' for more information or call: +974 4454 5293 or **+44 1865 397 074** (UK direct number)

Students have the following confidential resource available:

Free, short-term and confidential counseling services for students:

Location: NU-Q Counseling, Health and Wellness

NU-Q 1-320

Phone & Email: +974 4454 5073 or
patricia.collins@northwestern.edu

Counseling, Health and Wellness is available as a free confidential counseling option available to Northwestern University in Qatar students who have experienced sexual assault, dating or domestic violence, or any other type of sexual violence. Counseling, Health and Wellness will honor the privacy of your information. If the individual wants to notify the police, Counseling, Health and Wellness staff can be a resource. Regardless of whether the survivor wants to involve police, s/he may benefit from talking to a professional counselor.

Counselors listen and help survivors work through any anger, pain, sadness, relationship issues or coping mechanisms that may be related to sexual misconduct. Sometimes the effects are felt long after an incident occurred. It is never too late to seek counseling, even months or years later.

If you would like to learn more about counseling and other options available to survivors, you can talk to Counseling, Health and Wellness staff member confidentially.

3. Access Off-Campus Resources

Regardless of whether an individual wants to officially report sexual misconduct, s/he may explore independent counseling options.

Private Hospitals with physical and mental health resources available

Private Hospitals with physical and mental health resources available	
Al Ahli Hospital:	+974 4489 8888 +974 4489 8817
Doha Clinic Hospital	+974 4438 4333
American Hospital	+974 4442 1999
Al Emadi Hospital	+974 4446 6009
Qatar Foundation for Protection and Social Rehabilitation (Counseling, psychological and shelter services for women and children)	+974 4409 0999 Hotline:108

Government Hospitals and Centers with physical and mental health resources available	
Hamad Hospital	+974 4434 2421/2422
Rumailah Hospital	+974 6671 9455
Family Consulting Center	+974 4489 2888 (mental health resources only)

Students may also wish to investigate private service providers of their choice, but are encouraged to inquire about and understand the extent of confidentiality they can provide to the survivor of sexual violence. The confidentiality laws and regulations may differ substantially from the protection laws in their home country.

4. Contact the Police

Survivors are encouraged to talk to the Deputy Title IX Coordinator—Qatar Campus for more information on what may happen if they file a police report. Generally, once a sexual assault is reported to the police, physical evidence of a struggle is collected and then the case is referred to the prosecutor, who then determines if a crime took place. The amount of physical evidence which shows a struggle will usually decide the case. **If physical evidence is inconclusive, the case would be dismissed, and the survivor might either be asked to sign a statement or be jailed.**

In an emergency dial +974 4454 0999 (on campus) or 999 (off campus)

Police Reports and Respecting the Survivor's Decisions

There is no right or wrong way for a survivor to proceed. The decision to report an assault to the police is a personal one.

You should help a student or colleague make a police report if they want your help, but if they don't want to, you should also respect that decision. Publicity, concerns over revictimization, historical poor treatment at the hands of the police, or fear of being jailed are examples of reasons a survivor might not want to involve the police.

5. Contact the Title IX Coordinator

Whether or not the individual makes a police report, they can contact and make a report to the University. An individual has the right to choose whether to report the incident to the Title IX Coordinator or a Deputy Title IX Coordinator for additional options and support and/or to request an investigation. The University will protect the identity of persons involved in reports of sexual misconduct to the best of its ability. The University will only share personally identifiable information with persons with a need-to-know in order for the University to investigate and respond or to deliver resources or support services.

To report sexual misconduct to Northwestern, contact:

Title IX Coordinator—Evanston Campus

Contact: **Colleen Johnston**
Title IX Coordinator

Email: colleen.johnston@northwestern.edu

Deputy Title IX Coordinator—Qatar Campus

Contact: **Pim Thukral**
Chief Operations Officer

Location: NU-Q 3-330

Phone: +974 4454 5008

Email: pim.thukral@northwestern.edu

Under Northwestern policy, all University employees (including student employees), as well as graduate students with teaching or supervisory authority, are obligated to promptly report sexual misconduct of which they become aware in the scope of their work for the University to the Title IX Coordinator or Deputy Title IX Coordinator. The Confidential Resources listed above are not subject to this reporting requirement.

6. Interim Measures & Support Services

Interim measures are individualized services offered as appropriate to either or both the reporting and responding parties involved in an incident of sexual misconduct, prior to an investigation or while an investigation is pending. Interim measures include counseling, extensions of time or other course-related adjustments, modifications of work or class schedules, campus escort services, restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar accommodations. It may be appropriate for the University to take interim measures during the investigation of a complaint.

Interim measures will be individualized and appropriate based on the information gathered by the Office of Equity, making every effort to avoid depriving any student of their education. The measures needed by each party may change over time, and the Office of Equity will communicate with parties throughout an investigation to ensure that any interim measures are necessary and effective based on the parties' evolving needs.

As noted above, an individual may request to receive support – including the measures mentioned in this section – even if they do not choose to participate in the University’s Complaint Resolution Process.

7. Preserve Evidence

Northwestern encourages individuals who have experienced sexual misconduct to preserve evidence to the greatest extent possible as this may preserve more options for them in the future. Below are suggestions for preserving evidence related to an incident of sexual misconduct. Outside of Qatar, a forensic rape exam is a consideration for many survivors of sexual violence. Within the State of Qatar, it is a possible consideration for survivors of sexual violence.

In the State of Qatar, forensic evidence for a conviction of rape may require that there was resistance, i.e. skin of the perpetrator under the fingernails, bruises. If there is no evidence of a struggle, then an incident may not be classified as rape under Qatar law and the survivor may be accused of sex outside of marriage, which is illegal in the State of Qatar.

It is important to keep in mind that each suggestion may not apply in every incident:

- Preserve evidence of electronic communications like text messages, pictures, and/or social networking pages by saving them and/or taking screen shots.
- If there is a suspicion that a drink may have been drugged, inform a medical assistance provider and/or police as soon as possible so they can collect evidence (e.g. from the drink, through urine or blood sample).
- Because evidence that may be located on the body can dissipate quickly, consider going to a hospital or medical facility immediately to seek a medical exam. If possible, do not shower, brush teeth, or eat before going to the hospital or seeking medical attention, and do not wash clothes or bedding.



