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LAKE FOREST COLLEGE

FACULTY HANDBOOK

Section I

FACULTY PERSONNEL POLICIES

Section II

FACULTY ACADEMIC AND ADMINISTRATIVE POLICIES

Section III

FACULTY GOVERNANCE POLICIES

August 2019

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SECTION I

FACULTY PERSONNEL POLICIES

A. GENERAL DEFINITIONS

1. Definition of Faculty

According to the Bylaws of Lake Forest College adopted by the Board of Trustees on September 11, 1965, and amended by the FPPC on February 18, 1997, and amended by the Board of Trustees on May 12, 2006, the faculty is defined as follows:

The faculty shall consist of the President of the College, the Deans, the Associate Deans, the Assistant Deans, the Professors, the Associate Professors, the Assistant Professors, the Visiting Professors, the Visiting Associate Professors, the Visiting Assistant Professors, the Instructors, the Senior Lecturers, the Lecturers, the Registrar, the Chief Information Officer, the Librarians, the Academic Technology Specialists, the Vice President for Admissions and Career Services, the Associate and Assistant Directors of Admissions, and the Director of Athletics and full-time head coaches.

Voting privileges are given only to faculty members holding full-time appointments at the College.

While the above definition embraces teaching and administrative faculty, both full- and part-time, as well as coaches, certain of the following sections apply only to the teaching faculty, most notably the policies on appointments, review, tenure, promotion, and sabbatical leave.

2. Equal Employment Opportunity

All faculty appointments must meet equal employment opportunity standards. The President of Lake Forest College defined these standards in the following proclamation, approved by the Board of Trustees on September 27, 1975 (amended February 28, 1978; December 3, 1994; March 31, 2015; May 24, 2016)

Lake Forest College does not unlawfully discriminate 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, or services or in the educational programs or activities it operates.

Lake Forest College complies with federal and state laws that prohibit discrimination based on the protected categories listed above, including Title IX of the Education Amendments of 1972, which prohibits discrimination based on sex (including sexual misconduct) in the College's educational programs and activities.

Lake Forest College provides reasonable accommodations to qualified applicants, students, and employees with disabilities and to individuals who are pregnant.

Inquiries concerning Title IX may be addressed to:
Joan Slavin, Title IX Coordinator
847-735-6009
slavin@lakeforest.edu

The campus coordinator for Section 504 of the Federal Rehabilitation Act of 1973 (prohibiting discrimination based on disability) is Stephen D. Schutt, President.

A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling 800-421-3481.

3. Academic Freedom

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

On May 8, 1965, the Board of Trustees adopted the following resolution on academic freedom:

- a. Lake Forest College subscribes completely to the principles of academic freedom as set forth in the Statement of 1940 adopted by the Association of American Colleges, and the American Association of University Professors and other organizations.
- b. A member of the faculty who believes that his or her academic freedom has been infringed by an action of the College may appeal through the President of the College or the Chairperson of the General Policies Committee (now the Faculty Personnel Policies Committee) of the Faculty to the Promotion and Tenure Subcommittee of FPPC (policy changed, Board of Trustees, Feb. 22, 1977).
- c. If an issue of academic freedom cannot be resolved satisfactorily locally and a member of the affected faculty should request the American Association of University Professors to make an inquiry into the case, the College will offer full cooperation in the investigation.

At the same time the Board of Trustees also approved as College policy the following statement printed in the June 1963 issue of the *Bulletin* of the American Association of University Professors:

- a. Teachers are entitled to full freedom in research AND in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

4. Conflict-of-Interest Policy for Trustees, Employees, and Institutional Officers

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(Following adopted May 8, 2009 by Board of Trustees)

a. Applicability

The following statement of policy applies to each member of the Board of Trustees ("Board Members") as well as the President, Vice Presidents and Directors (collectively "Senior Administrators") of Lake Forest College ("College").

b. Statement of Policy Regarding Fiduciary Responsibilities

Board Members and Senior Administrators of the College have a fiduciary duty to serve the fiscal interests of the College, as well as a duty to preserve the public and donor trust. Thus, these individuals have a clear obligation to fulfill their responsibilities in a manner that does not give rise to a perceived or actual conflict of interest. All decisions by the Board and/or Senior Administrators must be made solely on the basis of a desire to advance the best interests of the College and the

public good. Any decision that could result in an actual or perceived conflict of interest, as defined by this policy, must be avoided.

Board Members and Senior Administrators may have relationships and affiliations that may raise questions about perceived conflicts of interest. Although many such potential conflicts are and will be deemed inconsequential, every individual Board Member and Senior Administrator has an ongoing responsibility to disclose situations that involve personal, familial, or business relationships that could be perceived as a conflict of interest. Each Board Member and Senior Administrator is required to:

- (a) Be familiar with the terms of this policy;
- (b) Avoid and disclose any actual or potential ethical, legal, financial or other conflicts of interest involving the College in accordance with the procedure set forth in this policy;
- (c) Remove themselves from a position of decision-making authority with respect to any situation in which they have any actual or potential ethical, legal, financial or other conflicts of interest involving the College;
- (d) Acknowledge by his/her signature that he/she is currently in accordance with the letter and spirit of this policy and owes a continuing obligation of compliance with this policy.

c. Definitions

1. Business Relationship: One in which a Board Member or Senior Administrator (or a member of a Board Member or Senior Administrator's Family), serves as an officer, director, employee, partner, trustee, agent, or controlling stockholder of an organization that does business with the College.

2. Conflict of Interest: No definition of conflict of interest can be sufficiently inclusive to cover all possible forms of such conflict. Board Members and Senior Administrators have an affirmative responsibility to identify all actual or potential conflicts of interest in whatever form so the College may determine whether a conflict of interest exists. The College offers the following non-exclusive definitions as guidance:

A. Actual Conflicts of Interest

Conflicts of interest are, most generally, situations in which individuals with a fiduciary responsibility to the College have interests or relationships, including personal or Business Relationships that might reasonably be construed to affect their independent, unbiased judgment when making or participating in the making of decisions on behalf of the College, where such decisions will or could materially benefit them directly, indirectly, or their Family.

B. Potential Conflicts of Interest

A *potential* conflict of interest occurs when an individual's personal or private interests or Business Relationships might reasonably lead an independent observer to question whether the individual's professional actions or decisions are influenced by the considerations of a Business Relationship or significant personal interest, financial or otherwise. An individual is considered to have a potential conflict of interest when:

- He/she or any member of his/her Family may receive a financial or other significant benefit as a result of his/her position at the College.
- He/she has the opportunity to influence the College's financial, business, administrative or other material decisions in a manner that leads to his/her (or a member of his/her Family's) personal gain or advantage;
- He/she or any member of his/her Family has an existing or potential financial or other significant interest which impairs or appears to impair his/her independence in the discharge of their responsibilities to the College.

3. Family Member: A spouse, domestic partner, parent, sibling, child, or any other member of the same household of the Board Member or Senior Administrator.

d. Required Disclosure

All individuals covered by this policy shall complete and file a Conflict of Interest Disclosure Statement with the Secretary of Lake Forest College (the “Secretary of the College”) annually by July 1. In order to aid in completing the statement, the College will prepare a list of certain companies that had transactions with the College in the prior year and a list of investments held at the end of the fiscal year. This list shall be compiled and distributed no later than June 1, annually.

In the period between the filing of the annual statements, if an individual covered by this policy believes that he/she may have an actual or potential conflict of interest with respect to this policy or any particular transaction, he/she shall immediately and fully disclose the potential conflict to the Secretary in writing, and shall refrain from participating in any transactions or decisions of any actual or potential ethical, legal, financial or other conflicts of interest involving the College that may involve the potential or actual conflict of interest.

If a Board Member or Senior Administrator is uncertain whether to list a particular Business Relationship or other outside interest, the Board Chair and the College’s legal counsel should be consulted. They may elect to seek the judgment of the Board Executive Committee before informing and consulting with the entire Board within an executive session. Information shared or gathered as a result of such considerations (including information provided on this form) shall be confidential except when the College’s best interests would be served by disclosure. Such disclosure will be made only after informing those concerned.

e. Disclosure Review

The Secretary of the College will accumulate all disclosure statements and furnish them to the Chairman of the Board. The Secretary of the College will be responsible for ensuring compliance by the full population covered by this policy and report to the Chairman of the Board those individuals failing to furnish an annual statement.

f. Restraint on Participation

Board Members or Senior Administrators who have declared a conflict of interest, or who have been found to have a conflict of interest, shall refrain from participating in any proposed transaction involving the outside interest held by the Board Member or Senior Administrator including consideration of the transaction or voting, unless the Board or Administration requests information or interpretation for special reasons that are stated on the record or in writing. Should a determination regarding the existence of a conflict of interest matter require an Executive Committee or Board vote to resolve, those concerned shall not be present at the time of the vote.

5. Financial Conflict of Interest for Federal Grants

In accordance with federal regulations, it is the responsibility of Lake Forest College to identify and manage actual or perceived conflicts of interest that may arise in externally-funded research projects. A conflict of interest occurs when an individual’s private interests might reasonably be construed to affect his or her independent, unbiased judgment in designing, conducting, managing or reporting federally-funded research. All faculty or staff applying for, holding, or administering federal grants are required to be familiar with the College’s Financial Conflict of Interest Policy for Federal Grants and to complete a disclosure form. More information about the policy and the disclosure form is available from the Office of Grants and Sponsored Research (OGSR).

B. APPOINTMENTS, REVIEW, TENURE, PROMOTION, AND RETIREMENT

The following applies to full- and part-time faculty who teach courses at Lake Forest College which lead to an academic degree.

Eligibility of Employment

All new employees must comply with the Immigration Reform and Control Act of 1986, and verify, in person with the Business Office prior to actual employment, their "eligibility of employment." Verification of employment eligibility requires the completion of an I-9 form and the presentation of original documents proving identity and eligibility to work in the United States (i.e., for U.S. citizens, a driver's license with photo and original Social Security Card). It is unlawful for the College to hire individuals unauthorized to work in the United States (Amended September 1, 1987, in light of new federal guidelines).

Background Check Policy

(Effective July 26, 2009; updated October 1, 2010; revised March 2015)

Lake Forest College will conduct a background check for each new hire or when an employee transfers to selected positions within Lake Forest College. Background checks will also be conducted on former employees who return to work for Lake Forest College if the duration of the separation exceeds 30 days. Lake Forest College complies with the Fair Credit Reporting Act, which regulates the use of information gathered by consumer reporting agencies and which may determine an individual's eligibility for employment.

Although a disqualification from employment is possible, in accordance with federal and state laws, a previous issue does not automatically disqualify an applicant from consideration for employment with Lake Forest College. Depending on a variety of factors (for example, the nature of the position, the nature of the issue, and the amount of time that has passed), the candidate may still be eligible for employment.

An offer of employment may be extended to an applicant prior to the completion of the background check. However, the offer will be contingent upon successful background check results.

When a candidate is not selected based on background check results, the results may be provided as required by Illinois law and the Fair Credit Reporting Act and the candidate may be given an opportunity to refute the information in accordance with the deadline required by the Fair Credit Reporting Act. Additional time may be provided to the candidate at the sole discretion of Lake Forest College.

Lake Forest College reserves the right to decline an applicant or to discipline and/or terminate an employee who has provided false, misleading, erroneous, or deceptive information on an application, resume, or during an interview or who has omitted material information during the hiring process.

Faculty Credentials

All full- and part-time faculty must satisfy one of the following criteria:

- Have a terminal degree
- Possess an academic degree one level above the level at which they will teach
- Have licensures or other credentials that document educational attainment one level above the level at which they will teach.

Exceptions

- Have completed all requirements for the terminal degree with the exception of the dissertation (ABD).
- Have equivalent experience that demonstrates mastery at least one degree level above the level at which the instructor will teach. A minimum of five years of relevant professional/industry experience beyond the bachelor's degree is typically required. The qualifications and experience must be documented and approved by the department chair and the Dean of the Faculty.

Documentation

Any offer of employment to a prospective faculty member is contingent upon verification of the required academic credentials. The candidate is responsible for submitting an official transcript to confirm that he or she holds an appropriate degree and/or has completed all requirements for the terminal degree with the exception of

the dissertation (ABD). The candidate may be required to verify other licensures or certifications. A faculty member who completes a degree after beginning employment at the College must provide an official transcript to verify the awarding of the degree.

FACULTY HIRING PROCEDURES

This document was approved by FPPC on October 25, 1990, Revised April 23, 1992, Revised March 25, 1997. Revised September, 2000. Revised April/September 2005. Revised February 26, 2015. Revised April 19, 2017.

Lake Forest College is committed to hiring faculty members who are intellectually and personally well qualified for positions at a liberal arts college. The College is also committed to the principle of equal employment opportunity and actively seeks cultural, racial, and gender diversity in its faculty. The procedures described here are intended to guarantee as much as possible the meeting of those commitments and the systematization of the selection process. Procedures vary somewhat for teaching faculty and other faculty (administrators with faculty status, librarians, and physical education staff).

1. Authorization: Authorization of a faculty opening is made by the President.

In the case of teaching faculty, the President acts upon recommendation by the Academic Resources and Review Committee (ARRC). To insure a prompt start of search procedures, ARRC recommendations normally should be determined as early in the college year as possible. Departments and programs wishing to request authorization to replace a tenured or tenure-track faculty member should contact the Faculty Diversity Recruitment Subcommittee (FDRS) Chair, who will assign an FDRS representative for a preliminary discussion with the department/program chair about the nature of the position and participate in the drafting of the proposal. The department/program then submits the proposal to ARRC. Please consult the chair of ARRC for the guidelines.

In the case of administrators, librarians, academic technology specialists, or physical educators, the President first consults with the College Council. In the case of ranking administrators (e.g., Dean of the Faculty, Dean of Students, Director of Admissions, Registrar, Chief Information Officer, Director of College Athletics) or teaching administrators (e.g., Directors of the Writing Center, Internships), the President also consults with the Faculty Personnel Policies Committee (FPPC).

2. Search committee and coordinator: For academic departments in which a vacancy occurs, the department chairperson or a department member designated by the chairperson coordinates the search and interview process, assisted by other departmental faculty as additional members of the search committee. For positions of ranking or teaching administrators or where an academic department vacancy entails a chairperson position, the coordinator and others on the search committee are specially appointed by the President, acting upon recommendation by the FPPC. In the case of an opening for a physical educator or for an associate or assistant dean, librarian, or director of admissions, the appropriate supervisor coordinates the search, assisted wherever possible by colleagues as additional search committee members. Every search committee also includes a faculty or staff member from the FPPC Faculty Diversity Recruitment Subcommittee (FDRS), appointed by the chairperson of that Committee. The FDRS representative is a full member of the search committee and is expected to participate in all phases of the search.

In recruiting and appointing faculty, every effort shall be made to obtain the best qualified person for the available position. If a candidate is related to a member of the search committee, that member of the search committee will be removed and, if possible, replaced. Other departmental faculty and/or a special committee appointed will function for that purpose.

The search coordinator calls an initial meeting of the search committee to discuss the nature of the position in light of departmental and/or institutional directions.

3. Search plan: The search coordinator devises a detailed plan indicating the process by which the search will be conducted. The FDRS member of the search committee should keep diversity issues in the foreground of discussions about the search process and candidates.

The plan must provide for broad dissemination of information to a spectrum of potential candidates. The search committee's plan should include specific steps designed to attract a diverse pool of candidates. These steps may include (a) explicitly assigning responsibility to individual faculty members for making contacts and for following up leads which may result in attracting candidates who might otherwise overlook the announcement of the opening, and (b) writing to officers of women and minority professional organizations and to other individuals known to be interested in supporting women and minority candidates for professional appointments.

The plan must show the advertising text and media to be used and be approved by the Dean of the Faculty. Appropriate media include professional journals, special professional job listings, widely distributed newspapers and magazines, and letters to graduate departments and individuals. Personal contacts and telephone inquiries also should be used to increase the quality, quantity, and variety of the applicant pool.

4. Faculty Diversity Recruitment Subcommittee

The College appreciates its opportunity, within the limits of the law, to take affirmative steps to recruit faculty who are diverse in race, ethnicity or gender. We look to enhance the diversity of our faculty, in these particulars, both overall and within individual departments through our hiring procedure by involving the Faculty Diversity Recruitment Subcommittee (FDRS) at every step of the hiring process.

Charge to the Subcommittee:

The goal of the subcommittee is to promote the recruitment of a diverse faculty by working with search committees for teaching faculty positions at the College. An FDRS member is assigned to each search undertaken for full-time tenure-track teaching faculty. The FDRS member is a full voting member of the search committee who shall be involved in every aspect of the search. The Faculty Diversity Recruitment Subcommittee reports to the Faculty Personnel Policies Committee (FPPC).

As a full member of the faculty search committee, the FDRS member keeps diversity issues in the foreground during the search process and the discussions of the candidates. The duties of the FDRS representative include: 1) helping the search committee craft a job description that can attract a diverse pool of candidates; 2) assisting the search committee in finding organizations and/or academic colleagues who can identify individuals who will diversify the pool; 3) assisting the search committee in creating inclusive evaluation criteria that are qualification-based; 4) identifying candidates from the pool who could contribute to the diversity of the faculty; and 5) overseeing the consistent application of the evaluation criteria to all candidates. If the FDRS member has any concerns about the conduct of a given search with respect to the charge of the FDRS, the FDRS member is expected to report these concerns to the FDRS chair, FPPC, and directly to the Dean of the Faculty and the President. Such a report could lead to suspension of the search by the Dean of the Faculty.

Composition:

1. The FDRS is established annually by the FPPC. It is comprised of tenured Faculty members.
2. The size of the committee is determined by the number of searches authorized for the academic year for which the committee is instated. Ideally, there will be one committee member appointed per search authorized.
3. FPPC will endeavor to maintain continuity on the committee as it assigns members. The chair of the committee will be someone who has already served on the committee.
4. The Dean of the Faculty or an Associate Dean of the Faculty is an ex-officio member of the committee.

Duties of the Faculty Diversity Recruitment Subcommittee

a. Chairs

The chair meets with all FDRS members to go over procedures at least once a year. The chair should be informed by the Dean of the Faculty when approval is given to conduct a search. The chair then assigns a member of the FDRS to each search, from the same division when possible but not from the same department. The chair then contacts coordinators of search committees as they begin to formulate a search plan. The FDRS member participates in the formulation of the job description and the search plan as a full member of the committee.

b. Dean of the Faculty

The Dean of the Faculty or Associate Dean of the Faculty serve as ex- officio members of the FDRS during the academic year, but represent the subcommittee for searches undertaken during the summer. A database of organizations to contact to attract a diverse candidate pool will be maintained by the Dean of the Faculty office for faculty search committees to consult. The Dean of the Faculty collects the reports of the subcommittee.

c. Reports

The FDRS member must co-sign, along with the coordinator of the search committee, an equal opportunity report. This report presents a record of the steps taken in the search, the screening and recommendation process, and of the criteria used in this process. The FDRS member should also prepare a short narrative describing her/his involvement in: 1) the creation of the search plan; 2) the development and examination of the initial applicant pool; 3) phone or conference interviews; 4) campus visits; and 5) hiring decisions. Brief reports for each search undertaken during that academic year summarize the efforts taken to attract a diverse pool of candidates and the results of the search, including an analysis of lack of success. These will be sent to the Dean of the Faculty with copies sent to the FDRS Chair.

5. Advertisement: Coordinators are responsible for publicizing tentative or authorized openings. Teaching faculty positions are normally advertised only after the President has accepted recommendations of the ARRC on faculty allocation. The search coordinator may, however, seek permission for early advertising from the Dean of the Faculty. Announcements or advertisements placed at this early time must characterize the position as "anticipated" or "possible" and may state the expected time of the authorization decision.

All advertisements should include the following brief description of the College as listed at <https://www.lakeforest.edu/about/working/>. "

For one-year teaching faculty positions, this advertisement boilerplate may be modified to remove the expectation of peer-reviewed publications.

6. Review of applications: Applications are examined by the coordinator and other search committee members, who together select the most promising candidates for further consideration.

7. Preliminary interviews: Whenever possible, preliminary interviews are held in order to bring a limited number of candidates for on-campus interviews; but such an interview is not a prerequisite for invitation for an on-campus interview. Coordinators and delegated search committee members may conduct preliminary interviews at professional meetings, through conference calls, or on campus. The FDRS representative is not expected to travel to interview at conferences.

In all instances of preliminary interviews, as in on-campus interviews, concern for equal employment opportunities and a diverse faculty must be demonstrated.

8. Recommendations for on-campus interview: The coordinator submits to the Dean of the Faculty or President, as appropriate, the files of at least two candidates the search committee recommends be brought to campus, along with files of other candidates in rank order, for a total of five. If these five do not include minorities and women, files of top candidates in those categories are submitted as well. At this stage the FDRS member should report any objections to the Dean or President.

9. Approval for on-campus interview: For teaching faculty, approval must be given by the Dean of the Faculty before an invitation for an on-campus interview is extended. For other faculty, approval must be given by the President or, at the President's discretion, the Dean of the Faculty. Approval entails a determination that the principle of equal employment opportunity has been fully adhered to in the search and screening process, that a complete dossier on the candidate has been obtained, and that the search committee has made a careful evaluation of the candidate's qualifications and supporting material. If approval is denied, the reasons must be given to the coordinator.

10. Eligibility for U. S. Employment: The coordinator of the search committee will determine whether the candidates invited for an official interview are eligible to work in the United States during the period for which they would be hired. For current regulations, please consult the office of the Dean of the Faculty.

11. Preparation for on-campus interview: The coordinator is responsible for arranging a detailed interview schedule, with the aid of the Office of the Dean of the Faculty or, where appropriate, the Office of the President. Copies of the candidate's *curriculum vitae* are prepared for distribution to students scheduled for on-campus interviews, and copies of the complete dossier are made available to involved faculty members. The relevant department assistant assists in distributing materials, arranging overnight and dining accommodations, and making reimbursement for travel and other costs.

12. Interviews: In the on-campus interview process, the candidate should be interviewed by as many of the following as possible:

- a. the coordinator and all other members of the search committee, including the FDRS representative;
- b. other faculty in fields, or with interests, akin to those of the candidate;
- c. appropriate students (Academic Advisory Committee, Athletic Council, or students appointed by the search coordinator);
- d. other students, especially relevant majors, and without faculty present;
- e. Dean of the Faculty
- f. the Dean of the Faculty;
- g. the President of the College;
- h. the Director of Human Resources, whose primary function is to provide information concerning College benefits (e.g., insurance, faculty housing, mortgage subsidy).

For teaching faculty positions, coordinators are urged to have the candidate present a lecture or otherwise participate in a class. For any other faculty position that may include some classroom duties, the chairperson of the relevant department should participate in the interview and recommending process.

13. Interview reports: Other than the Dean of the Faculty, President, and the FPPC representative, interviewers inform the coordinator of their evaluations of the candidate. These evaluations are reviewed by the search committee.

14. Recommendation for appointment: For teaching faculty appointments, after the search committee has agreed to recommend a candidate, the coordinator so informs the Dean of the Faculty in writing, attaching copies of all dossiers and interview comments. For appointment of other faculty, communications are sent directly to the President or the President's designee.

15. Equal opportunity report: The coordinator must submit (to the Dean of the Faculty or President, as relevant) an equal opportunity report on a provided form. The report presents a record of the steps taken in the search, screening, and recommendation process, and of the criteria used in this process, and must be cosigned by the FDRS member of the search committee.

16. Saving records: All documents connected with the search, including the information submitted by all applicants, must be retained by the coordinator for one year from the time a candidate accepts the position offered.

17. Exceptions to these procedures: Exceptions to these procedures may occur only in the following cases:

a. Full-time, non-tenure track: An FDRS representative is not mandatory for these searches. Ordinarily, if the position is later converted to a tenure-track line, the department will be required to conduct a new national search. Occasionally, a subsequent conversion may be approved without the necessity of mounting a national search, but only if an FDRS representative participated in the original search.

b. Internal candidates: On rare occasions, a search committee may believe that a person currently holding a full- or part-time position at the College is so exceptionally qualified, both by information and recommendations presented at the initial hiring and by subsequent performance, that a national search seems unnecessary and wasteful. In such cases, the search committee, through its coordinator, recommends that a national search be postponed. The recommendation will be honored only if it is formally approved by the FDRS member of the search committee, the FPPC, the Dean of the Faculty, and the President. Formal interview procedures 10-12 will still be followed, though they may be modified by the FPPC to expedite the process and avoid unnecessary duplication of interviews.

c. Part-time openings: Advertising of such positions may be limited to the more immediate geographical area. Candidates for teaching assignments are interviewed normally by the department chair and other department members, as appropriate, and a representative of the Dean of the Faculty. Candidates for non-teaching faculty assignments are interviewed normally only by the relevant supervisor and colleagues, students (where appropriate), and a representative of the Dean of the Faculty or President.

d. Late and emergency appointments: If normal procedures cannot be implemented (as, for example, when the formal interview process is scheduled for a time after the end of the college year, or in filling an immediate vacancy caused by illness or death), the usual procedures should be followed as closely as possible. The Dean of the Faculty will assume FPPC responsibilities when hiring is done during the summer--insuring, however, that candidates are interviewed by at least three members of the teaching faculty. The appointment is of a one-year terminal nature or, in the case of emergency appointment, until the end of the college year or on an acting basis. If the position is full-time and its continuance is authorized for a subsequent academic year, a national search must then be conducted.

e. Unpaid teaching faculty: Persons who offer to teach a course without pay and who are not otherwise employed by the College will only teach courses not regularly offered and will not be counted as part of the department's faculty allocation (as determined by the ARRC). Such faculty appointments must be approved by the appropriate department chairperson, the FPPC, the Dean of the Faculty, and the President.

1. Appointment to the Faculty

(Approved by Board of Trustees, December 6, 1975)

Full-time faculty appointments are made by the Board of Trustees. All candidates for faculty positions are interviewed by members of the Faculty Personnel Policies Committee and the Dean of the Faculty, who together make final recommendations to the President about the person as well as about the title and/or professorial rank. Upon acceptance of an offer on the part of the new faculty member, the President will submit for approval by the Board of Trustees the appointment of the candidate.

Mission Statement: (Approved by Faculty, March 05, 2014)

Our curriculum engages students in the breath of the liberal arts and the depth of traditional disciplines. We encourage students to read critically, reason analytically, communicate persuasively, and, above all, to think for themselves. We prepare our students for and help them attain, productive and rewarding careers. We foster creative talent and independent research. We embrace cultural diversity. We honor achievement. Our faculty of distinguished scholars takes pride in its commitment to teaching. We know our students by name and prepare them to become responsible citizens of the global community. We enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively. We maintain a secure residential campus of great beauty. We enrich our curriculum with the vibrant resources of Chicago. Lake Forest College celebrates the personal growth that accompanies the quest for excellence.

As the College's mission statement makes clear, our faculty of distinguished scholars takes pride in its commitment to teaching. We know our students by name and prepare them to become responsible citizens of the global community. We foster creative talent and independent research. We embrace cultural diversity. Diversity requires a broad definition. Faculty, students and staff are diverse in many ways: in race, religion, ethnicity, gender, sexual orientation, geographic origin, political beliefs, disability status and still other characteristics. The College embraces diversity in this expansive sense; people should feel welcome and comfortable on our campus regardless of background or persuasion.

2. Appointment to Teaching Faculty

(Approved by Board of Trustees, October 22, 1977; amended February 22, 1992; amended April 7, 1999)

Appointment to the teaching faculty is made with the title Lecturer, Senior Lecturer, Instructor, Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Assistant Professor, Associate Professor, or Professor. The last three are successive professorial ranks open only to those having a full-time appointment at the College. In disciplines where a doctorate is normally expected as the appropriate final credential, full-time faculty without the doctorate are appointed as Instructors. All part-time faculty are appointed as Lecturers or Senior Lecturers, except that tenured faculty who accept a part-time position continue in their ranks.

Appointments to the teaching faculty are for a term (up to three years) or continuing. Term appointments end at the specified time without further notification from Lake Forest College. Continuing appointments are annually renewed until notice of termination is given in accordance with the policy on "Termination of Employment of Non-Tenured Faculty" (See C.2.a.). All part-time appointments are for not more than one year.

Determination of faculty openings is made by recommendation of the Academic Resources and Review Committee (ARRC). In the case of a full-time position the ARRC should recommend, in consultation with the department chairperson, that it be continuing or for a specified term; the President may consult with the Faculty Personnel Policies Committee (FPPC) before deciding upon the nature and length of the full-time appointment. The nature and, in the case of term appointments, length must be clearly specified both in advertising and in the letter of appointment.

Most faculty appointments at the College are made in a single academic department. In the case of a faculty member appointed to one or more interdisciplinary programs, the reviews specified in Sections I.B.4,5,6 will be conducted by a committee comprised of designated faculty members from the programs and departments in which the faculty member teaches. This committee will be selected at the time of initial appointment by the Dean of the Faculty in consultation with the faculty member. The Dean will also assign one member of this committee to be responsible for coordinating the review.

3. Countable Service for Review, Tenure, and Promotion

(Approved by Board of Trustees, May 6, 1983)

For purposes of third-year review, tenure consideration, and promotion consideration, countable service will normally be measured by full academic years. For faculty on continuing appointments or with tenure, an academic year which includes a reduction of one third or less of the normal teaching load will count as a full year; an academic year which includes a reduction of more than one third of the normal teaching load will not be countable, with the following exception: If the reduction is a leave of absence for academic purposes, that year will count in the timing for tenure consideration provided the faculty member so stipulates this as part of the leave request; otherwise it will not count. Faculty participation in an Associated Colleges of the Midwest (ACM) program during the academic year will normally count as Lake Forest College teaching service; the applicable statement in the appointment letter will be the determining factor.

4. Annual Review

(Approved by Board of Trustees, October 22, 1977; amended, October 3, 1980, September 23, 1988, May 11, 1990, March 5, 1997.)

By January 20, faculty members will submit to their department chairperson a current curriculum *vitae* and, using an Annual Report form provided by the Dean of the Faculty, a description of teaching, scholarly, and service activities for the previous calendar year. Chairpersons will provide a concise evaluation of the performance of each faculty member using the chair evaluation template included on the Annual Report Form. Prior to submission on April 1 to the Dean of the Faculty, the chairperson must share with each faculty member their completed evaluation and must provide the faculty member with the opportunity to add a written response. Both the faculty member and the chairperson must sign the completed evaluation prior to submission to the Dean of the Faculty.

Department chairpersons are not expected to submit an annual evaluation for faculty members undergoing a third-year, tenure, or promotion review during the current academic year. Department chairpersons are expected to submit their own current *vita* and Annual Report Form, but they should not

complete the chair evaluation template for their own report.

All of these materials (*curriculum vitae*, description of annual activities, and the chairperson's annual evaluation) will be referred to when making decisions concerning termination and reappointment of non-tenure-track faculty. For all faculty members, the annual report will be used by the Dean of the Faculty in recommending to the President individual salary levels for the succeeding academic year. Annual reports will not be considered by the Promotion and Tenure Subcommittee during third-year, tenure, and promotion reviews.

5. Third-Year Review

(Approved by Board of Trustees, October 22, 1977; amended, October 3, 1980, September 23, 1988, May 11, 1990, March 5, 1997, March 17, 2014, amended by faculty November 5, 2014.)

In the case of faculty who could later be eligible for tenure consideration, a review in the third year of countable service as a faculty member is conducted by a review committee consisting of the Dean of the Faculty, one member of the Promotion and Tenure Subcommittee (as assigned by the PTS chairperson), and the department chairperson.

a. Criteria are employed for third-year reviews:

Teaching. Demonstration of capability and effectiveness in teaching, with evidence of ability to respond to present and future teaching needs of the department and the College. Teaching is the most important criterion for the third-year review.

Scholarship. Promise of productivity in published scholarship or appropriate creative activity.

Service. Active participation in and contributions to the College in its governance, on-campus programs, or other co-curricular activities.

Need. In every third-year review, the academic needs of the relevant department(s), interdisciplinary programs, and the College as a whole are crucial. The following major needs are considered: the candidate's academic specialties, flexibility within sub-disciplines within a department, flexibility in responding to the development of the College's curriculum and changes in its enrollment patterns, and the continued stimulation of the intellectual atmosphere of departments and the College usually provided by new members of the faculty.

While primary emphasis is placed on the above criteria, consideration is also given to the faculty member's degree status, experience in teaching, fellowships and awards, grant applications, participation in professional organizations, presentations at professional meetings, lectures outside the College, student academic advising, participation in departmental and interdepartmental programs, published writings, and any other College, community, or professional activities.

b. A candidate for third-year review is responsible the following:

- i. Early in the fall semester, faculty members invite their department chairperson and all tenured members of the department to visit classes.
- ii. By the last Monday in January, the faculty member provides the Dean of the Faculty the following items.
 1. A current *vita*.
 2. A personal statement that concisely addresses each of the criteria listed above in Section 5.a. The faculty member is welcome to elaborate specific details to whatever length may seem necessary. The personal statement must also include a descriptive summary of the candidate's scholarly agenda (or appropriate creative activity) to be pursued prior to the tenure review, including research plans for the anticipated Hotchkiss leave. Such an agenda is meant to help third-year review candidates clarify their scholarly or creative vision for the coming years, but candidates should not feel that they are strictly required to adhere to that specific agenda should new plans arise. The

faculty member also must provide a draft of the personal statement to the department chairperson and to all tenured members of the department in time for them to provide a letter on the candidate's behalf by the last Monday in January.

The faculty member is reminded to list or discuss his or her service on College committees, student academic advising activities, involvement in senior theses and independent projects, and all other College and department service either on the *vita* or in the personal statement.

- iii. In addition to the curriculum vitae and personal statement, the faculty member is welcome, but not required or expected, to provide the Dean of the Faculty with other materials to support specific claims made in the personal statement. Examples of additional materials include but are not limited to: copies of syllabi and exams, grant applications, reprints of publications or copies of manuscripts under review, evidence of creative works, and letters from students, alumni, or colleagues. The faculty member is encouraged to discuss his or her choice of additional materials with the Dean of the Faculty.

c. The department chairperson is responsible for the following:

- i. The department chairperson meets with the faculty member in early fall to discuss the third-year review process.
- ii. The department chairperson provides the Dean of the Faculty with a letter evaluating the faculty member in each of the criteria listed in Section 5.a. by the last Monday in January. The letter must be based in part on classroom visits arranged in advance with the faculty member.
- iii. The department chairperson serves as one of the three members on the third-year review committee.

d. The Dean of the Faculty is responsible for the following:

- i. By early September, the Dean of the Faculty invites the faculty member for a meeting to discuss the third-year review process.
- ii. The Dean of the Faculty solicits evaluative letters from the department chairperson and from all tenured colleagues in the department and/or interdisciplinary programs in which the candidate has worked. All letters from tenured colleagues are to include a considered evaluation of the candidate's teaching based in part on classroom visits arranged in advance with the faculty member. To encourage an honest evaluation, all letters will be treated confidential by the third-year review committee. In departments or programs without tenured faculty, the Dean of the Faculty in consultation with the FPPC and the candidate will designate appropriate senior faculty to write letters in place of those that would have been written by tenured department members.
- iii. The Dean of the Faculty solicits letters from each student currently serving on the department's Student Academic Advisory Committee.
- iv. The Dean of the Faculty makes the faculty member's student evaluations available to the third-year review committee.

- e.** After careful review of all materials, the review committee formally recommends to the President that the faculty member be retained on a continuing appointment or be given a one-year terminal appointment. Candidates must be notified of the President's acceptance or rejection of the review committee's decision by March 1 unless extenuating circumstances make that impossible. In the case of a successful review, the Dean of the Faculty, in a letter approved by other members of the review committee, informs the faculty member of the committee's evaluation of his or her strengths and areas of needed improvement, and addresses the faculty member's current and anticipated position with regard to department and College needs. The faculty member is then encouraged to meet with the Dean or department chairperson to discuss the evaluation. The letter from the Dean of the Faculty to the faculty

member will be provided to the Promotion and Tenure Subcommittee should the faculty member eventually be considered for tenure.

Unless changing College needs require reduction in faculty size or departmental allocations, faculty members retained on a continuing appointment after the third-year review will ordinarily be considered for tenure in their sixth year of countable service.

To eliminate any misconception that a successful third-year review necessarily implies a successful tenure review, the FPPC stated the following on December 7, 1981: "The criteria for tenure are more stringent and comprehensive than those for third-year review. Faculty are encouraged to discuss the procedure and criteria for third-year and tenure review with their chairperson or the Dean of the Faculty."

Summary of Key Procedural Dates for Third-Year Review

The following list of key dates is offered as a reference guide and does not replace or supersede the preceding formal guidelines.

Action	Timing
Candidate meets with the DoF	Early September
Candidate invites chair and tenured department members to visit his/her classes	Early in fall semester
DoF solicits letters from tenured colleagues, SAAC representatives and committee chairs	Early November
Candidate submits all materials; letters due from tenured colleagues, SAAC representatives and committee chairs	Last Monday of January
President notifies the candidate of his/her acceptance or rejection of the review committee's recommendation	March 1

6. Tenure

(Approved by Board of Trustees, October 22, 1977; amended May 11, 1990; December 4, 1991; February 22, 1992; April 6, 1994; March 5, 1997; March 17, 2014; November 5, 2014; and amended by faculty October 7, 2015.)

The Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee considers faculty members for tenure only upon recommendation by their department chairperson or the Dean of the Faculty. A recommendation for tenure does not necessarily entail a recommendation for promotion.

a. Definition of Tenure

Tenure is a commitment by the College to retain a faculty member on a full-time basis until the faculty member's employment ends through resignation, retirement, or dismissal or termination for cause.

b. Eligibility for Tenure Consideration

Eligibility for tenure consideration is restricted to full-time faculty in professorial ranks whose primary duty (defined as over half-time) is to teach courses which lead to an academic degree at Lake Forest College and who have completed their doctorate or, in the case of faculty in the creative or performing arts, an appropriate terminal degree. Instructors serving primarily as laboratory supervisors can be retained on a yearly basis without being eligible for tenure consideration. Faculty members are considered only once for tenure.

c. Timing for Tenure Consideration

Tenure consideration must be timed to meet the following principles:

- i. Ordinarily, a faculty member completes the tenure process in his or her sixth year of countable service at Lake Forest College.
- ii. Faculty members initially appointed at the rank of Associate Professor or Professor shall receive tenure no later than at the end of four years of countable service at Lake Forest College unless the appointment to the fourth or prior year was a terminal appointment.
- iii. Faculty members initially appointed at the rank of Associate Professor or Professor and as a department chairperson may be considered for tenure, upon recommendation of the Dean of the Faculty, after the completion of one year of countable service.
- iv. Other eligible faculty members shall receive tenure no later than at the end of seven years of countable service at Lake Forest College unless the appointment to the seventh or prior year was a terminal appointment.
- v. Three years or fewer of prior teaching with the doctorate at another institution may, for purposes of tenure, be counted as equivalent to teaching at Lake Forest College, but no more than three years of credit will be granted for such prior experience. A new faculty member will be given the choice of whether to count all or some eligible prior experience or to waive the counting of such experience in the initial letter of appointment.

Early tenure decisions—that is, consideration before the maximum time allowable in accordance with the above principles—will entail more rigorous application of the criteria than is normally the case.

d. Need Criteria for Tenure

In every instance of tenure consideration, the academic needs of the department concerned, of interdisciplinary programs, and of the College as a whole are crucial. The following major needs are considered: the candidate's academic specialties, flexibility within sub-disciplines within a department, flexibility in responding to the development of the College's curriculum and changes in its enrollment patterns, and the continued stimulation of the intellectual atmosphere of departments and the College usually provided by new members of the faculty.

e. Performance Criteria for Tenure

Candidates for tenure are judged on their teaching, scholarship, and service, in that order of priority, according to the following performance criteria:

Teaching. Demonstration of commitment to teaching and academic advising with evidence of marked effectiveness, including successful teaching at both introductory and advanced levels, and of ability and willingness to meet present and future teaching needs of the College.

Scholarship. Demonstration of commitment to scholarship and promise of continued productivity, through published (or accepted for publication) articles in selective professional periodicals or by a refereed book manuscript. For faculty primarily in creative or performing arts: demonstration of commitment to artistic creativity, with evidence of quality refereed achievements.

Service. Demonstration of commitment to serving the College community, with evidence of active involvement in co-curricular functions and of contributions in other service areas such as on college committees.

While primary emphasis is given to the above criteria, consideration is also made of other

College, professional, and community activities, such as participation in workshops to improve teaching, contributions to departmental and interdepartmental planning and programs, participation in professional organizations and conferences, book reviews, journalistic or other occasional publications, and recent fellowships or awards.

f. Procedures for Tenure Consideration

- i. At the Dean of the Faculty's invitation, tenure candidates meet with the Dean during the spring or summer prior to tenure consideration to discuss the tenure process.
- ii. A candidate for tenure is responsible for the following:
 - a. In order for the Dean of the Faculty to solicit letters from external reviewers, tenure candidates must provide the Dean of the Faculty a list of potential external reviewers who are able to evaluate the candidate's research record. Candidates should discuss the composition of the list with the Dean early in the summer. To allow external reviewers to fully examine the candidate's record, the candidate must also provide the Dean with an updated curriculum vitae and evidence of scholarly output or creative works since starting at the College (e.g., copies of published papers, book manuscripts, recorded performances, copies of reviews, representations of creative works). The list of potential reviewers, curriculum vitae, and evidence of scholarly output should all be provided to the Dean of the Faculty by the first Monday in July. To facilitate the Dean's solicitation of external reviewers and to assist those reviewers in their evaluations, candidates should include a brief paragraph summarizing the scope of their submitted scholarly work.
 - b. The candidate invites the department chairperson and all tenured members of the department to visit his or her classes. Although candidates must extend such invitations at the latest by the first week of classes in the fall, candidates are encouraged to arrange for this starting as early as the previous spring semester.
 - c. By the first Monday in September, the candidate provides the Dean of the Faculty with a personal statement outlining his or her achievements with regard to the performance criteria for tenure. The candidate's personal statement should also address issues relevant to the need criteria. The personal statement should be appropriately concise, but the candidate is welcome to elaborate specific details to whatever length may seem necessary. By the same date, the candidate must also provide a draft of the personal statement to his or her department chairperson and to all tenured members of the department in time for them to provide a letter on the candidate's behalf by the first Monday in October.
 - d. In addition to the above materials, the candidate is welcome, but not required, to provide the Dean of the Faculty with other materials to support specific claims made in the personal statement. Examples include, but are not limited to, copies of syllabi and exams, grant applications, a statement of teaching philosophy, and letters from students, alumni, and colleagues. Letters written by others on the candidate's behalf should be sent directly to the Dean of the Faculty. It is the candidate's responsibility to convey the first Monday of October deadline to letter writers. The candidate is encouraged to discuss his or her choice of additional materials with the Dean of the Faculty.
 - e. The candidate meets with the Promotion and Tenure Subcommittee after all materials have been submitted but before final deliberations have begun.
 - f. A candidate may withdraw from the tenure review at any stage prior to the President's acceptance or rejection of the subcommittee's recommendation by submitting a request in writing to the Dean of the Faculty. If a candidate withdraws from the tenure review, the faculty member is given a terminal appointment for the following year.
- iii. The department chairperson is responsible for the following:
 - a. During the spring term prior to the candidate's tenure application, the department chairperson confirms with the Dean of the Faculty candidates for tenure in the fall.

- b. The department chairperson invites the candidate to discuss the tenure process during the spring or summer prior to the candidate's tenure application.
 - c. After considering the candidate's personal statement but no later than the first Monday in October, the department chairperson provides the Dean of the Faculty with a written statement on the candidate's behalf. The chairperson's written statement must address the need and performance criteria and be based in part on classroom visits arranged in advance with the candidate.
 - d. The department chairperson meets with the Promotion and Tenure Subcommittee after all materials have been submitted but before final deliberations have begun.
- iv. The Dean of the Faculty is responsible for the following:
- a. Ensuring that during the spring term prior to the candidate's tenure application, the department chairperson confirms with the Dean of the Faculty candidates for tenure in the fall.
 - b. Using the list of potential outside reviewers furnished by the candidate, the Dean of the Faculty solicits several external letters (usually at least 4) to be received by the Dean's office by the first Monday in October.
 - c. The Dean of the Faculty, in consultation with the candidate, generates a summary sheet of the following items:
 - Courses taught by the candidate, including enrollments and GPA.
 - Independent studies and senior theses supervised.
 - College committee assignments.
 - Number of advisees.
 - Any special projects or other relevant information not included on the *curriculum vitae*.

The summary sheet is furnished to the candidate and the subcommittee by the first Monday in September.
 - d. Early in the fall semester, the Dean of the Faculty solicits written opinions employing the need and performance criteria from all tenured colleagues in the department and/or interdisciplinary programs in which the candidate has worked. These letters are to include a considered evaluation of the candidate's teaching based in part on classroom visits arranged in advance with the faculty member and are due to the Dean's office by the first Monday in October.
 - e. Early in the fall semester, the Dean of the Faculty solicits written reports from those faculty members who chaired college committees at the time the candidate served on the committee. Letters by college committee chairs are due to the Dean's office by the first Monday in October.
 - f. Early in the fall semester, the Dean of the Faculty solicits written opinions about the candidate's teaching effectiveness from each member of the relevant departmental or interdisciplinary Student Academic Advisory Committee. Letters by the Student Academic Advisory Committee are due to the Dean's office by the first Monday in October.
 - g. The Dean of the Faculty makes the candidate's student evaluations available to the Promotion and Tenure Subcommittee.
 - h. The Dean of the Faculty makes the candidate's third-year review letter available to the Promotion and Tenure Subcommittee.

The Promotion and Tenure Subcommittee may ask the Dean of the Faculty, the department chairperson, outside evaluators (regarding the quality of the candidate's scholarship), or the candidate for additional material it deems necessary, as long as it informs the candidate of the nature of the request. The candidate may also submit additional material without request at any point before final deliberations have begun. A record shall be made of all data considered by the subcommittee, and all materials shall be kept for at least two years.

After the material has been initially reviewed, but before final deliberations have begun, the chairperson of the Promotion and Tenure Subcommittee invites the candidate to meet with the subcommittee. In addition to meeting with the candidate, normally the subcommittee also meets with the candidate's department chairperson on a separate occasion.

After careful review of all materials submitted, the Promotion and Tenure Subcommittee takes a vote which is held in confidence. For purposes of this vote, the subcommittee consists of four members with equal votes – the three elected members of the Promotion and Tenure Subcommittee plus the Dean of the Faculty. A recommendation for tenure is made to the President if a strict majority of the subcommittee votes affirmatively. Candidates must be notified of the President’s acceptance or rejection of the subcommittee’s recommendation by December 1 unless extenuating circumstances make that impossible. The President then makes a recommendation to the Board of Trustees for a final decision.

In the event that the subcommittee does not recommend the candidate for tenure, the candidate, upon request, has the right to a written statement from the subcommittee regarding the reasons for its decision.

Tenure becomes effective at the beginning of the academic year following that in which the candidate was granted tenure by the Board of Trustees.

Summary of Key Procedural Dates for Tenure Review

The following list of key dates is offered as a reference guide and does not replace or supersede the preceding formal guidelines.

Action	Timing
DoF confirms impending tenure reviews with chairs of relevant departments	By early May of the preceding year
Candidate meets with the DoF	Spring of the preceding year
Candidate submits to DoF a CV, list of potential external reviewers, a brief summary of scholarship, and scholarship materials	First Monday of July
Candidate invites chair and tenured department members to visit his/her classes	By the first week of classes in the fall semester
DoF solicits external reviewers	Mid-July
DoF solicits letters from tenured colleagues, SAAC representatives and committee chairs	Early September
Candidate submits personal statement and any remaining materials.	First Monday in September
Letters due from tenured colleagues, SAAC representatives and committee chairs; external evaluations due	First Monday in October
Candidate meets with PTS	Scheduled by PTS before final deliberations
Candidate’s chair meets with PTS	Scheduled by PTS before final deliberations
President notifies the candidate of his/her acceptance or rejection of PTS’s recommendation	December 1

7. Promotion

(Approved by Board of Trustees, October 22, 1977; amended Board of Trustees, January 19, 1980; May 10, 1985; March 3, 2004; Faculty Meeting March 6, 2013; November 5, 2014 and amended by faculty October 7, 2015 & October 4, 2016)

Faculty members to be considered for promotion to Associate Professor or Professor are brought to the attention of the Promotion and Tenure Subcommittee only by their department chairpersons or the Dean of the Faculty. A recommendation for promotion does not necessarily entail a recommendation for tenure.

a. Timing of Promotion

Promotion from Instructor to Assistant Professor is automatic upon completion of all the requirements for the doctorate, as certified by the appropriate authority at the degree-granting institution.

Ordinarily, promotion from Assistant Professor to Associate Professor is made after six years of countable service with the doctorate or appropriate terminal degree and after four years of countable service at Lake Forest College. Although time in rank is a consideration, in individual cases the time between hiring and promotion may be longer or shorter than six years, depending on the candidate's performance as compared with that expected for promotion of a faculty member who began teaching without previous experience at Lake Forest College, but with the doctorate or appropriate terminal degree. Promotion of full-time faculty whose teaching responsibilities are half the normal course load or less than half will not ordinarily occur at the same rate as that of other teaching faculty.

There is no time schedule for promotion to the rank of Professor, although ordinarily the consideration occurs no sooner than in the sixth year of tenured appointment. Early promotion decisions will entail even more rigorous application of the criteria than is normally the case.

b. Criteria for Promotion

Criteria for promotion from Assistant Professor to Associate Professor are identical to those listed under "Performance Criteria for Tenure."

Promotion to full Professor represents a reinforcement of the life-long commitment made with the granting of tenure. Such reinforcement must reflect continued excellence in teaching, scholarship, and service. To be recommended for promotion to Professor, the candidate must therefore meet the following threshold criteria:

Teaching. Evidence of high performance and growth in teaching excellence, an ability to engage students in research as indicated by their accomplishments in independent studies and senior projects, an ability to attract students to courses, continued effectiveness as an advisor, and a willingness to meet the diverse teaching responsibilities of the department and the College.

Scholarship. A demonstration of the completion of a substantial increment of scholarly or appropriate creative work, beyond that which was known and taken into account at the time the decision was made to hire at or promote to the Associate Professor rank.

Service. Active participation in and service to the College community, with evidence of contributions to its governance, chairing departments or programs, mentoring junior faculty, or engagement with a variety of on-campus programs, organizations, and activities. While primary emphasis is placed on contributions to the College community, consideration is also given to service to the wider professional community.

In addition to meeting the minimum requirements described above, a successful candidate will demonstrate a distinguished contribution in at least one of the three categories.

c. Procedures for Promotion Consideration

Procedures for promotion consideration from Assistant to Associate Professor are identical to those listed under "Procedures for Tenure Consideration" (see handbook I.B.6.f). Procedures for promotion consideration from Associate to Full Professor are listed here.

- i. The department chair or the Dean of the Faculty identifies potential candidates for promotion to full professor by the second Monday in September.
- ii. Potential candidates for promotion to full professor should meet with the department chair and with the Dean by early October of the academic year in which the review would take place to discuss the promotion process and their readiness for a review.
- iii. A candidate for promotion to full professor is responsible for the following:
 1. In order for the Dean of the Faculty to solicit letters from external reviewers, candidates for promotion must provide the Dean of the Faculty a list of 10-12 potential external reviewers who are able to evaluate the candidate's research record. Candidates should discuss the composition of the list with the Dean early in the fall. To allow external reviewers to fully examine the candidate's record, the candidate must also provide the Dean with an updated vita and evidence of scholarly output or creative works since receiving tenure (e.g., copies of published papers, book manuscripts, recorded performances, copies of reviews, representations of creative works). The list of potential reviewers, curriculum vitae, and evidence of scholarly output should all be provided to the Dean of the Faculty by the first Monday of November. To facilitate the Dean's solicitation of external reviewers and to assist those reviewers in their evaluations, candidates should include a brief paragraph summarizing the scope of their submitted scholarly work.
 2. The candidate invites the department chairperson and all tenured members of the department to visit his or her classes.
 3. By the last Monday in January, the candidate provides the Dean of the Faculty with a personal statement outlining his or her achievements since the tenure appointment with regard to the performance criteria for promotion to full professor. The personal statement should be appropriately concise, but the candidate is welcome to elaborate specific details to whatever length may seem necessary. The candidate also must provide a draft of the personal statement to the department chairperson and to all tenured members of the department in time for them to provide a letter on the candidate's behalf by the last Monday in January.
 4. In addition to the above materials, the candidate is welcome, but not required, to provide the Dean of the Faculty with other materials to support specific claims made in the personal statement. Examples include, but are not limited to, copies of syllabi and exams, grant applications, a statement of teaching philosophy, and letters from students, alumni, and colleagues. Letters written by others on the candidate's behalf should be sent directly to the Dean of the Faculty. It is the candidate's responsibility to convey the deadline of the last Monday in January to letter writers. The candidate is encouraged to discuss choice of additional materials with the Dean of the Faculty.
- iv. The department chairperson is responsible for the following:
 1. The department chairperson confirms with the Dean of the Faculty candidates for promotion to full professor.
 2. After considering the candidate's personal statement but no later than the last Monday in January, the department chairperson provides the Dean of the Faculty with a written statement on the candidate's behalf. The chairperson's written

statement must address the performance criteria and be based in part on classroom visits arranged in advance with the candidate.

v. The Dean of the Faculty is responsible for the following:

1. Using the list of potential outside reviewers furnished by the candidate, the Dean of the Faculty solicits several external letters (usually at least four) to be received by the Dean's office by the last Monday of January.

2. The Dean of the Faculty, in consultation with the candidate, generates a summary sheet of the following items (counted from the time of the tenure appointment):

- Courses taught by the candidate, including enrollments and GPA.
- Independent studies and senior theses supervised.
- College committee assignments.
- Number of advisees.
- Any special projects or other relevant information not included on the vita.

The summary sheet is furnished to the candidate and the subcommittee by the last Monday of January.

3. In November, the Dean of the Faculty solicits written opinions employing the performance criteria from all tenured colleagues in the department and/or interdisciplinary programs in which the candidate has worked. These letters are to include a considered evaluation of the candidate's teaching based in part on classroom visits arranged in advance with the faculty member and are due to the Dean's office by the last Monday of January.

4. In November, the Dean of the Faculty solicits written reports from those faculty members who chaired college committees at the time the candidate served on the committee. Letters by college committee chairs are due to the Dean's office by the last Monday of January.

5. In November, the Dean of the Faculty solicits written opinions about the candidate's teaching effectiveness from each member of the relevant departmental or interdisciplinary Student Academic Advisory Committee. Letters by the Student Academic Advisory Committee are due to the Dean's office by the last Monday of January.

6. The Dean of the Faculty makes the candidate's student evaluations available to the Promotion and Tenure Subcommittee.

vi. Candidates should be notified of the President's acceptance or rejection of the subcommittee's recommendation by no later than April 1, unless extenuating circumstances make that impossible. The President then makes a recommendation to the Board of Trustees for a final decision.

vii. Candidates not promoted will be invited to meet with the Dean of the Faculty to discuss the reasons why the subcommittee did not recommend promotion, so that they know in what areas to work in order to enhance their future candidacy. The candidate may request a letter detailing the reasons promotion was not recommended.

viii. For a person being reconsidered for promotion in a subsequent year, some of the material need only be updated in accordance with stipulations by the candidate, the department chairperson, or the subcommittee.

The Promotion and Tenure Subcommittee may ask the Dean of the Faculty, the department chairperson, outside evaluators (regarding the quality of the candidate's scholarship), or the candidate for additional material it deems necessary, as long as it informs the candidate of the nature of the request. The candidate may also submit additional material without request at any

point before final deliberations have begun. A record shall be made of all data considered by the subcommittee, and all materials shall be kept for at least two years.

Promotion becomes effective at the beginning of the academic year following that in which the candidate was promoted by the Board of Trustees.

Summary of Key Procedural Dates for Promotion to Full Professor

The following list of key dates is offered as a reference guide and does not replace or supersede the preceding formal guidelines.

Action	Timing
Department chair or the DoF recommend potential candidates for promotion to full professor	Second Monday of September
Candidate meets with the DoF	Early October
Candidate submits to DoF a CV, list of potential external reviewers, a brief summary of scholarship, and scholarship materials	First Monday of November
Candidate invites chair and tenured department members to visit his/her classes	Fall semester
DoF solicits external reviewers	Early November
DoF solicits letters from tenured colleagues, SAAC representatives and committee chairs	Early November
The candidate submits all remaining materials (e.g., a personal statement); letters due from tenured colleagues, SAAC representatives and committee chairs; external evaluations due	Last Monday of January
President notifies the candidate of his/her acceptance or rejection of PTS's recommendation	April 1

8. SENIOR LECTURER

The Senior Lecturer title is an honorific designation that recognizes non tenure-track faculty members who have provided distinguished service at the College over a continuous period of at least eight years. Faculty members to be considered for such recognition are recommended to the Dean of the Faculty by their department chairperson. The title of Senior Lecturer does not designate a tenure-track position and the holder is not eligible for consideration for tenure.

9. Voluntary Relinquishment of Tenure and Employment

(Approved by the Board of Trustees, October 26, 2018.)

I. PURPOSE

The purpose of the Voluntary Relinquishment of Tenure and Employment Program (“Program”) is to provide a substantial benefit for eligible tenured faculty members who decide voluntarily to relinquish tenure and leave Lake Forest College (the “College”). Such a policy provides flexibility for both the individual and the College.

II. TENURED FACULTY RETIREMENT INCENTIVE PLAN

The College offers two options for the Voluntary Relinquishment of Tenure and Employment Program: (1) Full Retirement between ages 60 and 70; and (2) Phased Retirement between ages 62 and 67. After the change of status from regular tenured faculty to retiree under either option, a participant in the Program may not return to full-time teaching at the College. A faculty member relinquishes tenure irrevocably upon entering Full Retirement or upon completing Phased Retirement. Compensation for any teaching after a retiree completed Full Retirement or Phased Retirement will be at an adjunct rate.

A. ELIGIBILITY AND APPROVAL

In order to be eligible and receive benefits provided under this Program, faculty members shall meet the following criteria:

1. Immediately prior to participation in the Program, the faculty member must be employed as a tenured faculty member.
2. The faculty member must have at least 12 years of full-time service as a faculty member (non-tenured service also counts towards this requirement) at the College.
3. The Retirement Election Date, whether for full or phased retirement, is defined as May 31 of the faculty member's last year of full time teaching employment.
4. The faculty member must reach the required eligibility age on or before the Retirement Election Date.
5. If applying for Full Retirement or Phased Retirement, the faculty member's application must be received in the Dean of Faculty's Office by January 15th of the academic year preceding the Retirement Election Date (i.e., 7.5 months prior to the start of the academic year in which relinquishment commences).
6. If applying for Phased Retirement, the application must include a proposal for phased retirement over one, two, or three years (see Section III below). The faculty member's application must be accompanied by the faculty member's department chair's submission of a plan as to how the department will accommodate the faculty member's reduced teaching status.

The Dean of Faculty will review applications and make recommendations to the President. The election to voluntarily separate from service under either option becomes irrevocable after acceptance by the President. The President or the Board of Trustees may in their discretion limit the number of eligible faculty members who voluntarily separate from service under this Program or deny a prospective faculty member's application.

A faculty member whose application for Full Retirement is not approved by the President may decide to continue as a full-time faculty member, apply to participate in Phased Retirement for the following year, or reapply for Full Retirement the following year.

B. FULL RETIREMENT COMPENSATION AND BENEFITS

1. Compensation

Upon approval of their applications by the President, Full Retirement participants receive compensation according to the following schedule based on their age at the Retirement Election Date (Retirement Age): 100% of their most recent full-time faculty annual base salary if the Retirement Age is between the ages of 60 and 67; 80% of their most recent full-time faculty annual base salary if 68; 60% of their most recent full-time faculty annual base salary if 69; 40% of their most recent full-time faculty annual base salary if at age 70.

Payments will be made in monthly installments over a period of 12 months, 6 months, or in a lump sum at the faculty member's election and subject to the College's approval. The first monthly installment, or entire amount if the lump sum option is chosen, will be on September 1st of the academic year in which Full Retirement commences.

2. Health Benefits

A Full Retirement Program participant and spouse (including domestic partner) and or dependent children who were participants in the Lake Forest College Choice Plus Plan (the “Group Health Plan”) immediately prior to the Retirement Election Date may continue to be covered under the Group Health Plan until the participant attains age 65. The Group Health Plan is subject to change based on the terms of its respective governing documents. The cost of coverage for participants and spouses and dependents will be the same as that for full-time employees of the College and must be paid monthly by the retired faculty member. Group life insurance and long-term disability benefits are not available to Full Retirement participants. All other benefits funded by voluntary contributions, including dental and vision plans, will continue to be available until the age of 65.

Once a participant reaches the age of 65, the retiree can choose to enroll in a Medicare supplemental medical plan available in their state of residence. The College will create an account at the College to be used exclusively for the reimbursement of paid Medicare and Medicare supplemental medical plan premiums for the participant and his or her spouse until the retiree turns 70. The account will begin to be funded annually by the College beginning on September 1st following the later of the participant’s retirement date or their 65th birthday. The annual benefit amount provided by the College will be \$3,600. Prorated amounts will be calculated on a plan year basis. The account’s plan year will begin on September 1st and end on August 31st.

Coverage for dependents under the Group Health Plan will discontinue when the retiree reaches age 65. If a spouse was a participant in the Group Health Plan immediately prior to the Retirement Election Date and has not turned 65, the College will provide an additional benefit of \$5,500 annually to the retiree which can be used to reimburse the cost of purchased health insurance for the spouse. This benefit will be funded in the same manner as above and will end on a prorated basis when the spouse turns 65. At that point in time, the additional benefit will be \$3,600 annually under the same conditions as above. The amount for this benefit will be reviewed annually, and if necessary, adjusted to the annual cost of standard AARP Medicare plans. Unused funds carry over from plan year to plan year.

To be reimbursed from the account, participants must submit documentation to the College’s Human Resources Office that shows the amount paid for Medicare and Medicare supplemental medical plan premiums or any additional health insurance premiums during the plan year for the faculty and/or their spouse. The College will send the participant a check or a direct deposit for the amount claimed, or the amount remaining in the participant’s account, whichever is less. A claim may be filed each time an insurance premium is paid, or a participant may send in multiple claims at once.

All supplemental insurance benefits end for retiree and spouse once the retiree reaches age 70.

PLEASE NOTE: The College reserves the right to close any account that has not been used for two years.

If a faculty member chooses to retire at age 60 or 61, and wishes not to continue participation in the College’s Group Health Plan, the faculty member will receive a lump sum payment equivalent to twice the amount of the College’s share for employee-only coverage for that faculty member’s health coverage under the Group Health Plan during the final year of service. Once this election is made, the employee forfeits the ability to rejoin the Group Health Plan.

A participant or spouse is not eligible to continue coverage under the Group Health Plan if they are eligible for coverage under another group health plan or a state or federal government health care exchange program. The participant or spouse is required to notify Human Resources immediately if such coverage becomes available.

3. Other Benefits

A. Educational Benefit

In accordance with the Educational Benefit policy in place for faculty, the College will provide tuition benefits for participants. Any tuition benefits received by participants pursuant to this policy may be taxable in accordance with IRS guidelines. The College makes no representations or guarantees regarding the tax effect of tuition benefits received by participants pursuant to this policy. The educational benefit ends at the conclusion of the fiscal year in which the retiree turns 70.

B. 403(b) Retirement Plan Contributions

The College will cease employer contributions to the Lake Forest College Retirement Plan for Faculty and Staff (“403(b) Plan”) after the relinquishment of tenure marked by the Retirement Election Date. The final contribution will be processed on the first business day of August. The participant may be eligible to take a distribution from the 403(b) Plan upon his/her separation from service, subject to the terms of the 403(b) Plan, applicable law and investment vehicles. The cessation of contributions noted above applies to all voluntarily separating employees of the College who had participated in the 403(b) Plan, notwithstanding participation in this Program. Participants are encouraged to consult with TIAA, their financial planner, tax advisor, attorney and/or accountant before making a retirement decision.

III. PHASED RETIREMENT COMPENSATION AND BENEFITS

Full-time tenured faculty members between the ages of 62 and 67 with at least 12 years of service (as tenured or non-tenured faculty members) may elect to participate in the Phased Retirement Plan. The phased period during which a faculty member may participate in the Program will be for one, two, or three years, as determined by mutual agreement between the College, the faculty member, and the faculty member’s program chair.

Phased Retirement participants will maintain a teaching load of four classes in the first year of their phased period, three in the second year (if applicable), and two in the final year (if applicable). Participating faculty members are expected to continue to fulfill a reduced advising and committee load. Participants are ineligible to serve as department chair or on elected committees. No sabbaticals will be awarded during the phased period. Office, lab and research space may be assigned to Phased Retirement Participants if available.

1. Compensation

The reduced salary received during participation in the Phased Retirement Program is, in part, determined by the length of the phased transition. If one year of phased transition is selected, the percentage of salary received is higher than when extending phased transition beyond one year. The following table sets forth the compensation schedule for Phased Retirement participants:

Phased Transition Salary/Effort Options			
Length of Phased Transition	% of the Faculty Member’s Base Academic Year Salary in the fiscal year preceding the Retirement Election Date		
Years of Phased Transition	1st Year (Teaching 4 courses)	2nd Year (Teaching 3 courses)	3rd Year (Teaching 2 courses)
One-Year Option	80%	Fully Retired	Fully Retired
Two-Year Option	80%	60%	Fully Retired
Three-Year Option	80%	60%	40%

For each year that a faculty member participates in the Program, as set forth in the letter of agreement with respect to the faculty member’s duties, the faculty member will receive a reduced percentage of his or her salary based on the above table. Faculty members participating in the Program will be eligible for annual merit increases, which are calculated based on the base academic year salary of the year for which the faculty member is being evaluated.

2. Health Benefits

Faculty members participating in the Phased Retirement Program and their dependents are eligible for the College's Group Health Plan with the same benefits as full-time employees. The cost of coverage for participants will be revised based on their salary levels during each year of phased retirement, according to the published employee salary-based premiums which are adjusted annually. Other benefits funded by voluntary contributions, including dental and vision plans are available during the phased retirement period. At the conclusion of a faculty member's participation in the Program, the faculty member's eligibility for and/or participation in the College's Group Health Plan, dental, and vision plans will continue until the participant attains age of 65. Faculty members participating in the phased retirement who are teaching three or two courses are not eligible for the group life insurance and long-term disability salary continuation.

Once a participant reaches the age of 65, the retiree can choose to enroll in a Medicare supplemental medical plan and be eligible for the reimbursement account on exactly the same basis as participants of the Full Retirement Program, as explained in Section II B.2. above.

3. 403(b) Retirement Plan Contributions

Faculty on phased retirement at the half-time teaching load (three courses per academic year) or greater are eligible to receive employer retirement plan contributions under the College's 403(b) Plan, provided that those faculty members have not begun to receive their benefits under the 403(b) Plan. Faculty members on phased retirement who have begun drawing retirement income from the 403(b) Plan are not eligible to receive employer contributions to the 403(b) Plan from the College.

IV. EMERITUS STATUS

Upon retirement from the College, faculty members may be granted emeritus status as outlined in the Faculty Handbook.

V. RIGHT TO AMEND

The Voluntary Relinquishment of Tenure and Employment Program is subject to periodic review by the Board of Trustees and may be amended or revoked at the Board's discretion at any time, provided that revocation or amendment does not affect current participants.

Emeriti Status

(Amended January 27, 2014)

Upon retirement from Lake Forest College, faculty members with at least fifteen years of full-time service at the College will be granted emeritus status at the rank attained at the time of retirement. Exceptions to this policy may only be granted by the President. Emeriti faculty members will retain full faculty rights and privileges exclusive of tenure, salary, direct financial benefits, committee membership and the vote. It will be the obligation of the Dean of the Faculty to make appropriate arrangements for the emeritus faculty member's access to College facilities and events. Among these rights and privileges will be included the following: free use of the library and sports and recreation center facilities; a faculty mailbox and/or College e-mail account, if requested; attendance at College-sponsored academic, social and athletic events under conditions accorded all faculty; membership in College-associated organizations; attendance at faculty meetings; a listing in the staff directory; and participation in commencement ceremonies. Upon request, office space and/or laboratory facilities will be provided for use by emeriti faculty members holding tenured appointments at the time of their retirement, if or when space is available, as determined by the College on an annual basis.

C. RESIGNATION, TERMINATION, GRIEVANCE, SEXUAL MISCONDUCT

1. Resignation

(Policy passed by Board of Trustees, October 22, 1977, as part of revised policy on Tenure and Promotion)

Faculty members considering offers from other institutions are expected to abide by the standards recommended by the Association of American Colleges and the American Association of University Professors, printed in the March 1961 issue of *Liberal Education* and summarized as follows:

Negotiations for appointment of faculty members employed at other educational institutions should be begun and completed as early as possible in the academic year prior to employment. It is desirable that Lake Forest College faculty members approached with regard to another position inform the Dean of the Faculty when such negotiations are in progress. Faculty members accepting an appointment elsewhere should promptly notify the Dean and the President.

Resignations to accept other employment must be submitted no later than May 15, except in emergency or hardship cases for which the faculty member may ask the administration to waive this requirement. To make due consideration and timely notice possible, institutions are not to make appointing offers to continuing faculty after May 1.

Unless the College agrees, faculty members may not leave and should not be solicited by other institutions to leave their positions during an academic year for which they hold an appointment.

These provisions apply to all members of the faculty.

2. Termination

a. Termination of Employment of Non-Tenured Faculty

(Amended February 22, 1992)

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on two- or three-year appointments or on a continuing appointment prior to that resulting from a recommendation by the Third-Year Review Committee comes about when the Dean of the Faculty, in consultation with the chairperson and other tenured members of the department, deems that termination is dictated by the academic needs of the department or the College; or when the Dean, upon recommendation by the department chairperson, judges that the faculty member's performance has been less than adequate.

Termination resulting from a recommendation by the Third-Year Review Committee is based on grounds either that the needs of the department and/or College would best be served by such termination or that the faculty member has not met the performance criteria for continuation.

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on a continuing appointment after the Third-Year Review but prior to the year appropriate for tenure consideration can be based only on changing College needs which require reduction in faculty size or departmental allocations. Prior to deciding on such termination, the President is to consult with the faculty member's department chairperson and with the Faculty Personnel Policies Committee.

Faculty members who are considered for but denied tenure or who are not recommended for tenure consideration in their sixth year of countable service are given a terminal appointment for the following year. Such a terminal appointment will remain in effect even if the faculty member requests and is granted a leave or part-time status for part or all of that year.

In the case of full-time faculty members ineligible for tenure (e.g., administrators, librarians, physical educators, and teaching faculty with half-time or more administrative duties),

termination comes about after the President, in consultation with the Faculty Personnel Policies Committee, deems that termination is justified by a change in the needs of the College; or after the President, upon recommendation by the faculty member's supervisor, judges that the faculty member's performance has been inadequate.

In the case of part-time faculty, termination can occur before the end of the faculty member's appointment period, if the Dean of the Faculty, in consultation with the department chair and the chair of the Faculty Personnel Policies Committee, determines that the faculty member's performance has been markedly deficient. Before the decision to terminate has been reached, the Dean will meet with the faculty member.

Faculty members whose employment is terminated are entitled, if they make the request, to a letter from the President or Dean of the Faculty stating the reasons for such termination.

In all cases of terminations or dismissals for cause, procedures described in "Termination of Employment of Tenured Faculty" apply.

b. Notice of Termination for Non-Tenured Faculty

Faculty members who have been in the employ of the College for less than one year will be notified no later than March 1 of that academic year that they will not be reappointed for the following year.

Faculty members who have completed at least one year of service in the employ of the College will be notified no later than July 1, and preferably earlier, that they will not be reappointed after the end of the academic year following the notification.

These provisions do not apply to faculty members holding full-time administrative positions (deans, registrar, admission directors); their termination notices accord with guidelines stated in the *Administrative Personnel Handbook*.

c. Termination of Employment of Tenured Faculty

Termination of an appointment with continuous tenure, or of a continuing or terminal appointment prior to the end of the specified term, may be effected by the College only for adequate cause. Such terminations will be specified as either a termination for cause or a dismissal for cause.

i. Termination for Cause

Termination for cause can be made only on the basis of financial exigency, discontinuance of a program or department not mandated by financial exigency, or medical reasons.

For provisions and procedures governing termination for cause, the College will use as guidelines the 1976 Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, *AAUP Bulletin*, pp. 186-187, with the following provisos for implementation at Lake Forest College:

In the decision to discontinue formally a program or department of instruction, the Trustees will give major attention to educational considerations recommended by the Academic Resources and Review Committee and by the faculty as a whole.

The College Council is to be consulted in any decision by the Board of Trustees that a condition of financial exigency exists or is imminent. After consultation with the Academic Resources and Review Committee, the Promotion and Tenure Subcommittee, employing accepted standards of due process, should assume primary responsibility for recommending the status of individual faculty members.

ii. Dismissal for Cause

Dismissal for cause can be made only on the basis of professional incompetence or moral turpitude.

Dismissal for cause must be preceded by (1) discussions among the faculty member, the department chairperson, the Dean of the Faculty, and the President; (2) informal inquiry by an ad hoc committee appointed by the Faculty Personnel Policies Committee, which may determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the President; (3) a statement of charges, framed with reasonable particularity by the President or the President's delegate.

If a statement of charges is presented to the faculty member and the faculty member wishes to contest it, a formal hearing will be held. The hearing committee will consist of all members of the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee. In the case of a member of the PTS being considered for dismissal or other members deeming themselves disqualified for reasons of bias or interest, places on the hearing committee will be taken by former members of the PTS in order of the recency of their service.

Except when inconsistent with the provisions of this policy, provisions and procedures governing the hearing are those articulated under "Dismissal Procedures" in the Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, issue of the *AAUP Bulletin*, pp. 188-189. After the hearing, formal dismissal can be made only by the Board of Trustees, upon recommendation by the President.

d. Physical Education Faculty

(Approved by the Board of Trustees on April 8, 1972)

Lake Forest College is committed to a concern for all aspects of the lives of its students, their bodies as well as their minds and characters. Toward that end, the College maintains a program of physical education, designed to provide physical fitness and certain skills in sports. The College also sponsors a wide variety of intramural and intercollegiate activities, which are seen as opportunities for students in recreation and in learning. The College believes, in short, in amateur athletics for professional students.

The physical education staff is employed and retained with a view toward serving students in the ways suggested above. Members of the staff, though not eligible for tenure, since that is a practice designed to assure the academic freedom of the classroom teacher, may anticipate reappointment provided that program needs justify such appointment and as long as they continue to promote in a satisfactory manner those sports which the College sponsors, and continue to assist students to develop physical fitness and athletic skills. If there is dissatisfaction with their performance (e.g., ineffective coaching, lack of personal leadership, inadequate skill and/or effort), their services might be terminated. Due notice would be given in such an instance, following the procedure of I, C, 2, b. Members of the physical education staff would be subject to an annual review (a practice which is also followed with regard to faculty appointments and renewals).

3. Grievance

(Approved by Board of Trustees, September 29, 1984, amended by faculty vote December 3, 1997.)

a. Summary Conditions and Procedures

A faculty member who feels cause for grievance is expected to try to resolve the grievance by conferring with the person or persons against whom the faculty member has a complaint. If the matter cannot be thus resolved, the faculty member may petition the faculty Grievance

Committee (hereinafter GC) for a recommendation concerning the following matters:

- i. denial of tenure or promotion, termination of employment of non-tenured faculty, or termination of employment for cause (not dismissal for cause);
- ii. salary, assignment of teaching duties, assignment of space or other facilities, assignment of committee responsibilities, or similar results of administrative decisions;
- iii. alleged disability discrimination.

A faculty member who feels cause for grievance on the basis of a disability discrimination which denies the member participation in or benefits of a College program or activity, in accordance with Section 504 of the Rehabilitation Act of 1973, should first present the grievance in writing to the Assistant to the President. Failing resolution, the matter can then be referred by the petitioner to the GC.

b. Composition of the Grievance Committee

The GC, elected each year by the faculty, consists of three members and one alternate member. Eligible candidates must be tenured and may not be administrative officers, members of the Faculty Personnel Policies Committee, or faculty absent from the campus during part or all of the academic year because of leave status or academic responsibilities. The alternate serves in case a petitioner is a member of the same department as a regular GC member or in other cases of conflict of interest or practicality as determined by the GC.

Early in the academic year the Dean of the Faculty should send to the faculty a ballot listing eligible candidates. Each faculty member may vote for up to three candidates. Names of the six receiving the larger number of votes will appear on a second ballot, from which each voter may pick up to three names. Elected members of the GC are those personnel with the higher number of votes, the fourth highest serving as alternate.

c. Petitions

Petitions presented to the GC should set forth in detail the nature of the grievance and should state against whom the grievance is directed.

d. Grievance Committee Procedures

The GC normally functions without a chairperson, members mutually agreeing on administrative details. Decisions are made by majority vote, but minority views may be expressed in the final recommendation. In case of questions about procedure, the GC may consult the President, Dean of Faculty, or FPPC. In the process of reviewing the grievance, the GC may seek additional information from the petitioner and from other relevant sources.

The GC is responsible for making a judgment on the relative merit of a petition. If, after considering the relevant information provided by sources involved in the petition, merit is found lacking, the GC may deny the petition. The decision and supporting reasons are to be furnished in writing to the petitioner, who then has no recourse within the College.

It may also seek a settlement of the issue satisfactory to the parties. If the GC believes such a settlement is not possible or is not appropriate, and if it believes that there is merit in the petition, the following principles and procedures apply:

- i. In connection with grievances under a.i. above, the purview of the GC is restricted to procedural issues and therefore excludes consideration of substantive judgments of whether the petitioner merits tenure, promotion, or continued employment. In connection with grievances under a.ii. and a.iii. above, the GC is to weigh all relevant factors as presented by the petitioner and respondent(s) and otherwise discovered in its investigation. GC concerns should be guided by questions such as these: Was faculty

policy followed? Was the decision conscientiously arrived at? Was appropriate evidence bearing on the decision sought out and considered? Was there adequate deliberation over the import of the evidence in the light of relevant standards and/or other concerns? Were irrelevant or improper standards or concerns excluded from consideration?

- ii. A GC finding of some merit in the petition takes the form of a recommendation of reconsideration, sent to the appropriate person(s), with a copy to the petitioner. The person(s) against whom the petition is lodged is thereby required to make a formal reconsideration, giving serious attention to, but not being bound by, the case as presented by the GC, and responding in writing to the GC and to the petitioner.

4. Sexual Discrimination and Misconduct Policy

Enacted: August 28, 2015

Last Amended: July 24, 2018

I. STATEMENT AGAINST DISCRIMINATION ON THE BASIS OF SEX, SEXUAL ORIENTATION, GENDER, AND GENDER IDENTITY

Lake Forest College prohibits discrimination on the basis of sex, sexual orientation, gender, and/or gender identity in any College program or activity, consistent with Title IX of the Educational Amendments of 1972 and other applicable state and federal laws. Sexual misconduct, including sexual harassment, non-consensual sexual penetration and/or contact, sexual exploitation, and interpersonal violence, such as stalking, dating violence and/or domestic violence, are forms of sex discrimination that deny or limit a College community member's ability to participate in the College's programs or activities.

The College provides awareness and prevention education and training programs regarding sex, sexual orientation, gender, and gender identity-based discrimination, encourages the reporting of discriminatory behavior, provides timely services to those who have been affected by discrimination, and utilizes prompt and equitable methods of investigation and resolution to stop discrimination, remedy harm caused by discrimination, and prevent recurrence of discrimination. Violations of this policy may result in the imposition of sanctions up to and including termination or dismissal from the College.

The College's non-discrimination policy pertaining to all other protected classes is located at:

www.lakeforest.edu/about/working/non-discrimination-policy/.

II. SCOPE AND APPLICABILITY OF POLICY

This policy applies to all members of the College community, including students, faculty, staff, administrators, board members, contractors, vendors, and visitors, regardless of their sex, sexual orientation, gender, or gender identity. The policy applies to on-campus conduct and to off-campus conduct, including online or electronic conduct, when the off-campus conduct: (i) occurs during a College sponsored employment or education activity or program; or (ii) adversely impacts the education, employment, or health and/or safety of a member of the College community or creates a hostile environment on campus.

Students and employees are subject to local, state and federal laws while at the College, and violations of those laws may also constitute violations of this policy. In such instances, the College may proceed with investigations under this policy and its corresponding complaint resolution procedures independently of any criminal or civil proceedings involving the same conduct. The College may impose sanctions for violations of this policy even if criminal or civil proceedings regarding the same conduct are not yet resolved or are resolved in the accused's favor.

Where a student group or organization has engaged in behavior that violated this policy or created a hostile environment under this policy, the student group or organization is subject to discipline and sanctions.

The College may impose sanctions on students and employees for sexual discrimination or misconduct that takes place from the time an individual accepts enrollment as a student or employment until the student graduates or otherwise separates from the College and/or the employee ceases employment. In reports

involving respondents who are not affiliated with the College at the time of the complaint, the College will assess whether the respondent may pose a risk to the the safety or well-being of members of the College community and take measures it deems appropriate to mitigate this risk or as otherwise needed to achieve the goals of this policy. Further information about Title IX and sex discrimination in education is available from the Office of Civil Rights (U.S. Department of Education, Citigroup Center, 500 Madison St., Suite 1475, Chicago, IL 60661-4544, 312-730-1560, OCRChicago@ed.gov, ed.gov.ocr), or the College's Title IX Coordinator as set forth in Section IV below.

III. STATEMENT OF COMMITMENT TO TRANSGENDER INDIVIDUALS

When a student or employee notifies the College that the student or employee will assert a gender identity different from previous representations or records, the College will begin treating that individual consistent with the individual's newly asserted gender identity. To that end, the College will use pronouns and names as requested by the transgender individual in person and in student and employment records going forward. Requests to amend previously existing student or employment records will be handled pursuant to the Family Educational Rights and Privacy Act and/or other relevant law and consistent with record amendment requests made by all other students and employees. Moreover, transgender individuals will be permitted access to sex segregated facilities (such as bathrooms, residence halls and/or locker rooms) consistent with their gender identity. Transgender students may participate in the College's single sex NCAA athletics programs as set forth in the NCAA guidelines regarding the same. Transgender students may participate in the College's single sex non-NCAA athletics programs consistent with their gender identity.

IV. ROLE OF THE TITLE IX COORDINATOR

The College has a designated Title IX Coordinator trained in the College's policies and procedures, state and federal law, and other issues related to sexual discrimination and misconduct to manage the College's compliance with Title IX. Specifically, the Title IX Coordinator:

- Oversees the investigation and/or resolution of all complaints of misconduct under this policy;
- Advises complainants (individuals alleging misconduct), respondents (individuals accused of alleged misconduct), and/or third parties regarding support resources and options available through the College or off-campus, including options for resolving complaints of sexual discrimination and misconduct;
- Provides training and assistance to faculty, staff, and student employees regarding how to appropriately respond to a report of misconduct under this policy;
- Develops and updates College policies, procedures, websites, and resources addressing sexual discrimination and misconduct;
- Assesses campus climate, tracks and monitors sexual misconduct allegations, addresses any systemic issues, and reports findings to College officials and/or the campus community, where appropriate;
- Prepares required federal and state compliance reports;
- Oversees sexual misconduct education efforts for the campus community, including training in implementing this policy and the corresponding complaint resolution procedures.

The Title IX Coordinator can be reached as follows:

Joan Slavin
Title IX Coordinator
Rosemary House
Lake Forest College
555 N. Sheridan Rd.
Lake Forest, IL 60045
847-735-6009
slavin@lakeforest.edu

V. PROHIBITED CONDUCT

In determining whether alleged misconduct constitutes a violation of this policy, the College will consider the totality of the facts and circumstances of the incident, including the nature of the alleged misconduct and the

context in which it occurred. Any of the prohibited misconduct set forth in this policy can occur between strangers or acquaintances, individuals involved in intimate or sexual relationships, and individuals of any sex, gender, sexual orientation, and/or gender identity. In addition, some of the prohibited misconduct also violates the criminal laws of the State of Illinois. For more information regarding Illinois' criminal laws, please consult the College's annual security report available online at www.lakeforest.edu/about/ourcampus/safety/report.php or in print at the Department of Public Safety.

- A. Sex Discrimination.** Sex discrimination is adverse treatment of an individual based on sex or gender. Sex discrimination encompasses sexual misconduct, as defined below, but also includes other behavior that does not constitute sexual misconduct. Use of the terms "sex discrimination" and/or "gender discrimination" throughout this policy includes sexual orientation-based and gender identity-based discrimination as well as discrimination based on sex stereotyping.

Complaints of sex discrimination that are not based on sexual misconduct should be reported to the Title IX Coordinator and will be resolved through the appropriate College process as determined based on the specific facts of the complaint. Sex discrimination complaints that are not based on sexual misconduct (as defined below) will not be handled through the Sexual Misconduct Complaint Resolution Procedures.

- B. Sexual Misconduct.** The following offenses are considered sexual misconduct and are prohibited by the College. Attempts to commit prohibited conduct listed below, or assisting or encouraging any such conduct, are also considered violations of this policy. Complaints regarding the following will be handled pursuant to the College's Sexual Misconduct Complaint Resolution Procedures.

- 1. Sexual Harassment.** Sexual harassment is unwelcome conduct of a sexual nature, including unwelcome sexual advances, requests for sexual favors, and other verbal, non-verbal, graphic, or physical conduct of a sexual nature, without regard to whether the parties are of the same or different gender, when:

- Submission to such conduct is either explicitly or implicitly a term or condition of an individual's employment or status in a course, program, or College-sponsored activity, or is used as the basis for employment or educational decisions affecting that individual (also referred to as "*quid pro quo*" harassment); or
- Such conduct is sufficiently severe, pervasive, or persistent that it has the purpose or effect of unreasonably interfering with an individual's educational experience or working conditions (also referred to as "hostile environment" harassment).

Some examples of sexual harassment may include:

- Pressure for a dating, romantic, or intimate relationship, or for sexual activity
- Unwelcome touching, kissing, hugging, rubbing, or massaging
- Unnecessary references to parts of the body
- Sexual innuendos, jokes, humor, or gestures
- Displaying sexual graffiti, pictures, videos or posters
- Using sexually explicit profanity
- Asking about, or telling about, sexual fantasies, sexual preferences, or sexual activities
- Leering or staring at someone in a sexual way, such as staring at a person's breasts or groin
- Sending sexually explicit emails or text messages
- Commenting on a person's dress in a sexual manner
- Giving unwelcome personal gifts that suggest the desire for a romantic relationship
- Commenting on a person's body, gender, sexual relationships, or sexual activities
- Social media use that violates this policy

- Sexual violence (as defined below)

In considering whether conduct constitutes sexual harassment, the College will consider the totality of circumstances, including factors such as the actual impact the conduct has had on the victim's participation in the College's programs and activities, the nature and severity of the conduct at issue, the frequency and duration of the conduct, the relationship between the parties (including accounting for any power differential), the respective ages of the parties, the context in which the conduct occurred, and the number of persons affected. The College considers the totality of the circumstances from both the subjective viewpoint of the complainant and from the objective viewpoint of a reasonable person.

2. **Gender-Based Harassment.** Gender-based harassment includes acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender, sex, or sex-stereotyping, even if those acts do not involve conduct of a sexual nature. Use of the term "sexual harassment" throughout this policy includes gender-based harassment.
3. **Sexual Orientation-Based/Gender Identity-Based Harassment.** Sexual orientation or gender identity-based harassment includes verbal, non-verbal, and physical acts of aggression, intimidation, or hostility based on an individual's actual or perceived sexual orientation or gender identity. Use of the term "sexual harassment" throughout this policy includes sexual orientation-based and gender identity-based harassment/misconduct.
4. **Non-Consensual Sexual Penetration.** Non-consensual sexual penetration is any penetration of the sex organs, anus, or mouth of another person when consent is not present or coercion and/or force is used. This includes penetration or intrusion, however slight, by an object or any part of the body, specifically including cunnilingus, fellatio, vaginal intercourse, and anal intercourse.
5. **Non-Consensual Sexual Contact.** Non-consensual sexual contact is the intentional touching or fondling of a person's genitals, breasts, thighs, groin, or buttocks, or any other contact of a sexual nature (including by bodily fluids), when consent is not present or coercion and/or force is used. This includes contact done directly, through clothing, or with an object. It also includes causing or inducing a person to similarly touch, fondle, or contact oneself or someone else, when consent is not present or coercion and/or force is used.
6. **Incest.** Incest is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by the laws of the state in which the incident occurred.
7. **Statutory Rape.** Statutory rape is sexual intercourse with a person who is under the statutory age of consent under the laws of the state in which the incident occurred.
8. **Sexual Exploitation.** Sexual exploitation occurs when a person takes non-consensual or abusive sexual advantage of another individual(s) for personal benefit, or to benefit anyone other than the individual being exploited, and that behavior does not otherwise constitute one of the other sexual misconduct offenses in this policy. Examples of sexual exploitation include, but are not limited to:
 - Invasion of sexual privacy;
 - Prostituting another person or otherwise recruiting, providing, or obtaining another person for purpose of sexual exploitation;
 - Non-consensual photographing, video or audio-taping of sexual activity;
 - Distributing intimate or sexual information, images, or recordings about another person without that person's consent (applies even if the videos were obtained with consent);

- Observing or permitting others to observe sexual activity of another person without that person’s consent;
- Knowingly transmitting a sexually transmitted infection (STI) to another without disclosing STI status;
- Exposing one’s genitals in non-consensual circumstances and/or inducing another to expose their genitals; or
- Inducing incapacitation in another person with the intent to engage in sexual activity.

9. Dating Violence. Dating violence is violence or the threat of violence (including but not limited to sexual or physical abuse) by another person with whom the individual is or has been in a social relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on a consideration of the following factors: the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship.

10. Domestic Violence. Domestic violence is violence or the threat of violence (including but not limited to sexual or physical abuse) committed by a current or former spouse or domestic partner of the individual, by someone with whom the individual shares a child in common, or by someone who is cohabitating with or has cohabitated with the individual as a spouse or intimate partner.

11. Stalking. Stalking is a course of conduct directed at a specific person that would cause a reasonable person to fear for their safety (or the safety of a third person) or suffer substantial emotional distress. A “course of conduct” means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device or means, follows, monitors, observes, surveils, threatens, communicates to or about, a person or interferes with a person’s property. Examples of stalking behaviors that can contribute to a course of conduct include, but are 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
- Repeated electronic communications, including via social media (i.e., cyberstalking).

12. Additional Definitions

a. Consent. Lack of consent is a critical factor in determining whether sexual violence has occurred. Consent is informed, freely given, and mutually understood. Consent requires an affirmative act or statement by each participant. Consent is:

- Expressed through affirmative and voluntary words or actions that are mutually understandable to all parties involved;
- Freely given for a specific sexual act at a specific time; and
- Can be withdrawn at any time.

Consent cannot be:

- Coerced or compelled by duress, threat, or force, or fraudulently obtained through misrepresentation;
 - Given by someone who, for any reason, cannot understand the facts, nature, extent or implications of the sexual situation occurring, including, but not limited to, those who are under the legal age of consent (17 years in Illinois¹), asleep, unconscious, mentally or physically incapacitated through the effects of drugs or alcohol, or mentally impaired due to an intellectual or other disability;
 - Assumed based on silence, the absence of verbal or physical resistance, an individual's manner of dress, the existence of a prior or current relationship, consent to prior sexual activity, or consent to sexual activity with another individual; and/or
 - Given by a third party.
- b. **Coercion.** Coercion is to force a person to engage in sexual activity that they would not otherwise have engaged in by causing that person to fear significant harm to themselves or others. Means of coercion may include, but are not limited to, severe or persistent pressure, direct or implied threats of force or retribution, or emotional intimidation. A person's words or conduct are sufficient to constitute coercion if they wrongfully impair another individual's freedom of will and ability to choose whether or not to engage in sexual activity. Coercion is evaluated based on the intensity, frequency, and duration of the comments or actions.
- c. **Incapacitation.** Incapacitation means the physical, mental, or legal inability to make informed, rational judgments. An individual may be incapacitated due to alcohol or drug use, sleep, lack of consciousness, age under the legal age of consent, intellectual or other disability, or other factors that impair their ability to understand the who, what, why, when, where, or how about specific sexual activity. Where alcohol or other drugs are involved, one does not have to be intoxicated or drunk to be considered incapacitated. Rather, incapacitation is determined by how the alcohol or drugs consumed impact a person's decision-making capacity, awareness of consequences, and ability to make informed judgments. No single factor alone is determinative of incapacitation. Some common signs that someone is incapacitated may include:
- Slurred speech
 - Smell of alcohol on breath
 - Confusion
 - Shaky balance
 - Stumbling or falling down
 - Vomiting
 - Combativeness or emotional volatility
 - Outrageous or unusual behavior
 - Unconsciousness

When determining whether consent was present, the College will consider whether the respondent knew, or a sober, reasonable person in the position of the respondent, knew or should have known that the complainant was incapacitated. Because incapacitation may be difficult to discern (for example, an individual may experience a blackout state in which they appear to give consent, but do not have the ability to make an informed rational decision about sexual activity), individuals

1 Except in cases of child sexual abuse as defined by the Illinois Abused and Neglected Child Reporting Act, where the age of majority is 18. See Section X below.

are strongly encouraged to err on the side of caution; i.e., when in doubt, assume that another person is incapacitated and therefore unable to give consent. Being intoxicated or under the influence of drugs is never a defense to a complaint of sexual misconduct under this policy.

VI. ACADEMIC FREEDOM

Lake Forest College is committed to the principles of academic freedom. Rigorous discussion and debate are fundamental to the College's educational mission, and this policy is not intended to restrict teaching methods, course content, or the processes of intellectual inquiry and debate. The fact that speech or a particular expression is offensive is not, standing alone, a sufficient basis to establish a violation of this policy. To constitute a violation of this policy, speech or expression taking place in the teaching context must be severe or persistent, not germane to the subject matter, and must impair or impede the College's educational mission or be used to disguise, or as a vehicle for, prohibited misconduct.

VII. REPORTING OPTIONS AND AVAILABLE RESOURCES

There are various reporting options and resources available to the College community. The College encourages those who have experienced sexual discrimination or misconduct to talk to one or more of the below individuals or agencies.

- A. On-Campus Confidential Advisors.** Individuals wishing to obtain confidential assistance without making a report to the College may do so by speaking with one of the College's confidential advisors. Designated counselors employed by the Lake Forest College Health and Wellness Center are available to discuss incidents of misconduct in confidence, and generally only report to the College that an incident occurred without revealing any personally identifying information. Disclosures to confidential advisors *will not* trigger the College's investigation into an incident.

In addition to providing confidential counseling, confidential advisors also provide emergency and ongoing support to individuals who have experienced sexual misconduct, including:

- Providing information regarding the individual's reporting options and possible outcomes;
- Providing referrals to on-campus and community-based resources, such as sexual assault crisis centers, medical treatment facilities, counseling services, legal resources, medical forensic services, and mental health services;
- Providing information regarding orders of protection, no contact orders, or similar orders issued by the College or a criminal or civil court;
- Explaining the individual's right to have privileged, confidential communications with the confidential advisor;
- Assisting in contacting campus officials, community-based sexual assault crisis centers, and/or local law enforcement upon request; and/or
- Assisting with securing protective measures and accommodations upon request.

Confidential Advisor Contact Information:

Edward Neumann, PsyD
Assistant Director of Health and Wellness
Buchanan Hall, Room 007
847-735-5241
After hours number: 224-500-1128
neumann@lakeforest.edu

Kasey Schultz-Saindon
Assistant Director of Counseling Services
Buchanan Hall, Room 104
847-735-5241

After hours number 224-500-1128
schultzsaindon@lakeforest.edu

B. Off-Campus Confidential Resources. The following off-campus agencies also employ individuals available to discuss incidents of misconduct in confidence. Disclosures to these entities *will not* trigger the College's investigation into an incident. Please note that limitations of confidentiality may exist for individuals under the age of 18.

- **Employee EAP, United Healthcare:** 888-887-4114 (for employees only).
- **The Zacharias Sexual Abuse Center:** 4275 Old Grand Ave, Gurnee, IL 60031; 847-872-7799.
- **The Chicago Rape Crisis Hotline:** 888-293-2080.
- **National Sexual Assault Telephone Hotline:** 800-656-HOPE (4673).
- **State of Illinois Domestic Violence Hotline:** 877-863-6338.
- **Center on Halsted LGBTQ Violence Resource Line:** 773-871-CARE (2273).

C. Reporting Sexual Misconduct to the College. The College strongly encourages individuals, including third parties, to report incidents of sexual discrimination/misconduct to the Title IX Coordinator or other College employees. **With the exception of the confidential advisors listed above and other employees in the College's Health and Wellness Center, all other College employees, including student employees, who receive a report of sexual misconduct in the context of their employment are required to promptly report all the details of the incident (including the identities of both the complainant and alleged respondent) to the Title IX Coordinator.** There is no time limit for filing a report, however complainants are encouraged to report behavior as soon as possible to maximize the College's ability to respond promptly and effectively.

1. How to Make a Report. Sexual misconduct may be reported to:

- **The Title IX Coordinator,** Joan Slavin, slavin@lakeforest.edu, 847-735-6009
- **Public Safety:** 847-735-5555
- **The Office of Student Affairs:** 847-735-5200
- **The Director of Human Resources,** Agnes Stepek: stepek@lakeforest.edu, 847-735-5036

If you are in immediate danger, **call 911 for the Lake Forest Police Department.** The **non-emergency** number for the **Lake Forest Police Department is 847-234-2601.** The Lake Forest College Department of Public Safety can also connect you to the Lake Forest Police Department. See Section F below for more information on reporting to law enforcement.

Electronic Reports, including **anonymous reports,** may be submitted by completing the form found at www.lakeforest.edu/live/forms/147-report-sexual-misconduct.

Anonymous Telephone Reports may be made to the **Confidential and Independent Campus Conduct Hotline:** 866-943-5787. Anonymous reports made electronically, by phone or otherwise will be investigated to the extent possible based on the amount of information provided. The College's ability to take disciplinary action against an accused may be limited in the case of anonymous reports.

2. Privacy of Sexual Misconduct Reports. The privacy of all parties involved in reports of sexual misconduct will be respected to the extent permitted under relevant law. Information related to a report of sexual misconduct will be shared only with those College employees who need to know to assist in the investigation and/or resolution of the matter pursuant to the College's Sexual Misconduct Complaint Resolution Procedures. College employees who are involved in the review, investigation, or resolution of sexual misconduct complaints receive training regarding the safeguarding of private information.

3. Procedures for Resolution of Sexual Misconduct Complaints. The College responds to reports of sexual misconduct and investigates and resolves complaints of sexual misconduct in accordance with the procedures set forth in its Sexual Misconduct Complaint Resolution Procedures available at: <http://www.lakeforest.edu/sexualmisconduct/policy.php>. The Procedures provide for a formal resolution process and an informal resolution process. The formal resolution process includes an investigation and a determination of whether the preponderance of the evidence indicates that the respondent violated the Policy. For complaints where a policy violation is found, the College will impose disciplinary action. As an alternative to formal resolution, a complainant may seek informal resolution, which may include implementing protective measures and accommodations, educational programming, and/or direct intervention with the respondent, but does not result in findings or formal disciplinary measures. Please see the Procedures for details on the processes and available sanctions.

D. Information on Options for Complainants. Upon receiving a report of sexual misconduct, the College will provide the complainant with a concise written guide, also available on the website at: <http://www.lakeforest.edu/sexualmisconduct/>, with information about the complainant's available rights, options and resources, as well as a description of the College's sexual misconduct complaint resolution process.

E. Protective Measures and Accommodations. Members of the College community who report experiencing sexual misconduct may request that the College provide prompt, appropriate, and reasonably available measures to support and protect the them and prevent any further acts of misconduct, harassment, or retaliation. Protective measures may be available regardless of whether formal resolution is sought, may be provided on an interim basis pending resolution, and may also be available to respondents. Protective measures may include changes to academic, living, dining, transportation, and work arrangements, campus no-contact orders, and help enforcing court orders. More information is available in the Sexual Misconduct Complaint Resolution Procedures. Requests for protective measures may be made to the Title IX Coordinator.

F. Requests for Confidentiality or to Not Proceed With Formal Resolution. When individuals report sexual misconduct but do not consent to the disclosure of their names, and/or do not disclose information about the alleged perpetrators, the College's ability to respond to the complaints may be limited. In most cases, the College can honor an individual's request that a formal resolution process not be conducted. However, the College reserves the right to initiate an investigation despite a complainant's request for confidentiality or that no investigation be conducted in limited circumstances involving serious or repeated conduct or where the alleged perpetrator may pose a continuing threat to the College community. In weighing such requests, the College's Title IX Coordinator will consider whether the College possesses other means to obtain the relevant information, as well as whether: there have been other sexual misconduct complaints about the accused individual; the accused has threatened additional violence; the sexual misconduct was alleged to have been committed by multiple persons; a weapon was alleged to have been used; the alleged victim was a minor; and/or a possible pattern of perpetration (e.g. via use of drugs or alcohol) at a particular location or by a particular group. The presence of one or more of these factors may lead the College to pursue the formal resolution process set forth in the College's Sexual Misconduct Complaint Resolution Procedures in order to ensure a safe, non-discriminatory environment.

G. Reporting to Law Enforcement. The College encourages complainants to report to the police any allegation of sexual misconduct that could be a crime, and will assist individuals wishing to do so. A police report must be made before a criminal prosecution can be considered by the local State's Attorney's Office. The chances of successful prosecution are greater if the report to the police is timely.

If an incident occurred on campus, the Lake Forest Police Department has jurisdiction and can be contacted at:

Lake Forest Police Department
255 W. Deerpath Rd., Lake Forest, IL 60045
847-234-2601 (non-emergency)
911 (emergency)

For incidents in Chicago, contact:

Chicago Police Department
1718 South State Street, Chicago, IL 60616
312-745-4290 (non-emergency)
911 (emergency)

Complainants have the right to request that law enforcement implement emergency protective or restraining orders or to pursue such orders through the civil court process, and the College can assist complainants who wish to do so. Complainants who receive protective or restraining orders through a criminal or civil process should notify the Title IX Coordinator so that the College can manage compliance with the order on campus.

Whether or not criminal charges are filed, the College will investigate and resolve complaints of sexual misconduct under this policy where appropriate. Because the standards for finding a violation of criminal law are different from the standards for finding a violation of this policy, criminal investigations or reports are not determinative of whether sexual misconduct, for purposes of this policy, has occurred. In other words, conduct may constitute sexual misconduct under this policy even if law enforcement agencies lack sufficient evidence of a crime and therefore decline to investigate or prosecute.

The College's investigation of a complaint of sexual misconduct shall proceed simultaneously with any law enforcement investigation, except that the College may, in some circumstances, be required by law enforcement to defer the fact-finding portion of its investigation for a limited time while law enforcement gathers evidence. During this time period, the College will take any additional measures necessary to protect the complainant and the College community.

- H. Medical Assistance.** Whether or not an individual who has experienced sexual misconduct decides to report an incident to the College or law enforcement, the individual is encouraged to seek immediate medical attention from one of the resources listed below in order to treat physical injuries, test for and treat sexually transmitted infections and pregnancy, and access emergency contraception (if requested).

Under Illinois law, certain medical personnel are required to alert police when the individual requesting treatment appears to have sustained injury as a victim of a criminal offense, including sexual violence. However, the individual may choose whether to speak to the police and is not required to do so.

Local medical assistance can be obtained at:

- **Advocate Condell Medical Center Emergency Room**, 801 S. Milwaukee Ave., Libertyville, 847-990-5300 (Sexual Assault Nurse Examiners are available 24/7 to assist victims and collect physical evidence)
- **Highland Park Hospital Emergency Room**, 777 Park Avenue West, Highland Park, IL, 60035; 847-432-8000. (Sexual Assault Nurse Examiners are available to assist victims and collect physical evidence)
- **Lake Forest Hospital Emergency Room**, 660 N. Westmoreland Rd., Lake Forest, IL 60045; 847-535-6150
- **Lake Forest College Health Services, Buchanan Hall**, 847-735-5050 (students only)

- I. Evidence Preservation.** Even if an individual has not been physically hurt, a timely medical examination is recommended so that forensic evidence can be collected and preserved. An individual may choose to allow the collection of evidence by medical personnel even if they

choose not to make a report to the police. In order to best preserve forensic evidence, it is suggested that an individual who has been sexually assaulted and wishes to preserve evidence should, if possible, not shower, bathe, douche, smoke, brush teeth, use the bathroom, eat, drink, or change clothes or bedding before seeking medical attention, and that medical attention be sought as soon as possible. Unwashed clothes worn during the incident can be transported to the hospital or medical facility in a paper bag. If an individual suspects that they may have been drugged, they should inform the hospital or law enforcement as soon as possible so that they can attempt to collect evidence.

Under Illinois law, the cost of emergency medical or forensic examinations for sexual violence survivors not covered by private insurance or Illinois Public Aid will be covered by the Illinois Department of Healthcare and Family Services. The Title IX Coordinator can provide more information regarding the procedure for obtaining this financial assistance.

Individuals who have experienced sexual misconduct are also encouraged to preserve evidence by saving text messages, instant messages, social networking pages, or other communications and by keeping pictures, logs, or other copies of documents.

- J. Amnesty for Sexual Misconduct Complainants and Witnesses.** The College encourages the reporting of sexual misconduct and seeks to remove any barriers to an individual making a report. The College recognizes that a student who has been drinking or using drugs at the time of the incident may be hesitant to make a report because of the potential disciplinary consequences. Therefore, a student who reports sexual misconduct, either as a complainant or witness, will not be subject to disciplinary action by the College for their own personal consumption of alcohol or drugs at or near the time of the incident, provided that such consumption did not or does not place the health or safety of any other person at risk.
- K. False Reporting or Testimony.** Reports of sexual misconduct that are found to be intentionally false or made maliciously without regard for truth shall constitute a violation of this policy. This provision does not apply to reports made in good faith, even if the allegations in the report are not substantiated through an investigation. Likewise, a party or witness who intentionally provides false or misleading testimony may be subject to disciplinary action under this or other relevant College policy.

VIII. RETALIATION

Retaliation against individuals engaging in protected activity under this policy is prohibited. Retaliation is materially adverse action taken against an individual as a result of that individual's participation in a protected activity under this policy. Protected activity includes, but is not limited to, making a good-faith complaint of sexual discrimination or misconduct, cooperating in good faith in the investigation of a complaint of sexual discrimination or misconduct, and/or testifying as a witness to any report of sexual discrimination or misconduct. An action is generally deemed retaliatory if it would deter a reasonable person in the same circumstances from opposing practices prohibited by this policy or participating in the reporting, investigation or resolution processes under this policy.

Alleged retaliation should be reported promptly to the Title IX Coordinator, the Dean of Students, the Dean of Faculty, or the Director of Human Resources. Retaliation will result in investigation and discipline independent of any finding on the underlying allegations of sexual discrimination/misconduct.

IX. INSTITUTIONAL CRIME REPORTING

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (the "Clery Act") requires institutions of higher education to compile and publish statistics on certain criminal offenses including sexual assault, domestic and dating violence, and stalking that occur on or adjacent to school properties. The Clery Act requires that certain crimes reported to certain campus employees, called Campus Security Authorities, be included in those annual statistics. All crimes reported and documented under the Clery Act will be recorded in an anonymous manner.

The College will also issue timely warnings of Clery Act crimes occurring within relevant geography that represent a serious or continuing threat to the community. A complainant will not be identified in a timely warning. For more details about institutional crime reporting, including information about which employees are designated Campus Security Authorities required to report crimes under the Clery Act, please see the College's Annual Security and Fire Safety Report at <https://www.lakeforest.edu/about/ourcampus/safety/report.php>.

X. MANDATORY REPORTING OF CHILD ABUSE, CHILD SEXUAL ABUSE AND CHILD NEGLECT

All College employees² are mandated reporters under the *Illinois Abused and Neglected Children's Reporting Act*. Mandated reporters are required to immediately report to the Illinois Department of Children and Family Services (DCFS) suspected child abuse and/or neglect when they have "reasonable cause to believe" that a child known to them in their professional or official capacity may be an abused or neglected child. This is done by calling the DCFS Hotline at 1-800-252-2873 or 1-800-25ABUSE.

"Abused child" means a child (under 18 unless legally emancipated) whose parent or immediate family member, any person responsible for the child's welfare, any individual residing in the same home as the child, or a paramour of the child's parent:

- Inflicts, causes to be inflicted, or allows to be inflicted upon such child physical injury, by other than accidental means, which causes death, disfigurement, impairment of physical or emotional health or loss or impairment of any bodily function;
- Creates a substantial risk of physical injury to such child by other than accidental means which would be likely to cause death, disfigurement, impairment of physical or emotional health or loss or impairment of any bodily function;
- Commits or allows to be committed any sex offense, act of torture, excessive corporal punishment, female genital mutilation, involuntary servitude, involuntary sexual servitude, or trafficking in persons against such child; or
- Causes to be sold, transferred, distributed or given to such child under 18 years of age, a controlled substance, except for controlled substances that are prescribed and dispensed to such child in a manner that substantially complies with the prescription.

There is *no* option for confidentiality in the case of suspected child abuse, child sexual abuse and/or child neglect. In other words, all mandated reporters with reasonable cause to believe that a child known to them in their professional capacities may be abused, sexually abused or neglected are required to contact DCFS. Mandated reporters must also promptly notify the Title IX Coordinator that a DCFS report has been made.

XI. EDUCATIONAL PROGRAMMING AND TRAINING

The College provides educational programming and training regarding sexual misconduct, including:

- A. Training for Officials Responsible for Investigation or Adjudication of Sexual Misconduct.** The College provides officials responsible for the investigation or adjudication of misconduct with annual training on issues related to sexual misconduct, including: federal and state laws regarding sexual misconduct; College policy; how to conduct the College's Sexual Misconduct Complaint Resolution Process in a fair and equitable manner that protects the rights of all parties; the role of the College, medical providers, law enforcement and community agencies in creating a coordinated response to a reported incidence of sexual misconduct; consent and the role of drug and alcohol use can have on the ability to consent; and cultural sensitivity and trauma-informed response skills.
- B. Primary Prevention and Awareness Programs.** The College provides annual primary prevention and awareness programs for all students and training programs for all employees that include information on the definitions of sexual misconduct offenses, College policy, consent, bystander

² College volunteers having regular contact with minors are also Mandated Reporters.

intervention, warning signs of abusive behavior, risk reduction, on-campus and off campus-confidential and other resources, procedures and options for reporting sexual misconduct, the College sexual misconduct complaint resolution process, available sanctions and protective measures, and confidentiality. For a list of programs held in the prior calendar year, please see the College's Annual Security and Fire Safety Report or the Illinois Preventing Sexual Violence in Higher Education Act Compliance Report located on the College's website.

- C. Ongoing Prevention and Awareness Campaigns.** The College also provides ongoing prevention and awareness campaigns for students and employees that provide additional information regarding the subjects covered in the primary prevention and awareness programs. For a list of programs held in the prior calendar year, please see the College's Annual Security and Fire Safety Report or the College's report under the *Illinois Preventing Sexual Violence in Higher Education Act* located on the College's website.

XII. ANNUAL REPORT

The College prepares an annual report on the previous calendar year's sexual violence complaints, responsive actions, and prevention education in accordance with the *Illinois Preventing Sexual Violence in Higher Education Act*. The report does not mention the name of any individuals or identify details of any complaint. The report is posted on the College's website at www.lakeforest.edu/sexualmisconduct/learn/reports.php. The Title IX Coordinator may create additional periodic reports for submission to the College President, who shall publicize them to the College community as appropriate.

XIII. POLICY APPROVAL AND POSTING

This policy is approved by the President of the College and reviewed regularly for compliance with federal, state and local laws and best practices. It, along with its related materials, is available on the College's website at: www.lakeforest.edu/sexualmisconduct.

5. SEXUAL MISCONDUCT COMPLAINT RESOLUTION PROCEDURES

Enacted: August 28, 2015

Amended: June 21, 2016

The College provides a prompt and impartial resolution to allegations of sexual misconduct independent from law enforcement and court proceedings. The Title IX Coordinator will review all reports of alleged sexual misconduct received by the College and work with the necessary individuals to determine an appropriate resolution. Options include:

- Resolution of the allegations through an informal resolution process;
 - Investigation and resolution of the allegations through the College's formal resolution and appeals process;
- or
- Referral to the appropriate campus office for resolution or closure with no further action when it is determined that the allegations, even if true, do not constitute sexual misconduct under the College's Sexual Discrimination and Misconduct Policy.

Each option is explained in detail herein:

- 1. Resolution Time Frame.** The College aims to resolve all sexual misconduct reports and appeals (where applicable), within sixty (60) calendar days. This time period can be extended as necessary for good cause by the Title IX Coordinator, a sanctioning official, and/or the Chair of the Sexual Misconduct Appellate Board with notice to the parties of the extension and an explanation of the reason for the extension. The Title IX Coordinator will regularly notify the parties of the status of the proceedings throughout their duration.
- 2. Relevant Definitions.** For purposes of these complaint resolution procedures, a Complainant is the party alleging sexual misconduct or to whom sexual misconduct was directed. The Respondent is the

party accused of sexual misconduct. An individual who reports sexual misconduct occurring between individuals other than him/herself is referred to as a third party reporter or witness.

- 3. Title IX Initial Review and Assessment.** Upon receipt of a report of sexual misconduct, the Title IX Coordinator will assess the nature of the allegations, the safety of the involved individuals and the College community, the Complainant's expressed preference for resolution and/or request for confidentiality and the necessity for any interim measures to maintain the safety of the Complainant or the College community. If, during this assessment, it is determined that the alleged conduct, even if true, does not constitute sexual misconduct under the College's Sexual Discrimination and Misconduct Policy, the matter may be referred to the appropriate campus office for resolution or closed with no further action taken.

Where there is reasonable cause to believe sexual misconduct may have occurred, the College will proceed in consultation with the Complainant, as set forth below. In such cases, the Title IX Coordinator will provide the Complainant and the Respondent with a written statement of their rights and options under the College's Sexual Discrimination and Misconduct Policy and these complaint resolution procedures.

- 4. Interim Measures.** Where there is reasonable cause to believe sexual misconduct may have occurred, the Title IX Coordinator or designee will provide prompt, appropriate and reasonable available interim measures to support and protect the parties and prevent any further acts of misconduct, harassment or retaliation prior to the final resolution of the allegations. Interim measures may be imposed regardless of whether formal resolution is sought by the Complainant.

Interim measures may include, but are not limited to:

- Referral to counseling and health services;
- Referral to the Employee Assistance Program (employees only);
- Alteration of Respondent's (and/or Complainant's, if the Complainant desires) housing (students only);
- Modification of work arrangements and/or scheduling;
- Dining accommodations;
- Campus escorts and/or changes to campus transportation arrangements;
- "No Contact Orders" between the parties;
- Academic programming or scheduling adjustments; and/or
- Assistance in obtaining and/or enforcing a court-issued Stalking No Contact or other Restraining Orders.

In cases where the alleged Respondent is a student or student organization and considered a threat to persons or property, the Dean of Students may impose interim measures such as suspension and/or loss/cancellation of other privileges prior to or during the resolution of sexual misconduct allegations. In cases where the alleged Respondent is an employee and considered a threat to persons or property, the Director of Human Resources and/or the Dean of the Faculty may impose interim measures such as suspension (with or without pay) during the resolution of sexual misconduct allegations. Interim measures will be kept confidential to the extent that maintaining such confidentiality will not impair the ability of the College to provide the interim measures.

The College will provide written and verbal notification to Complainants and Respondents about existing counseling, health, mental health, victim advocacy, confidential advisors, legal assistance, visa and immigration assistance, student financial aid, and other relevant College and community resources.

Violation(s) of a directive and/or protective action issued as an interim measure may result in disciplinary action separate from any sanctions issued for a determination of sexual misconduct.

- 5. Party Support Persons.** The Complainant and Respondent are both entitled to bring a support person of their choice, at their expense, to any meeting or interview in connection with the resolution of a report of sexual misconduct. The support person may be a friend, professor, mentor, family

member, attorney, or any other person a party chooses, except that an individual who will be serving as a witness in the matter may not serve as support person in the same matter without express prior permission from the Title IX Coordinator.

The College cannot guarantee the equality of support person representation. This means that if one party selects an attorney as a support person, but the other party does not, or cannot afford an attorney, the College is not obligated to provide one. However, the role of the support person is for emotional support only and therefore, non-participatory. In other words, a support person may not speak for or draft any statements on a party's behalf. A support person who disrupts or otherwise fails to observe these limits will be asked to leave the meeting/interview, and the meeting/interview may continue without the support person present. Subsequently, the Title IX Coordinator will determine whether the support person may be reinstated or replaced.

Both parties will be provided with timely written notification of meetings/interviews at which they may/must be present. Therefore, the College reserves the right to proceed with a pre-arranged meeting or interview regardless of a support person's availability. Support persons are expected to maintain the privacy of any records shared during the sexual misconduct complaint resolution process. Such records may not be shared with third parties, disclosed publicly, or used for purposes not explicitly authorized by the College. The College may seek to restrict the role of any support person who fails to abide by these privacy expectations.

6. Informal Resolution. Where appropriate, the College will work to informally resolve sexual misconduct allegations by taking immediate and corrective action to stop the misconduct, address its effects, and prevent recurrence without a formal investigation and determination of a College policy violation. Informal resolution may include the range of interim measures in Section 4 above, as well as targeted and/or broad-based training and educational programming for relevant individuals and groups and/or any other remedy that will achieve the goals of the College's Sexual Discrimination and Misconduct Policy. In some circumstances, mediation or joint conflict resolution may be appropriate; however, mediation or face to face meetings will never be used to resolve allegations of non-consensual intercourse or contact or other sexual violence. Participation in informal resolution is voluntary and either party can request to end informal resolution and initiate the formal resolution process at any time.

7. Formal Resolution.

a. Investigation. When a report of sexual misconduct cannot be informally resolved, a formal resolution will be initiated. Formal resolution includes a prompt, thorough and impartial investigation into the allegations of sexual misconduct.

Investigations will be conducted by the Title IX Coordinator or another internal or external investigator appointed by the Title IX Coordinator. All investigators will receive 8-10 hours of annual training regarding the investigation of, and other issues relevant to, non-consensual sexual intercourse and contact, sexual exploitation, domestic and dating violence and, stalking, including how to conduct an investigation that protects the safety of the parties and promotes institutional accountability.

Investigations may include one or more interviews with the Complainant, Respondent and any other identified witnesses. Interviews may take place in person, by phone or through electronic means. Investigations may also include the gathering and analysis of physical, documentary and/or other relevant evidence. Additionally, Complainants and Respondents may provide written statements, identify and/or present statements from fact witnesses or submit any other evidence that the investigator deems relevant. Complainants and Respondents may have their support persons present with them during interviews and meetings conducted during the investigation. Timely notice will be provided to Complainants and Respondents of all interviews/meetings at which they may/must be present, and both parties will be provided with timely and equal access to information. Investigations typically take between 20 and 35 calendar days.

At any point during the investigation, if, it is determined there is no reasonable cause to believe that sexual misconduct occurred, the Title IX Coordinator may terminate the investigation and refer the matter to appropriate campus office for resolution or close the matter with no further action.

- b. **Prior Sexual History.** In general, a Complainant's prior sexual history is not relevant and will not be admitted as evidence during an investigation. However, where there is a current or ongoing relationship between the Complainant and the Respondent, and the Respondent alleges that consent was given, the prior sexual history between the parties may be relevant to assess the manner and nature of communications between the parties. The mere fact of a current or previous dating or sexual relationship, by itself, is insufficient to constitute consent. Any prior sexual history of the Complainant with other individuals is typically not relevant and will not be permitted except under very limited exceptions. The investigator may consider prior or subsequent allegations of, or findings of responsibility for, similar conduct by the Respondent to the extent such information is relevant.
- c. **Investigative Report.** After the investigation has been completed, the investigator will prepare a report containing: summaries of interviews with the Complainant, Respondent and third-party witnesses; a description and analysis of other relevant information collected, such as written statements, photographs, physical evidence, electronic records and/or forensic evidence and the supporting documentation, where appropriate; a statement of the investigator's material findings of fact; a determination as to whether or not there is sufficient information to establish, by preponderance of the evidence, that a violation of the College's Sexual Discrimination and Misconduct Policy occurred and the rationale for such determination; and any other relevant information concerning the investigation and/or these procedures.

Before the report is finalized and a determination has been made, the investigator will forward to each party a summary of the party's own interview for review. The parties may submit any additional comments, evidence or suggested factual corrections to the investigator within three (3) calendar days of the date on which they were provided with their interview summaries. Upon receipt of any additional information from the parties, or after the three (3) calendar day period has lapsed without comment, the investigator will incorporate any additional information and make a determination as to whether there is sufficient information to establish, by a preponderance of the evidence, that a violation of the College's Sexual Discrimination and Misconduct Policy occurred. The investigator will issue the final report to the Complainant and Respondent simultaneously upon its completion¹. If a finding of policy violation is made, the report will also be forwarded to the designated sanctioning official, as set forth in subsection 8 below, for issuance of sanctions.

- d. **Standard of Proof.** The investigator will determine whether or not there is sufficient information to establish, by a preponderance of the evidence, a violation of the College's Sexual Discrimination and Misconduct Policy. A preponderance of the evidence means whether the information provided during the investigation supports a determination that it is "more likely than not" that a violation of the College's Sexual Misconduct and Discrimination Policy occurred.

8. **Sanctions and Remedies.** If the investigator finds, based on a preponderance of the evidence, that the Respondent violated the College's Sexual Discrimination and Misconduct Policy, the final report will be forwarded to the appropriate sanctioning official for a determination of sanctions.

- When the Respondent is a student, the Dean of Students serves as the sanctioning official.
- When the Respondent is a faculty member, the Dean of the Faculty serves as the sanctioning official.
- When the Respondent is a staff member, the Director of Human Resources serves as the sanctioning official.

¹ In cases where a Complainant is a non-student or non-employee, a letter of findings, determination and rationale for the determination will be provided to the non-student or non-employee party in lieu of the entire report.

Each sanctioning official will receive 8-10 hours of annual training regarding issues related to sexual misconduct, as well as sanctioning guidelines consistent with relevant federal and state law and regulations.

Disciplinary sanctions for violation of the College's Sexual Discrimination and Misconduct Policy include:

- Verbal or written warning;
- Mandatory educational programming;
- Community service;
- Probation;
- Removal from housing or other campus programs/activities/leadership positions;
- Restrictions regarding entering certain buildings or areas of campus;
- Performance improvement/management process (employees only);
- Suspension from school or employment (with or without pay, in the case of employees);
- Termination of contract with the College; and/or
- Dismissal or other separation from the College.

Additional corrective action may also be taken, including those remedies set forth in the interim measures section (Section 4 above) and any other appropriate broad-based remedial action.

Not all acts of sexual misconduct are equally serious offenses. Therefore, the designated sanctioning official may impose whatever sanction(s) from the above list the sanctioning official believes is (are) fair and proportionate to the finding of violation. The sanctioning official may consider the Respondent's record of past violations of the College's Sexual Discrimination and Misconduct Policy, as well as the nature and severity of such past violation(s). The sanctioning official will also determine whether the sanction will be implemented immediately or will be stayed if a party appeals the determination.

Within five (5) days after receiving the investigator's report, the sanctioning official will notify both parties simultaneously, in writing, of the sanctions issued, the date the sanctions will be implemented and relevant information regarding the appeals process. The sanctioning official will also provide a copy of this written notice to the Title IX Coordinator. The time periods referenced in this section can be extended as necessary for good cause by the sanctioning official with notice to the parties of the extension and an explanation of the reason for the extension.

9. Student-Respondent Withdrawal While Charges Are Pending. Student-Respondents with pending sexual misconduct matters may not withdraw from the College. Should a student-Respondent decide to leave and not participate in the investigation and other portions of the procedures set forth herein, the process will nonetheless proceed in the student-Respondent's absence to a reasonable resolution. The student-Respondent will not be permitted to return to the College until any sanctions issued have been satisfied. Consistent with Section 13 below, sanctions of suspension or separation from the College will be permanently recorded on a student's transcript.

10. Student-Respondent Failure to Complete Sanctions. Student-Respondents who fail to complete issued sanctions may be placed on academic hold and prohibited from registering for classes, acquiring transcripts, and accessing student accounts and/or grade reviews.

11. Appeals. Either party may appeal the investigator's determination and/or any sanction issued by submitting a written request for appeal, with supporting documentation, to the Chair of the Sexual Misconduct Appellate Board, within five (5) calendar days of the date of receipt of the investigator's final report or the written notice of sanctions, whichever is later.

a. **Grounds for Appeal.** Appeals will only be considered on the following three grounds:

- The existence of procedural error(s) significant enough to alter the outcome;

- Existence of new and significant evidence which was not reasonably available at the time of the initial investigation and would likely alter the outcome; and/or
- The sanctions imposed are substantially disproportionate to the violation.

Mere disagreement with the decision is not grounds for appeal.

- b. **Appointment of Appellate Panel.** Within three (3) calendar days of receiving a request for appeal, the Chair of the Sexual Misconduct Appellate Board will appoint three (3) members of the Sexual Misconduct Appellate Board to sit as an appellate panel to decide the appeal based on majority rule. The Sexual Misconduct Appellate Board is a standing committee of eight (8) voting members, and a non-voting Sexual Misconduct Appellate Board Chair, drawn from the College’s faculty and/or full-time staff members. The College President appoints members of the Sexual Misconduct Appellate Board for three-year terms, which can be renewed. Both parties will be notified simultaneously in writing of the three (3) individuals appointed to their appellate panel.
- c. **Notice to Non-Appealing Party and Other Relevant Officials.** Upon receipt of an appeal, the Chair of the Sexual Misconduct Appeals Board will forward the appeal and its supporting documentation to the non-appealing party. Additionally, the Chair will forward a copy of the appeal and supporting documentation to the Title IX Coordinator and sanctioning official (where applicable).
- d. **Non-Appealing Party Response.** The non-appealing party may submit a written response and supporting documentation to the Chair of the Sexual Misconduct Appellate Board within five (5) calendar days from the date of the party’s receipt of the appeal. In cases where the appeal is based upon procedural error or the existence of additional evidence not available at the time of the investigation, the Title IX Coordinator may submit to the appellate panel any relevant clarifying information within the same timeline. In cases where the appeal is based upon disproportionality of the sanctions, the sanctioning official may submit to the appellate panel any clarifying information within the same timeline. Upon receipt (or expiration of the five days), the Chair will forward the appeal and responsive and/or clarifying documentation, the investigator’s report, and the written sanction notice (if applicable) to the appointed appellate panel for review.
- e. **Burden of Proof.** In any request for an appeal, the burden to demonstrate procedural error, new evidence or disproportionate sanctions lies with the party requesting the appeal.
- f. **Appellate Panel Options.** After considering all the relevant documentation, the appellate panel may:
 - Deny the appeal because the reason for appeal does not fall within the stated ground for appeal, i.e., procedural error, new evidence or disproportionate sanctions;
 - Uphold the original finding and/or sanction;
 - Remand the case to the original investigator for consideration of new evidence and issuance of a new determination;
 - Appoint a new investigator to conduct a new or additional investigation where significant procedural error occurred during the course of the original investigation; or
 - Refer the case back to the sanctioning official for reconsideration of the sanction (with or without recommendations).
- g. **Timeline for Appellate Determination.** The appellate panel will make a determination within five (5) calendar days of receipt of the appeal materials. The Chair of the Sexual Misconduct Appellate Board will notify the parties simultaneously in writing of the outcome of the appeal within three (3) calendar days of the date of the determination. **All appellate panel decisions are final.**

All appellate time periods set forth in this section can be extended as necessary for good

cause by the Chair of the Sexual Misconduct Appellate Board with notice to the parties of the extension and an explanation of the reason for the extension.

- h. **Training of the Sexual Misconduct Appellate Board.** The Chair and all members of the Sexual Misconduct Appellate Board will receive 8-10 hours of annual training regarding issues related to sexual misconduct and guidance for conducting appeals in a way that protects the rights of all parties, promotes institutional accountability, and complies with state and federal law.

12. Conflict of Interest. The College requires any individual participating in the investigation, sanctioning or appeal of sexual misconduct matters to disclose any potential or actual conflict of interest. If a Complainant or Respondent believes that an investigator has a conflict of interest, the party should submit a request to replace the investigator to the Title IX Coordinator. If the Title IX Coordinator is the investigator believed to have a conflict, the party should submit such request to the Dean of Students (when requesting party is a student) or Director of Human Resources (when requesting party is an employee). In cases where a party believes that one of the appointed appellate panel members has a conflict of interest, a request to replace the appellate panel member should be submitted to the Chair of the Sexual Misconduct Appellate Board. In cases where a party believes that the sanctioning official has a conflict of interest, a request to replace the sanctioning official shall be made to the President of the College.

In all cases, requests to replace an individual due to conflict of interest must be submitted (to the above referenced individuals) within three days (3) of a party's notice of the conflicted individual's participation. The written request must include a description of the conflict. If it is determined that a conflict of interest exists, the College will take steps to address the conflict as appropriate to maintain an impartial process.

13. Records. The investigator's report, the notice of sanction and/or appellate determination, will be maintained by the Office of Student Affairs as part of a student-Respondent's conduct record and with the Director of Human Resources as part of an employee-respondent's employment file. All notes and documents exclusively used by the investigator but not made part of the final report will be destroyed after an appellate determination (or, if no appeal, a sanction or final determination) is made. Suspension and dismissal are permanently noted on a student's transcript. The conduct files of students who have been suspended or dismissed from the College are maintained by the Office of Student Affairs for no fewer than seven (7) years after the student's departure from the College. Employment records are maintained consistent with the Illinois Personnel Records Review Act and all other state and federal requirements.

14. Non-Disclosure Agreements. The College will not require a party to abide by a nondisclosure agreement, in writing or otherwise, that would prevent the re-disclosure of information related to the outcome of the proceeding.

6. CONSENSUAL ROMANTIC OR SEXUAL RELATIONSHIP AND EVALUATIVE AUTHORITY

Lake Forest College strongly discourages romantic and/or sexual relationships between individuals in positions of unequal power at the College. Power is unequal between faculty and students, staff members and students, supervisors and their supervisees, coaches and student-athletes, advisors and advisees and resident directors and student residents. Power may also be unequal in other contexts, and the foregoing list is not intended to be exhaustive.

Romantic and/or sexual relationships between individuals in inherently unequal positions, even when both parties consent, raise concerns/suspensions that the person with greater power or authority may be abusing that authority, and can potentially subject that person to complaint of sexual harassment or other misconduct. The relationship may also give rise to the perception on the part of others that there is favoritism or bias in academic or employment decisions affecting the involved student or employee. Moreover, given the uneven

balance of power within such relationships, consent by the student or employee is suspect and may be viewed by others or, at a later date, by the involved student or employee, as having been the result of coercion, intimidation, or fear of retaliation.

To protect the integrity of the College academic and work environment, Lake Forest College requires that when a consensual romantic or sexual relationship exists or has existed between individuals in positions of unequal power at the College, the person with the greater power must not hold any supervisory or evaluative authority over the other person in the relationship. See below for a special rule that applies to faculty-student, staff-student, and coach-student relationships.

For purposes of this policy, the term “romantic and/or sexual relationship” is defined by the nature, not the duration of the relationship. Any contact of a sexual nature or a single date would be considered a “romantic and/or sexual relationship” under this policy, even if it does not recur. This policy is not intended to restrict purely platonic social interactions. However, members of the College community are cautioned that the line between platonic and romantic or sexual interactions may not always be clear, even to those involved. Where there is any doubt as to whether a relationship falls under this policy, the individuals involved should err on the side of complying with this policy.

“Supervisory or evaluative authority” is the power to control or influence another person’s employment, academics, or extracurricular participation, including but not limited to, hiring, work conditions, compensation, promotion, discipline, admission, grades, assignments, recommendations, financial support, or participation in extracurricular programs.

In the event of a romantic and/or sexual relationship between individuals in positions of unequal power at the College as defined above, it is the responsibility of the person with more power or authority to notify his/her own supervisor or department chair – or the Director of Human Resources or the Dean of Faculty – immediately upon the commencement of the relationship so that the College may make evaluative, scheduling and/or other appropriate modifications to protect the integrity of the academic and work environment. The supervisor or department chair will develop an appropriate plan in consultation with the Director of Human Resources (in case of a staff member) or the Dean of Faculty (in case of a faculty member). Failure to comply with this requirement is a violation of this policy, for which the person with more power or authority in the relationship may be subject to disciplinary action.

Consensual Romantic or Sexual Relationships Between Faculty and Students, Staff Members and Students, or Coaches and Students

No faculty, staff member or coach shall enter into or maintain a romantic or sexual relationship with a Lake Forest College student, regardless of whether there is a supervisory or evaluative relationship between them and regardless of whether the individuals involved believe the relationship is consensual. There is an unacceptable, inherent risk of coercion in such a relationship due to the inevitable, substantial difference in institutional power between a student and a faculty member, staff member, or coach. Even absent any supervisory or evaluative authority, this risk exists and could lead to conflicts of interest because (i) the influence of a faculty member, staff member, or coach extends beyond a classroom, department, or team, and (ii) there is an ongoing possibility that the faculty member, staff member, or coach may be placed in a position of power over the student. This paragraph does not apply to the spouse or domestic partner of a faculty member, staff member, or coach who becomes a student at Lake Forest College. In such situations, the College policy on the employment or evaluation of relatives applies.

Consequences of Violations of this Policy

Violations of this policy constitutes grounds for disciplinary action in accordance with the procedures contained in the applicable staff or faculty handbook.

7. REVIEW PROCESS FOR A STUDENT CLAIM OF FACULTY BIAS

(Enacted: May 6, 2019)

Lake Forest College is committed to providing a safe and inclusive campus environment for all students, faculty, and staff. We value the diversity of our community members' ethnic, gender, and cultural backgrounds, in equal measure with the breadth and depth of all experiences that they bring to our campus. The College's mission statement states that we embrace cultural diversity and develop responsible members of the global community. Additionally, we work to enable students to become adept at approaching differences openly, honestly, and respectfully, and to solve problems in a civil manner, collectively. As such, it is expected that all members of our campus community – students, faculty, staff, and administration – will strive to foster an environment that is free from bias.

The College has well-established, well-defined policies prohibiting discrimination and harassment that are published in this Faculty Handbook and on the College's website. The College also has a Bias Incident Response Process ("BIR Process") that is designed to respond to incidents by, between or among students that can be more difficult to define than harassment or discrimination, but that can nonetheless harm or threaten individuals or groups based on characteristics of identity including, but not limited to, sex, pregnancy, gender identity or expression, race, color, creed, national or ethnic origin, religion or religious affiliation, sexual orientation or preference, age, marital or family status, disability, or veteran status. Illustrative examples of potential bias incidents include targeted graffiti or vandalism, homophobic or sexist jokes, racist epithets, religious slurs, or demeaning remarks on social media. Bias incidents may or may not be intended to cause harm.

The BIR Process applies only to student claims against other students. If a student believes a faculty member has exhibited bias toward the student, then the student may raise a complaint with the faculty member's Department Chair, the Dean of Students, or the Dean of Faculty. The student may make the complaint in person or by directing a confidential email to the department chair, Dean of Students, or Dean of Faculty.

The College intends this process to operate consistent with – and never in opposition to – the principles of academic freedom to which the College has been historically committed. Rigorous discussion and debate are fundamental to the College's educational mission, and neither this BIR Process nor any other College policy or process is intended to determine or restrict teaching methods, course content, or the processes of intellectual inquiry and debate.

Offensive speech, by itself, does not violate this Process or other College policy. For speech/expression to constitute a Bias Incident, it must lack a reasonable relationship to an educational, political or artistic goal, and must threaten, intimidate, or marginalize an individual or group based on one or more of the characteristics of identity listed above.

The College will endeavor to protect the privacy of any student reporting a potential bias incident, as well as any faculty member who is the subject of a potential bias incident report, and will exercise discretion when sharing information about the incident. Summary information may need to be shared as a safety announcement, incident report, or as required by law.

D. MISCELLANEOUS EMPLOYMENT REGULATIONS

1. Additional Employment

(Faculty Meeting, February 14, 1978; amended December 7, 1983)

A full-time faculty member may not accept regular employment outside Lake Forest College during the academic year without prior written consent of the Dean of the Faculty. Normally, permission to accept such employment will be given only if the work is in the interests of Lake Forest College. This policy is not intended to discourage a member of the faculty from receiving fees or honoraria for a limited involvement in activities such as consulting, lecturing, counseling, creating art works, stage performing, or writing, but is intended to proscribe continuing remunerative activities that do not

benefit the College and that consume a significant amount of a faculty member's time during the academic year.

2. Use of Campus Facilities

(Board of Trustees, March 11, 1978)

College offices, laboratories, and classrooms may not be used to provide on-campus services to any person from whom payment to an individual is anticipated without the written consent of the Dean of the Faculty or the Vice President for Finance and Planning, which must be renewed annually.

Faculty and staff of the College may not use College facilities or College personnel for any purpose in connection with a private counseling or clinical practice.

3. Leaves of Absence

Leaves of absence for up to one year will not ordinarily affect normal consideration of a faculty member for a salary increase or for promotion. If an exception to these policies is to occur, notice of such exception must be given to the faculty member in writing at the time the leave of absence is granted. For the policy regarding leaves of absence for non-tenured faculty, see I.D.5-8.

4. Sabbatical Leaves

(Board of Trustees, September 14, 1974; amended Faculty Meeting, March 6, 1979; amended Board of Trustees, May 6, 1988; February 17, 1989; Faculty Meeting, May 1, 1991; Board of Trustees, September 28, 1991; Faculty Meeting, May 4, 2011)

Teaching faculty at Lake Forest College are expected to put much time and energy into their work during the academic year—in teaching, course preparation, evaluation of student work, advising, committee service, and participating in the cultural and social life of the College. Typically they have only limited time for professional presentations, research, or creative projects except during summers and other times when classes are not in session. Given these expectations and demands, the College believes it is vital to provide sabbatical leave opportunity so that teaching faculty can renew their pedagogical enthusiasm, creativity, and commitment, and strengthen the body of work that they contribute to the College. That renewal might take various forms, depending on the individual, including, but not limited to the following: concentrated research aimed at peer-reviewed publication, exhibition, or other specific outcomes; a focus on creative work aimed at publication or performance; time dedicated to a major curricular or pedagogical advancement for the individual or department; or an opportunity to study a new field with a goal of enhancing College offerings or the student experience. The College will consider all plans that are thoughtful and detailed, provided they present a clear and realistic statement of anticipated benefits to the College. These benefits may accrue to the College's students, to a particular department or academic program, or to the prestige of the institution via individual faculty achievements.

I. Timing and Compensation

Normally only tenured members of the teaching faculty are eligible to apply for a sabbatical leave. Exceptions must be approved by the FPPC. As a general rule, and subject to the conditions stated below, faculty members are eligible for a half-year sabbatical after three full years of countable service or for a full-year sabbatical after six full years of countable service. Full-year sabbaticals may be taken for an academic year or a calendar year. Faculty are encouraged to propose calendar-year leaves when appropriate for a research project and/or when a calendar-year leave would help the department minimize the curricular burden of the faculty member's leave relative to an entire academic year. The timing and pay scale are the same for calendar-year and academic-year sabbaticals.

Service for faculty on half-year or calendar-year sabbaticals continues, even to elected committees, for any semester not on leave. While on leave, a faculty member serving on an elected governance committee is replaced by the person who received the second most votes.

- a. **First Sabbatical.** A faculty member who receives notice of tenure in the fall of his or her sixth year of service receives the rank of associate professor starting in the fall of the seventh year of service. In that year, the faculty member may apply for a sabbatical leave to

be taken in the eighth year of service. For that application, the faculty member is eligible for a half-year sabbatical at full pay or a full-year sabbatical at five/sixth pay.

- b. **Subsequent Sabbaticals.** A full-year sabbatical taken in the seventh year of countable service since the previous sabbatical is associated with a 25% salary reduction for the entire academic year. A half-year sabbatical taken in the fourth year of countable service since the previous sabbatical is associated with a 25% salary reduction for the half-year the faculty member is on leave. A faculty member will receive full pay for a half-year sabbatical taken in the seventh year of countable service since the previous sabbatical, regardless of the reason for the delay.
- c. **Countable Service.** For semester and academic-year sabbaticals, countable service toward the next sabbatical starts with the academic year following the sabbatical leave. For calendar-year sabbaticals, countable service begins after the academic year of the first semester of the sabbatical. (For previously delayed sabbaticals, up to three years prior may be countable; see d. Delayed Sabbaticals, below for further explanation.)
- d. **Delayed Sabbaticals.** When the College or Department requests that a faculty member delay applying for a sabbatical or when a sabbatical application is accepted but the College or Department subsequently requests the faculty member delay taking the sabbatical, the period of delay may be included in countable service toward the next sabbatical. Alternatively, the faculty member can accept a lower reduction in salary while on sabbatical instead of applying the delay as countable service toward the next sabbatical.
 - i. Compensation in terms of countable service for the next sabbatical or a lower reduction in salary while on leave extends for at most three years.
 - ii. Except for newly tenured professors, and in the case where the faculty member who has his or her sabbatical delayed chooses a lower salary reduction to compensate for the delay instead of counting the delayed years toward his or her next sabbatical, a one-year delay is associated with a salary reduction of one-sixth, a two-year delay is associated with a salary reduction of one/twelfth, and a three-year delay is associated with no salary reduction. All salary reductions apply to the time of the actual leave – twelve months for a full-year leave, six months for a half-year leave.
 - iii. A newly-tenured faculty member has the choice to delay his or her first sabbatical leave for up to two years in exchange for a lower salary reduction. Specifically for a newly tenured faculty member, delaying a full-year leave by one year (so that the leave is taken during the third year of tenure) is associated with a salary reduction of 1/12, and delaying by two years is associated with no salary reduction. If the first post-tenure sabbatical leave is taken for a half year, the leave is at full pay.
 - iv. A faculty member can postpone a sabbatical application or ask to postpone a granted sabbatical leave. Except for a newly-tenured faculty member's first sabbatical, however, delay at the faculty member's request does not qualify either as countable years of service toward the next sabbatical or for a lower salary reduction while on leave. As stated in I.b., a faculty member is eligible to apply for a half-year sabbatical at full pay, to be taken in the seventh year (or subsequent years), of countable service, regardless of the reasons for the delay.
- e. **Other Stipulations.**
 - i. All sabbatical leaves, regardless of previous delays, must be separated by at least three years of countable service.
 - ii. All faculty members are required to return to the College for at least one year of countable service to the College following a sabbatical leave.
 - iii. The College's contributions to an IRA account (TIAA) and to FICA, both of which are based on salary, are limited to that portion of the salary that is actually paid to the faculty member (exclusive of salary via an outside grant). All other benefits are paid in full.
 - iv. A good-faith effort to secure external support with the intention of helping the College defray the expense of a sabbatical leave is expected of all faculty members. When such pursuits are successful, 50% of any grant money paid to the faculty member after the faculty member's salary reduction has been replaced by the grant will be applied to the salary paid by the College. Grant-funded summer

- salary, up to two/ninths of the faculty member's academic-year salary, is exempted from this application against salary.
- v. Ordinarily faculty members on sabbatical leave are not permitted to teach at another college or university. In unusual circumstances, permission may be granted by the FPPC to allow such employment provided it is for not more than one-fourth time.
 - vi. The salary reduction for a faculty member taking a half-year leave will be applied in twelve equal installments across the full academic year from September to August. In the case of a calendar-year leave, the salary reduction will be applied across both concurrent academic years, in twelve equal installments each year.

II. Materials

All sabbatical applications are expected to include the following:

- a. The candidate will provide a written sabbatical application that includes:
 - i. A description of the faculty member's previous sabbatical leave and most recent leave of any sort, including an accounting of years of countable service that justify the current timing of a sabbatical application and the salary reduction that is associated with the sabbatical request.
 - ii. A description of efforts taken to secure outside funding, and the outcome of those efforts, including a grant proposal (or a portion of a proposal – i.e., a cover page, abstract, and budget).
 - iii. A description of academic accomplishments (research, teaching innovation, advising, and service) since the faculty member's most recent sabbatical. In addition to emphasizing particular scholarship accomplishments, and in particular accomplishments stemming directly from the previous sabbatical, the description should emphasize the benefits accrued to the College from such activities.
 - iv. A plan of activities while on sabbatical.
 - v. A description of the likely outcomes of the sabbatical activities and the likely direct and indirect benefits to the College as a result of the sabbatical leave.
 - vi. Current curriculum vitae.
- b. A letter of support from the department chair endorsing the applicant's plans and previous contributions to the College meriting a sabbatical, the department's replacement needs, and a statement regarding whether the applicant delayed his or her sabbatical application at the request of the department or College. In addition to the chair's letter that specifically speaks to the department's planning for the sabbatical, the chair also submits the department's seven-year sabbatical plan to the Dean of the Faculty (see V. Planning below).
- c. Except in the case of a candidate's first sabbatical application, the Dean of Faculty will supply the FPPC with a copy of the candidate's previous sabbatical application, curriculum vitae at the time of the previous application, and summary report of the previous sabbatical activities.

III. Procedures

- a. The applicant should speak to the Dean of the Faculty and the Director of Grants & Sponsored Research eight to eighteen months prior to applying for a sabbatical to search out sources of external support to help the College defray the cost of the sabbatical.
- b. All sabbatical materials, including the faculty member's application, the department chair's letter of support and statement regarding replacement needs, and the department's seven-year sabbatical plan, are due to the Dean of Faculty's office by September 1 of the year prior to the academic year for which the leave is proposed (16 months before a calendar-year sabbatical would begin).
- c. The FPPC will make its recommendation to the President by October 1. The FPPC will forward its recommendation along with the department chair's letter to the chair of the ARRC.
- d. If a subsequent change in plans becomes necessary, a revised proposal stating the reasons must be submitted to the Dean of the Faculty for approval.
- e. Within one year of returning from sabbatical, the faculty member must submit to the Dean of the Faculty a detailed report summarizing sabbatical results and accomplishments. The

- report becomes part of the faculty member's record to be considered in evaluating performance and in judging future sabbatical leave requests.
- f. Sabbatical applications and summary reports are shared with the Board of Trustees.

IV. Considerations for FPPC

The FPPC's primary role is to ensure that sabbaticals involve projects that will provide benefits to the College as well as the faculty member. As a result, the FPPC may ask the applicant to modify or develop the proposal in ways that might more effectively achieve the purposes of individual and institutional improvement. In its deliberations, the FPPC will consider:

- a. Expected benefit of the sabbatical work to the College and the individual faculty member in terms of scholarship and teaching, both during and following the actual leave time.
- b. Evidence of the faculty member's value to the College since his or her previous sabbatical, with particular emphasis on activities undertaken explicitly during or as an outcome of the most recent sabbatical.
- c. Evidence that the activities during the leave could not be undertaken while not on leave.

V. Planning

Sabbaticals have costs, not simply financially but also in terms of reduction of course offerings and the temporary absence of full-time members of the community. Thus it is important for Departments as well as the College to consider how to mitigate these costs. Each Department should develop a seven-year plan, specifying for all tenured and tenure-track faculty members in the department, when each next expects to take a sabbatical leave and whether any such applications are expected to be associated with a delay for the department's benefit. In developing the plan, Departments should:

- a. Give priority to a faculty member who is requesting his or her first post-tenure sabbatical.
- b. Consider time since the faculty member last took a sabbatical leave or was on leave of any sort.
- c. Consider teaching load and service contribution to the College since last sabbatical.

In addition, Department Chairs must consider the impact of particular sabbatical proposals on course offerings and other departmental activities and responsibilities. Sabbaticals are recommended to the President assuming no replacement. Thus, supporting letters from Chairs should include:

- d. A plan for scheduling classes and addressing student needs (i.e., senior thesis advising, academic advising, etc.) while the faculty member would be on leave, including a summary of any requests made to ARRC or the Dean of the Faculty for allocation to fully or partially replace the faculty member's courses while on sabbatical leave.
- e. An evaluation of the benefit or harm delaying a sabbatical would have on students and departmental activities.
- f. Should the department chair request replacement allocation from ARRC, the chair's supporting letter will be shared with ARRC.

5. Junior Faculty Development Policy

(Approved by the Faculty on April 7, 1993; amended November 1, 2006)

a. Hotchkiss Fellows Program for Junior Faculty

The program is named in honor of Eugene Hotchkiss, President of the College from 1970-1993, who placed great importance on the support and professional development of junior faculty. Endowed by the Hotchkiss Fund and an additional endowment for junior faculty development, this program awards one-semester, fully paid sabbatical leaves to junior faculty.

All tenure-track, full-time faculty, who came to the College with no more than one year of countable service, upon passing the third-year review, are eligible for a one-semester Hotchkiss Fellowship at full pay and benefits. Hotchkiss Fellows will be exempt from all teaching, advising and administrative work responsibilities; in addition, Fellows will not serve on elected College committees during the year of the leave. Hotchkiss Fellowships may be taken in the fourth or fifth year of service at the College, to be arranged in consultation with departments. In all cases, the fellowship must be taken in a year prior to the year of tenure review. All courses will be fully replaced by the Hotchkiss Fund and other funds of the College.

Eligible applicants must be full-time and tenure-track, and may not have received more than one year countable service upon initial appointment to the College. The semester of Hotchkiss leave will be applied to a faculty member's countable service for tenure and promotion.

A descriptive summary of the scholarly agenda or creative activity to be pursued during the Hotchkiss Fellowship must be included in the personal statement submitted by candidates for third-year review. A statement of support from the department chair is required and may be included as part of the evaluation letter submitted for the third-year review. During the semester following the leave, Fellows will submit written reports to the Dean of the Faculty describing the work accomplished during the leave.

b. Any eligible faculty member may refuse a Hotchkiss leave and may instead receive summer research stipends the first and second summers after passing the third-year review. Any faculty member ineligible for a Hotchkiss leave because of bringing more than one year of countable service upon initial appointment to the College may receive summer research stipends the first and second summers after passing the third-year review.

6. Child-Care Leave Policy*

(On May 6, 1988, the Board of Trustees approved the following Newborn Child Leave Policy; amended September 1988; amended May 12, 1989, September 1992, and December 6, 2006)

* Refer to I.D.7. for the policy on leaves for childcare purposes and to I.D.8. for the policy on family medical leaves. Use of child-care leave constitutes leave under the Family Medical Leave Act.

- a. A full-time teaching faculty member will be entitled to a paid leave in the case of the birth, assumption of care, or adoption of a child, where the faculty member is a primary caretaker of the child. The College may require appropriate documentation to support the leave request.
- i. The faculty member may take a leave of absence for a full semester and receive three-quarter salary for the year with full medical benefits plus all other benefits for which the faculty member qualifies, pro-rated accordingly. The faculty member may elect to receive salary in one of the following patterns:
- a) Half-salary for six months and full salary for the other six months; or
- b) Three-quarter salary for the full year.
(Under this form of leave, the faculty member may be replaced within the department for the term of the leave.)
- ii. The faculty member may also elect the option to teach five courses over the academic year, (or their equivalent for the natural sciences) while continuing non-classroom activities such as advising and receive full salary and medical benefits.
- iii. A female faculty member may also take a medical leave of absence from her position. In accordance with current policy, pregnancy and childbirth, and recovery therefrom, are regarded as "temporary disabilities." Full pay will be provided for such medical disabilities for up to 90 days. If the disability continues beyond the 90-day period, the individual will receive compensation in accordance with long-term disability insurance. The determination of the length of time an employee will require for leave is a medical decision between that individual and her physician.
(Under this form, the faculty member will not be replaced within her department.)
- b. Any faculty member who takes a child-care care leave within his/her tenure probationary period may choose to exclude that year from countable service toward tenure. This exclusion must be requested prior to the beginning of the academic year following exercise of option i, ii, or iii, and may be taken no more than two times.

- c. To assure the adequacy of the academic program, faculty members expecting to require such leave should confer with their department chairperson as early as possible.

7. Leaves Without Pay*

(Amended by the Board of Trustees, May 15, 1981, amended by policy change, September 1988, by the FPPC March 31, 1998)

* Refer to I.D.8. for the policy on family medical leaves.

In addition, leaves of absence without salary may be granted upon application if the intended use of the leave seems to be in the best interests of the College as well as the faculty member and if a suitable replacement can be found. For reasons of departmental and college planning a faculty member seeking a leave without pay must submit his or her request in writing to the Dean of Faculty by March 15 of the academic year preceding the leave. In extraordinary cases this requirement may be waived.

The College usually pays no benefits for a faculty member on leave of absence without salary. Faculty members receiving income from the College's long-term disability insurance plan are eligible for the tuition benefit for their dependent children at Lake Forest College only, subject to the same limitations and requirements stated for the tuition benefit for a teaching faculty member. While on an educational leave of absence, other than sabbatical, an eligible employee may elect to continue coverage in the group major medical plan for up to two years. In these circumstances life insurance coverage must be based on the College's "assumed earnings" figure which would be the salary the employee would have earned had he or she not taken the leave and continued to work directly for the College. Life insurance will *not* be based on the earnings the employee receives from the grantor. In order to enact this coverage the employee must notify Personnel in writing within 31 days of the commencement of the leave and agree to reimburse the College for the premiums payable where applicable or to have the grantor submit the premiums to the College. Long-term disability insurance is not available while on a leave without pay. A faculty member who takes a leave without pay because s/he has received a nationally-competitive research grant will have his or her fringe benefits continued by the College.

Leaves of absence for child care purposes are considered leaves without salary; such leaves must be requested as early as possible, for periods of time concurrent with an academic term.

Leaves without pay should not exceed one academic year in length or extend over parts of two succeeding academic years, nor come more frequently than once in three years. Exceptions to this rule are possible for such purposes as public service.

8. Family Medical Leave

The College abides by the Family Medical Leave Act.

The Family and Medical Leave Act of 1993 (FMLA), the National Defense Authorization Act of 2008, Section 585, and the Department of Labor (DOL) issued Final Rule for implementation of the Family and Medical Leave Act of 1993 effective January 16, 2009 (hereafter "FMLA"), allow eligible employees to take job and benefits protected, unpaid leave. The requirements for employee eligibility and responsibility are contained in this policy.

Lake Forest College recognizes that employees may need extended time off from work for different reasons and intends to provide unpaid leaves consistent with the FMLA law.

It is the policy of Lake Forest College to grant up to 12 work weeks of family and medical leave during any 12-month period to eligible employees and up to 26 workweeks of leave in any 12-month period of FMLA for a covered family member's service in the Armed Forces.

EMPLOYEE ELIGIBILITY

To be eligible for FMLA leave, the employee must have worked at least 12 months in total and have worked at least 1,250 hours in the 12 months preceding his or her leave. An employee who is on a non-FMLA leave and who does not yet have 12 months of service can still meet that service requirement by “rolling into” FMLA eligibility; e.g. the time on the non-FMLA leave counts towards the 12-month service requirement. In determining whether an employee has 1,250 hours of service, the College requires that Fair Labor Standards Act hours be applied. Full-time exempt employees for whom no hours-worked records are kept and who have worked for the College for at least 12 months are presumed to have met the 1,250 hours of service requirement for eligibility. For both exempt and non-exempt level employees, only hours actually worked will be counted towards the 1,250-hour requirement. Vacation, sick, holidays and any type of leave will not be counted towards the 1,250 hour required minimum.

Employees are eligible for another FMLA leave one year from the start of their previous FMLA leave. FMLA leave eligibility dates will be counted on a rolling calendar year basis.

An eligible employee can take up to 12 workweeks (or up to 26 workweeks of leave to care for an injured or ill servicemember) under this policy during any 12-month period. Each time an employee takes leave, the College will deduct the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 workweeks (or 26 workweeks for the care of an injured or ill servicemember) of available leave, with the balance remaining being the amount the employee is entitled to take at that time.

Qualified Leave Reasons

An eligible employee may take up to 12 weeks of leave for:

1. the birth of a new born child or the placement of a child for adoption or foster care;
2. to care for an immediate family member (spouse, child which includes a child age 18 or over only if the child is incapable of self-care due to a physical or mental disability, parent (but not a parent in law), who has a serious health condition,
3. the employee’s own serious health condition),
4. a qualifying exigency arising out of a covered family member (spouse, child, or parent) who is called to active duty in the Armed Forces in support of a contingency action,
5. to care for a covered service member family member (spouse, child, parent or next of kin) with a serious injury or illness incurred in the line of duty who is a current member of the regular armed forces. Next of kin includes brothers, sisters, grandparents, aunts and uncles, and first cousins unless the covered service member has specifically designated another blood relative. An employee taking Military Caregiver Leave is eligible for a maximum of 26 weeks of leave including any combined traditional FMLA leave on a pre-injury basis.

Leave for the birth and care, or placement and care of a child must conclude within 12 months of the birth or placement of the child. FMLA applies equally to male and female employees.

SERIOUS HEALTH CONDITION

A “serious health condition” generally includes an illness, injury, impairment, or physical or mental condition that involves:

- Any period of incapacity or treatment requiring in-patient care (i.e., an overnight stay) in a hospital, hospice or residential medical-care facility;
- Pregnancy or pre-natal care; or
- Any period of incapacity requiring absence from work, school, or other regular daily activities of more than three calendar days and continuing treatment by or under the supervision of a health care provider for a chronic or long-term health condition that is incurable or so serious that if not treated would likely result in a period of incapacity of more than 3 calendar days.

LIMITATIONS ON PARENTAL FMLA LEAVE

When both spouses are employed by the College, they are entitled to a combined total of 12 work weeks of FMLA leave within the designated 12-month period for the birth, adoption or foster care placement of a child with the employees, for aftercare of the newborn or newly placed child, and to care for a parent (but not in-law) with a serious health condition. Each spouse may be entitled to additional FMLA leave for other FMLA qualifying reasons (i.e., the difference between the leave taken individually for any of the above reasons and 12 weeks, but not more than a total of 12 weeks per person).

ACTIVE DUTY OR CALL TO ACTIVE DUTY IN THE ARMED FORCES “QUALIFYING EXIGENCY”

An employee whose spouse, son, daughter or parent(3) either has been notified of an impending call or order to active military duty or who is already on active duty may take up to 12 workweeks of leave for any “qualifying exigency” or urgent need arising out of the servicemember’s duty, or call to duty, in the Armed Forces. Qualifying exigencies may include short notice deployment, attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, rest and recuperation (up to 15 days) and attending post-deployment reintegration briefings. An eligible employee may also take leave to care for a military member’s parent who is incapable of self-care when the care is necessitated by the military member’s covered active duty. The leave may commence as soon as the individual receives call-up notice. (Son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave, except that the person does not have to be a minor. Next of kin are not considered eligible for this category of leave). This type of leave would be counted toward the employee’s 12-workweek maximum of FMLA leave in a 12-month period.

Employees requesting this type of FMLA leave must provide proof of the qualifying family member’s call-up or active military service before the leave is granted. If a short-notice deployment occurs (when a military member is notified of an impending call or order to active duty seven or less calendar days prior to the date of deployment), leave taken for this purpose can be used for a period of seven calendar days beginning on the date the covered military member is notified of an impending call or order to active duty.

CARE FOR AN INJURED OR ILL SERVICEMEMBER

FMLA leave may extend to up to 26 workweeks in a 12-month period for an employee whose spouse, son, daughter, parent or next of kin is injured or recovering from an injury suffered while on active military duty and who is unable to perform the duties of the servicemember’s office, grade, rank or rating. Next-of-kin of a covered servicemember may be a blood relative whom the servicemember has specifically designated as his or her nearest blood relative for purpose of leave under FMLA. When no such designation has been made, the next of kin of a covered servicemember is the next nearest blood relative other than the covered servicemember’s spouse, parent, son or daughter. An employee is also eligible for this type of leave when the servicemember is undergoing medical treatment, recuperating, in therapy, or otherwise in outpatient status or on the Department of Defense Temporary Disability Retired List. This leave may be continuous, intermittent, or on a reduced schedule.

Employees requesting this type of FMLA leave must provide certification of the family member or next-of-kin’s injury, recovery or need for care. This certification is not tied to a serious health condition as for other types of FMLA leave. *This is the only type of FMLA leave that may extend an employee’s leave entitlement beyond 12 workweeks to 26 workweeks.* Leave to care for an injured or ill servicemember, when combined with other FMLA qualifying leave, may not exceed 26 workweeks in a 12-month period and runs concurrently with other leave entitlements provided under federal, state, and local laws.

If leave qualifies for both injured servicemember leave and other family leave, the College must first count leave against servicemember leave. Any portion of the 26 workweeks of servicemember leave not used during the 12-month period is forfeited. If a husband and wife both work for the College, and each wishes to take leave to care for a covered injured or ill servicemember, the husband and wife may only take a combined total of 26 workweeks of leave.

3 Per Illinois law, the child or grandparent of a person called to military service may also request family military leave in the State of Illinois.

INTERMITTENT OR REDUCED WORK SCHEDULE LEAVE

In the case of an employee's own serious health condition, or the employee's need to care for a spouse, child or parent with a serious health condition, where medically necessary, an employee may take leave on an intermittent basis or on a reduced work schedule.

Leave to care for a newborn or a newly placed child must be taken all at once and may not be taken intermittently or on a reduced work schedule.

Intermittent leave is leave taken in separate blocks of time. A reduced work schedule leave is a leave schedule that reduces the usual number of work hours per week or hours per day.

If employees take leave intermittently or on a reduced work schedule basis, they must, when requested, attempt to schedule the leave so as not to unduly disrupt the College's operations. When employees are on an intermittent or reduced work schedule, the College may temporarily transfer them to an alternative position with equivalent pay and benefits for which they are qualified if that position better accommodates recurring periods of leave.

EMPLOYEE NOTICE REQUIREMENTS

Employees should request FMLA leave by completing a "FMLA Leave Request Form" and submitting it to both his or her department head and Human Resources. The Form will ask for the reason for the leave and the anticipated beginning and end date. The College reserves the right to designate a leave as an FMLA leave under this policy, however, even where the employee has not requested such leave, if the reason for which the employee is absent from work is covered by this FMLA policy.

When leave is foreseeable, employees must provide the College with at least 30 days' advance notice, or such shorter notice as is practicable (i.e., within 1 or 2 business days of learning of the need for the leave). When the timing of the leave is not foreseeable, employees must provide the College with notice of the need for leave as soon as practicable. When possible, employees are asked to schedule medical treatment so as not to unduly disrupt work.

When leave is taken to care for a family member, the College may require employees to provide documentation and verification of family relationship (e.g., birth certificate or court document).

An employee must provide medical certification in the format of the United States Department of Labor Certification of Health Care Provider form, within 15 business days (or longer if the employee has made diligent, good faith efforts to obtain it without success). If the certification is timely submitted but is not complete or sufficient, the College will provide the employee with seven days to cure the deficiencies. If the employee does not correct it within the seven day period, leave can be denied. The Human Resources Director may authenticate the certification form, with the employee's consent, by direct contact with the employee's healthcare provider to obtain clarification of any vague or unresponsive information. The Office of Human Resources may also request a second and/or third medical opinion if there is doubt about the medical certification, diagnosis and/or treatment plan.

Recertifications may be required every six months in connection with an absence that has occurred for that medical condition. A recertification may also be required any time if an extension of leave is requested, circumstances described in the last certification have changed, or the College receives information casting doubt on the employee's stated reason for an absence or the continuing validity of the last certification. The Office of Human Resources can provide the healthcare provider with information about the employee's attendance and ask the provider to evaluate whether the employee's attendance pattern is consistent with the need to be absent for the condition in question.

EMPLOYER NOTICE REQUIREMENT

The College must provide a Notice of Eligibility and Rights & Responsibilities to any employee who applies for FMLA leave informing the employee of whether he/she is eligible for FMLA leave. If the employee is not eligible, the notice must state at least one reason why the employee is not eligible. The Notice of Eligibility must be provided within five business days after the first time an employee requests FMLA leave for a particular qualifying reason. During the same FMLA leave year, a new notice is required only if the employee's eligibility status changes.

DESIGNATING LEAVE AS FMLA LEAVE

Once the Human Resources Director has obtained sufficient information to determine if the leave qualifies as FMLA or does not qualify as FMLA, the Human Resources Director will provide a written Designation Notice to the employee who has requested FMLA leave either designating the leave as FMLA qualifying or notifying the employee that the leave does not qualify for FMLA leave. The Designation Notice must be provided within five business days after the Office of Human Resources determines if the leave qualifies as FMLA or does not qualify as FMLA.

FITNESS-FOR-DUTY CERTIFICATION

A fitness-for-duty certification is required before the employee may return to work. The Office of Human Resources may require the healthcare provider to assess whether the employee has the ability to perform the essential functions of the job. Any such assessment must be based on a job description of essential job duties provided by the Office of Human Resources.

If the employee gives the College notice of his/her intent not to return to work, the employee will be considered to have voluntarily resigned.

SUBSTITUTION OF PAID VACATION AND/OR SICK LEAVE

Staff: All unused paid time off will be substituted for unpaid leave and will be counted as FMLA leave. Employees taking FMLA leave must exhaust all paid time off before unpaid leave will begin. Employees will therefore be required to use all available sick and vacation time to cover FMLA leave. The sick time will be used first until exhausted and then vacation will be applied to the leave until exhausted or the leave ends, whichever comes first.

Employees on FMLA leave when the annual merit increase takes effect will receive their increase effective upon the date they return from leave. No retroactive increase adjustments will be made upon return from leave.

Faculty: Faculty who have been employed full-time and who request FMLA leave may receive their full salary for up three months, subject to confirmation with the Dean of Faculty.

BENEFITS DURING THE LEAVE

During FMLA leave employees are entitled to group health plan coverage under the same conditions as if they had continued to work.

To the extent that FMLA leave is paid, the employee's portion of health insurance premiums will be deducted from such payment. For the portion of FMLA leave that is unpaid, the employee must pay his/her portion of health insurance premiums in a timely manner in order to maintain coverage. Arrangements for payment should be made with Human Resources.

If an employee's payment of health insurance premiums is more than 30 days late, the College reserves the right to discontinue health insurance coverage.

RETURN FROM FMLA LEAVE

Upon timely return from an FMLA leave, the employee will return to the same position he or she held before the leave or to an equivalent position with equivalent pay, benefits and other employment terms.

LIMITATION ON REINSTATEMENT

Employees are entitled to reinstatement only if they would have continued to be employed had FMLA leave not been taken. Thus, employees are not entitled to reinstatement if, because of a layoff, reduction in force or other reason, they would not be employed at the time job restoration is sought.

FAILURE TO RETURN TO WORK FOLLOWING FMLA LEAVE

If an employee does not return to work following the conclusion or exhaustion of FMLA leave and has not requested and received an extension, he/she will be considered to have voluntarily resigned. The College may recover health insurance premiums paid on behalf of the employee during any unpaid FMLA leave, unless the failure to return to work is because of the employee's or a family member's serious health condition or

because of other circumstances beyond the employee's control. In such cases, the College may require the employee to provide medical certification of his/her or a family member's continuing serious health condition.

All FMLA Leaves will be administered through the Office of Human Resources.

ILLINOIS VICTIM'S ECONOMIC SECURITY AND SAFETY ACT (VESSA) LEAVE

Employees who are victims of domestic violence or sexual assault or whose family or household member is a victim of domestic or sexual violence are eligible for unpaid leave for the following purposes: seeking medical attention for, or recovering from, physical or psychological injuries caused by domestic or sexual violence to the employee or the employee's family or household member; obtaining services from a victim services organization for the employee or the employee's family or household member; obtaining psychological or other counseling for the employee or the employee's family or household member; participating in safety planning, temporarily or permanently relocating, or taking other actions to increase the safety of the employee or the employee's family or household member from future domestic or sexual violence or ensure economic security; or seeking legal assistance or remedies to ensure the health and safety of the employee or the employee's family or household member, including preparing for or participating in any civil or criminal legal proceeding related to or derived from domestic or sexual violence.

Accrued sick leave and vacation may be used for such absences. The maximum length of unpaid leave an employee may take under this policy is limited to 12 weeks, offset by any Family and Medical Leave taken in the same 12-month period.

Employees who seek to take time off for these reasons must give Lake Forest College at least 48 hours notice. However, if an unscheduled or emergency court appearance is required for the health, safety or welfare of the victim or his/her child, the employee need not provide advance notice. Lake Forest College will, to the extent allowed by law, maintain the confidentiality of an employee requesting leave under this provision.

Because domestic violence and assault may find its way into the workplace, we encourage any employee who has safety concerns to alert Lake Forest College. This will assist us in maintaining a safe workplace. Please see Lake Forest College's Workplace Threats and Violence Policy for more information.

9. Employment or Evaluation of Relatives Policy

Purpose

The purpose of this policy is to protect the integrity of the College's academic and work environment and to help ensure that it remains free from real or apparent conflicts of interest due to family relationships between members of the College community including faculty, staff, students, and volunteers.

Policy

The College strives to make academic, employment and other business decisions based on individual merit, qualifications, skills, ability and performance and on the needs of the College. The College is equally committed to avoiding favoritism, the appearance of favoritism, and other actual or potential conflicts of interest that may arise in connection with family members employed by the College being involved in academic, employment, or other work-related decisions about their family members.

For purposes of this policy, a "family member" includes a spouse, domestic partner, parent, child, sibling, aunt, uncle, niece, nephew, grandparent, grandchild, member of one's household, and in-law with respect to each of the foregoing categories. It also includes an individual married to or in a romantic relationship with one of the foregoing. A "family relationship" is a relationship between family members, as defined.

"Supervisory or evaluative authority" is the power to control or influence another person's employment, academics, or extracurricular participation, including but not limited to, hiring, work conditions, compensation, promotion, discipline, admission, grades, assignments, recommendations, financial support, or participation in extracurricular programs.

Any member of the College community who has a family relationship with a current or prospective employee, student, or volunteer of the College over whom they have or might reasonably be expected to have

supervisory or evaluative authority must promptly and fully disclose the relationship to their department chair or immediate supervisor – or to the Director of Human Resources or Dean of Faculty.

If feasible, the College will make adjustments to prevent one family member from having supervisory or evaluative authority over another family member. If adjustments cannot be made to the satisfaction of the College, the College may decline to hire, admit, or permit volunteer work by the family member or may reassign or dismiss a family member, subject to applicable contractual provisions and College policies. The President, in consultation with the Director of Human Resources (in case of a staff member) or the Dean of Faculty (in case of a faculty member), must approve any exceptions to this policy.

Consequences of Violation of this Policy

Violation of this policy constitutes grounds for disciplinary action in accordance with the procedures contained in the applicable staff or faculty handbook.

E. FACULTY SALARIES AND FRINGE BENEFITS

1. Faculty Salaries

Salaries of full-time members of the teaching faculty are paid in twelve equal installments, always on the first business day of each month, beginning with September. Salary checks may be direct-deposited or placed in campus mail boxes, unless the Business Office is instructed otherwise. It is customary to send to each faculty member written notice of the salary for the coming year following the spring meeting of the Board of Trustees, at which time the budget for the next year is approved.

2. Retirement Income

(Amended September 1, 1987; January 1, 1989; August 2014)

The College provides a retirement program through the Teachers' Insurance and Annuity Association. The following provisions apply:

All faculty teaching three or more courses per academic year, and all professional personnel employed half-time or more, after completion of two years of service and twenty-one years of age, are eligible for participation in the T.I.A.A. retirement program.

Lake Forest College makes the entire required contribution to the T.I.A.A. for eligible members. The College's contribution is 8% of the annual salary for all eligible participants.

Any faculty member (full- or part-time), at any time, may make pre-tax contributions through payroll reductions to a TIAA supplementary retirement annuity contract. Supplemental Retirement Annuity (SRA) Plans are annuity contracts for employees who want to set aside tax deferred funds over and above amounts being accumulated under their institution's basic retirement plan. Information may be obtained from Human Resources.

Retirement Plan

(Amended June 1, 2017)

Purpose

To outline the benefits available through the College 403(b) Retirement Plan administered by TIAA. The revised contribution levels for the 2017-18 fiscal year listed in the policy are subject to annual review.

Policy

In keeping with College efforts to offer a full and comprehensive benefits plan, a 403(b) Retirement Plan is offered to all employees who meet the minimum qualifications for participation. The 403(b) Retirement Plan is administered by TIAA on behalf of Lake Forest College.

Procedure

The College offers qualified employees the opportunity to participate in the 403(b) Retirement Plan.

There are two accounts available through the 403(b) plan:

1. The Group Supplemental Retirement Annuity Plan (GSRA) is an unmatched, tax-deferred plan that employees can begin contributing to immediately upon hire. Contributions are made on a pre-tax basis based upon a percentage or a flat dollar amount. Participants can choose to invest their contributions in any of the available investment selections. Participants must complete a Salary Reduction Agreement in accordance with Plan requirements. An election to make participant plan contributions may not be made retroactively and shall remain in effect until modified or terminated. A participant may terminate his or her Salary Reduction Agreement at any time, subject to any reasonable rules established by the Plan Administrator. The total contributions made by the participant and for the participant for any year will not exceed the amount permitted under section 415 of the Code.
2. The Retirement Annuity Plan (RA) is a non-contributory plan available to qualified employees who work a minimum of 1000 hours per fiscal year. When an employee has achieved two years of qualifying service to the College (or equivalent years of service with an eligible employer which will be counted towards meeting the eligibility requirements), the College will contribute an amount equal to 9%, 8%, or 7% of salary for eligible employees based on the same three salary ranges that are used for the health insurance premiums. The employee is not required to make a contribution to the plan. Participants can choose to invest contributions in any of the available investment selections.
3. In the case of employees classified by the College as part-time faculty members, service for the Retirement Annuity Plan (RA) consists of teaching three or more courses per academic year. To determine RA eligibility, the Office of Human Resources will review the course load from prior years and determine if the faculty member has achieved two years of qualifying service. Once the years of service requirement has been met, in order to be eligible for the College's contribution, the faculty member needs to maintain a teaching load of at least three courses per academic year.

Plan contributions in either the GSRA or the RA are fully vested and non-forfeitable.

For additional information about the TIAA 403(b) Retirement Plan, please contact Director of Human Resources. The plan document or insurance contract will be the official and ruling instrument concerning the plan. Please refer to the summary plan description for further details. This policy is for informational purposes only. Eligible employees should consult the plan documents for complete terms and conditions of the plan. Where the plan documents conflict with this policy, the plan documents will control.

3. Insurance Program - Full-Time Employees

(Amended by Board of Trustees, March 7, 1981; amended October 1, 1993)

- a. The cost for employee and dependent group health insurance is contributory and is based on one's salary. The College pays a portion of the premium. Terminated employees, faculty on leaves without pay, and/or dependents of insured employees ineligible for continued coverage due to age, divorce, or death may elect to continue coverage at their own expense at 102% of current premium. Length of continuation is determined by law and circumstances of ineligibility. Details of the insurance plan are published in the Summary Plan Description booklet that is available at the Business Office.
- b. Life insurance and accidental death and dismemberment benefits in the amount of one and one-half times salary, rounded to the next highest \$1,000, to maximum of \$300,000, is carried by the College at no cost to the employee, up until age 70. Reduced amounts of coverage occur after age 70.
- c. Faculty members are encouraged to direct any questions or concerns to the College's Health Insurance Advisory Committee.

4. Long-Term Disability Benefits

PURPOSE

To provide protection when a long-term illness or injury prohibits an employee from performing the regular duties of his/her job.

POLICY

A long-term disability plan is provided for full-time faculty and staff budgeted to work at least 80% of full time. Employees who work less than 80% of full time or part-time faculty are not eligible for this insurance program. For additional information on any of the benefits provided by the long-term disability plan, please contact the Office of Human Resources. The plan documents or insurance contracts will be the official and ruling instrument concerning the LTD benefits. The Office of Human Resources can provide copies of the full plan as well as official summary plan descriptions. Please refer to the full plan or *summary plan descriptions* for further details.

The policy summary provided below is for informational purposes only. If or where the long-term disability plan documents conflict with this policy summary, the plan documents will control.

While it is the intent of the College to continue to provide insurance benefits indefinitely to those eligible employees who elect the benefits, the College reserves the right to make any material or immaterial modifications to the plan, to change the insurance carrier, to change the level of benefits provided or to terminate the coverage.

Long-term disability (“LTD”) benefits are effective upon date of hire. The full cost of the employee’s coverage is paid by the College.

LONG-TERM DISABILITY BENEFITS

1. Base benefits are 66 2/3% of an employee’s annualized gross base salary, with a maximum benefit of up to \$10,000 per month. This coverage is provided by the College at no cost to the employee.
2. A qualifying period of 90 days absence is required before an employee is eligible for benefits. This qualifying period begins on the first day an employee is not actively at work due to the disability. If eligible, benefits then begin on the 91st day of injury or illness and may continue for as long as the employee remains eligible, up to age 65 (see plan document regarding benefit limits and benefits for those over the age of 65). The monthly payment will be offset by any other payments received by the employee, including social security and workers’ compensation.
3. During the first 90 days, employees may use any accrued sick or paid time off benefits for which they may be eligible. Employees should also contact the Director of Human Resources regarding an application for FMLA leave (see the FMLA Policy).

TERMINATION OF BENEFITS / EMPLOYMENT

1. An employee is no longer eligible for long-term disability coverage if no longer absent from work due to a covered disability.
2. Once an employee is approved for LTD they are no longer considered an active employee. Their employment will end effective the day before the LTD effective date unless the employee qualifies for an exception under the American with Disabilities Act and extending the leave of absence would be determined a reasonable accommodation. If the employee is covered by the College health insurance and/or dental plan, the employee and/or any eligible dependents will be offered continuous coverage under a COBRA plan at the employee’s expense (see the COBRA Policy).
3. On the LTD effective date, tenured faculty who begin to receive the LTD benefits will no longer receive their College salary. In addition, the College provides notice to the faculty member that his/her tenured status will be reviewed if he/she is unable to return to work within four semesters from the LTD effective date (see below).
4. The TIAA retirement defined contributions currently paid by the College will be paid by the LTD insurance company to a maximum of \$1,000 per month, provided the employee is then a participant in the TIAA defined contributions retirement plan. All optional benefits the employee may have are discontinued when the employee goes on LTD.

Life Insurance premium is waived for totally disabled employees under age 60 for a period of six (6) months. Successive extension periods of one year are allowable by the life insurance carrier provided due proof of disability is submitted each year to the insurance carrier. It is the employee’s responsibility to file the claim and to provide to the insurance carrier proof that he/she remains disabled and continues to receive appropriate and regular care of a doctor.

REINSTATEMENT OF TENURED FACULTY ON LONG-TERM DISABILITY

When a tenured faculty member goes on LTD, he/she may return to his/her tenured position provided that all of the following conditions have been met: 1) he/she is no longer receiving LTD benefits from the College’s insurance provider, 2) the College has received appropriate medical documentation indicating that he/she is able to return to work and can perform all of the essential functions of the position; and 3) no more than four semesters have passed from the LTD effective date.

If more than four semesters have passed since the LTD effective date and the faculty member has not submitted a letter to the Dean of Faculty relinquishing his/her tenured position, the faculty member’s tenured appointment and/or employment may be terminated as provided in the Faculty Handbook if, after review and consultation with the faculty member, the College determines that the faculty member cannot perform the essential functions of his/her position.

If, after relinquishment of tenure or termination of tenure and/or employment, the former faculty member subsequently asks to return to service at the College, and she/he provides medical documentation indicating that he/she is capable of performing the responsibilities of a faculty member, the College shall give careful consideration to the re-employment of the individual when an appropriate vacancy occurs in the area of his/her professional expertise. An individual seeking re-employment under this provision shall address the request for employment to the Dean of Faculty in writing. A copy of the request and medical documentation from his/her treating physician to support the request shall be sent to Director of Human Resources. The College will evaluate any requests to return but shall be under no obligation to permit a faculty member to return to service at the College.

5. Moving Expenses

(Approved by Board of Trustees, December 13, 1986)

The College will reimburse a full-time faculty member for part of the moving expenses incurred during the initial move from the faculty member's former principal place of residence to Lake Forest in connection with a new appointment at the College so long as the move is completed within one year from the date of appointment. The cost of moving normal household goods will be considered. Reimbursement will be actual costs, not to exceed the maximum determined by distance of residence to Lake Forest, as follows:

Air Miles	Maximum Benefit⁴
Less than 500	\$1,500
750	2,000
1,000	2,500
1,500	3,500
Over 1,500	4,000

Faculty members who wish to use their personal vehicle will be reimbursed for mileage in place of rental and fuel costs. The College will not reimburse faculty members for travel, lodging or meal expenses for themselves or any member of their family during the move or for any storage costs. The College will not be responsible for any loss or damage.

Documented receipts are required for all reimbursements. Reimbursement for moving expenses is done through payroll. The College’s policy on reporting taxable income will follow all appropriate IRS regulations at the time the relocation expenses are paid.

4 The dollar amount of the benefit is subject to annual review and may be changed by the President.

6. Attendance at Professional Meetings

(Amended by the President upon recommendation of FPPC, September, 1981; November 1987; September 1988)

The College encourages attendance at professional meetings and will compensate for expenses incurred, provided the following guidelines are met:

a. Eligibility

- i. Full-time faculty members on a continuing or tenured appointment, provided they carry at least a half-time teaching load, may receive compensation for major expenses incurred while attending one professional meeting in a given appointment year and subsequent summer (September 1 through August 31). There will be no compensation if a faculty member's appointment is temporary (one year or less) in nature.
- ii. Faculty members are eligible during a year when they have a sabbatical, whether the sabbatical is for half a year or a full year. Faculty members on other kinds of leaves are not eligible whatever the length of absence.

Other teaching faculty are not eligible unless the Dean of Faculty determines that their attendance at a meeting is clearly to the benefit of the College.

b. Travel Compensation

In order to keep the total costs of attendance at professional meetings and conferences within the budget allocation for a given year, the Dean of the Faculty will decide at the beginning of the academic year whether 100% or some lower percentage of the figure calculated according to the guidelines will be paid.

Faculty members shall be reimbursed for actual charges incurred in travel as follows:

- i. For hotel accommodations up to \$150.00 per night, with a four-night maximum.
Faculty members who are able to secure accommodation at rates lower than \$150.00 per night may request advance approval to use the unused portion of the accommodation allowance to cover excess conference registration fees, baggage fees, or ground transportation. Approval must be requested in advance.
- ii. For travel
 - a) by air, at no more than the lowest reasonable fare, with ground transportation costs excluded except in unusual circumstances;
 - b) by automobile, at the rate established by the IRS for previous year for the owner of the vehicle, not to exceed the lowest reasonable air fare;
 - c) by train, at a ticket cost plus meals on the train, not to exceed the lowest reasonable air fare.
- iii. For academic conference registration fee up to \$200
- iv. The College does not usually reimburse expenses for ground transportation.

Note: To assure compensation at the maximum rate for all attending professional meetings, **FACULTY ARE EXPECTED TO MAKE TRAVEL ARRANGEMENTS SUFFICIENTLY IN ADVANCE IN ORDER TO TAKE ADVANTAGE OF THE LOWEST REASONABLE AIR FARE AND SPECIAL FLIGHT AND ACCOMMODATION RATES.** If substantially lower fares are obtained by staying longer (for example, Saturday night), reimbursement for the hotel will be made if there is a net savings to Lake Forest College.

Travel accident insurance is provided for all active full-time faculty members through an ACM group policy.

Part-time faculty members are also covered during semesters in which they teach two or more courses. The policy covers death, dismemberment and disability resulting from an accident while traveling on behalf of the College. Your group insurance beneficiary applies. A copy

of the policy is in the Business Office. Benefit level is two times base salary, with a minimum coverage of \$100,000, and a maximum coverage of \$300,000 (benefit is reduced after age 70).

c. Travel Outside Continental United States

A faculty member may receive compensation for attending a meeting outside the continental United States once every three years. In such cases, the faculty member will be allowed travel compensation not to exceed \$1,400 toward the cost of transportation and lodging combined. The restriction of a maximum of \$200 for conference registration will apply. Travel to conferences in Canada is regarded as domestic rather than foreign travel.

d. Procedures

All forms can be found at my.lakeforest under the faculty tab (scrolling down on the right side to Forms. Documentation of all expenses incurred, including original itemized receipts (in addition to any credit card processing receipts), must be attached to this form. If tickets are purchased online or at other travel agencies, the faculty member will be reimbursed for that purchase only after submission of all expense documents.

7. Indirect Costs Policy

(Adopted by Administration, with FPPC approval, and accepted by the Board of Trustees on May 11, 1990)

Indirect costs are those costs incurred for the general support and management of sponsored activities but that cannot be directly attributed to a particular activity. In essence, a funding agency pays for the use of an institution's facilities.

Indirect costs are computed costs and allowed as a percentage of "direct salaries and wages including vacation, holiday, and sick pay but excluding other fringe benefits." The rate is approved by the Department of Health and Human Services as a result of a proposal prepared by the Business Office in accordance with specific rules and regulations. The most current rate should be verified through the Business Office before submitting a grant proposal.

For those grants awarded the full indirect cost rate, 75% of the awarded indirect costs will be allocated to the College's general revenues and 25% will be allocated for the general use of the department. These funds may be used for equipment, travel, personnel, etc. and such determination will be made by the Dean of the Faculty, chairperson of the department, and the grantee. Such expenditures must be all inclusive, i.e., all personnel fringe benefits must be included. For those grants awarded less than the full indirect cost rate, the grantee's 25% allocation is depleted first. In other words, the lower negotiated rate is not shared on a prorated basis by the grantee and the College, but borne by the grantee. All grants with lower than negotiated rates must be approved by the Dean of the Faculty and the Vice President for Finance and Planning.

8. Caps and Gowns

The College provides faculty with caps and gowns (but not hoods) that may be kept as long as faculty remain at the College.

9. Educational Benefit

(Amended by the Board of Trustees, May 15, 1981; December 10, 1983; December 13, 1986; May 12, 1989; March 1, 1996 and December 6, 2006)

The purpose of the education benefit program at Lake Forest College is to assist employees and their dependents in obtaining their first Baccalaureate Degree.

The eligibility provisions set forth below apply to teaching faculty. Educational benefit eligibility provisions for non-teaching faculty are the same as for professional staff, and may be found in the Administrative Staff Handbook.

Effective June 1, 2010, full-time faculty members eligible to receive the educational benefit described in this section include tenured or tenure-track faculty upon appointment, as well as any other faculty who have taught full-time for at least three consecutive years immediately prior to using the educational benefit.

Lake Forest College will contribute toward the costs of college tuition, at colleges and universities other than Lake Forest, of dependent children of full-time faculty members. The contribution is the actual cost of tuition up to a maximum of 30% of the College's tuition, per fiscal year, subject to review every three years. No contribution will be made to cover costs not included in the comparable charge to other students who attend Lake Forest College. This means that room, board, student insurance, activity fees, and like items are excluded. Payment is made directly to the college or university in which the son or daughter is enrolling once the Business Office has been provided the appropriate billing statement.

Spouse and dependent children of full-time faculty members will receive the tuition benefit in regular undergraduate classes at Lake Forest College until the first Baccalaureate Degree is obtained, or the benefit has been provided for the equivalent of four academic years as a full-time student, whichever time is less.

A dependent's eligibility for the educational benefit is limited to four academic years of undergraduate work, or until a Baccalaureate Degree has been awarded, whichever is less. If such benefit is to be used at Lake Forest College, then the regular admission requirements of the College must be satisfied as a prerequisite to the utilization of this benefit. Graduate or professional study for a dependent will not be subsidized. At Lake Forest College the dependent will be charged an admission application fee, the student activity fee, and clinic fee. If the dependent elects to be a resident student, room and board will be charged as with all such students and the appropriate room deposit will be required. Under no circumstance will the tuition benefit be available beyond the equivalent of four academic years of study (tuition benefit to mean either support paid to another college or tuition remission at Lake Forest College). Such eligibility is defined as eight semesters or twelve quarters. When a dependent attends more than one institution, his or her remaining eligibility is determined by the proportional sum remaining from the limits defined above.

Faculty members need to consider carefully whether or not they wish to use this benefit for a dependent's attendance in summer school. At most institutions the definition of a full-time student during the summer is considerably different than in the academic year. If a dependent who is receiving benefit support at another college or university attends Lake Forest College during the summer, the tuition benefit afforded the attending student will be pro-rated against his/her tuition benefit for the next academic year (e.g., taking 1 course will mean the student's tuition benefit for the next academic year will be seven/eighths the academic year benefit).

To encourage both faculty members and spouses with a Baccalaureate Degree to enroll in undergraduate courses at Lake Forest College, the audit benefit will be provided such individuals provided space is available in the class. Private lessons, workshops, tutorials, and independent study are not included, nor is any course work leading to an M/LS degree.

The tuition benefit as described above ceases upon retirement of the faculty member or upon death, termination, or total disability of the faculty member before retirement. However, if death or total disability occurs during an academic year the benefit will continue for the remainder of the academic year. Further, if the faculty member has served the College for seven full years as a full-time faculty member, children who were claimed as his/her dependents in the taxable year preceding death and who were in Grade 7 or higher at the time of the death will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit to faculty who are not retired.

It will be the obligation of faculty members to complete the FAFSA (financial aid application) for their spouses and/or children by February 1 (preceding the fall enrollment) to be considered for all federal and state financial aid grant programs in conjunction with the tuition benefit.

The faculty member will be required to certify, in writing, that the son, daughter or spouse was claimed as a dependent for the taxable year prior to the term of enrollment and will be claimed in the calendar years in which enrollment takes place. Eligible employees of the College may be asked to submit the appropriate 1040 form for verification of eligibility.

Applications for this benefit are due by March 1 each year.

The dependent children of full-time teaching faculty are eligible to participate in the Associated Colleges of the Midwest (ACM) Tuition Remission Exchange Program (TREP). This program is a tuition exchange program with other ACM institutions. All educational benefit requirements given above apply. Interested applicants must obtain a "Certificate of Eligibility" form from the Business Office. This certificate plus a \$25.00 fee must be mailed to the ACM TREP Coordinator at the ACM office. Applications for admission are submitted in the usual manner. Neither admission nor participation are guaranteed. See the Vice President for Finance and Planning for further information.

Tuition Exchange Program (CIC-TEP)
(August 2016)

Purpose

To provide employees, their spouses, and dependent children with an opportunity to receive tuition scholarships for undergraduate classes at other CIC-TEP institutions.

Policy

Lake Forest College participates in the Council of Independent Colleges Tuition Exchange Program (CIC-TEP). The scholarship is available for a maximum of eight semesters, renewable each year provided the student remains in good academic standing and the employee remains eligible. The College does not guarantee that the recipient will receive approval from the importing institution. Participant schools are subject to change. Lake Forest College is committed to complying with all CIC guidelines and regulations and reserves the right to change this policy at any time in order to comply. A list of CIC participating institutions and their eligibility guidelines can be found at www.cic.edu.

The CIC-TEP benefit is available to full-time employees, their spouses, and eligible dependent children for regular undergraduate classes. The employee (parent) must be employed at Lake Forest College, full-time, for a minimum of three (3) continuous years immediately prior to September 1st of the initial scholarship year and must also be in active full-time service at that time. Eligible students are dependents (equivalent to the IRS definition of a dependent), spouses, or full time employees. A change in the status of employment (i.e., full-time to part-time) or termination of employment will result in continuation of the scholarship through the end of the academic term in which the event occurs.

The Director of Human Resources will be responsible for processing the necessary paperwork with the Tuition Exchange member schools. Lake Forest College will accept 3 full-time, undergraduate students into this program each school year. Each member school has its own guidelines for approving imports; including the number they will accept.

Scholarships are generally awarded for four consecutive years (fall and spring semesters only), although they are not "guaranteed." Students must continue to meet the (importing) institution's standards for academic performance and personal conduct and other terms and conditions of the scholarship. The continuation of the scholarship is also dependent upon the employee's continued full time status at Lake Forest College. In addition, both schools must continue to participate in the program.

All employees who are receiving a tuition exchange scholarship must submit a recertification form each fall for the upcoming academic year.

The College does not guarantee that the recipient will receive either admission or scholarship approval from the importing institution. Additional information can be found at www.cic.edu or by contacting the Director of Human Resources.

Procedure

1. Complete the Student Application for the appropriate exchange.
2. The student must apply for admission to or be enrolled at one (or more) CIC-TEP institutions. The Tuition Exchange does not excuse the student from completing the necessary admission requirements of member institutions.
3. Return the completed Student Application along with the Employee Verification Form to the Director of Human Resources.
4. The Office of Human Resources will submit the application to the school(s) of desired attendance.
5. The school of desired attendance will notify the student applicant directly whether or not the scholarship has been awarded. The Office of Human Resources will receive notification of applicant's admission determination.
6. Reapplication (each semester, school year etc.) requirements will vary between institutions.

The CIC-TEP scholarship covers full tuition. Students are responsible for all non-tuition charges – room, board, and fees – at the institution in which they enroll (host/importing institution). Student applicants must comply with all of the host/importing institution's financial aid policies and procedures. Host/importing institutions may use other financial aid designated for tuition (such as Pell grants and some state scholarships), to offset a portion of the full tuition.

10. College Housing

(Amended September 1, 1987; September 1988; December 1989; September 1992)

- a. The College attempts to provide housing for all newly-appointed full-time members of the faculty, to make housing affordable, and to strengthen the collegiality of the community. When such housing is not available, in order to encourage newly-appointed full-time faculty to live near the College, the College provides a monthly subsidy for such individuals providing they reside within a defined geographic area; such a subsidy is provided only so long as no college housing exists or until the faculty member would otherwise no longer be eligible for College housing. Refusal of College housing negates the subsidy.
- b. When full-time members of the teaching faculty are notified of the decision to grant tenure, or in the case of appointments initially at the associate professor level or above, of the decision not to make the fourth year appointment a terminal one, they shall also be given notice to vacate College housing by the end of the contract year following that in which the above decision is made.
- c. Full-time members of the non-teaching faculty and teaching faculty not eligible for tenure are eligible for College housing, but may reside in such housing for a maximum of four years.
- d. Eligible faculty may expect to remain in College housing for a minimum of four years. If necessary to vacate under the rules above, notice will be given at the end of the third year.
- e. Certain houses and apartments may be set aside for the use of faculty and/or administrators whom the College administration, after consultation with the Faculty Personnel Policies Committee, determines should live on or near the campus because of their particular duties.

- f. A person seeking College housing or desiring a change in housing shall fill out the standard housing request form and submit it to the College Personnel Officer, who shall keep a file of applications in the order in which they are received. That file will be available for inspection by those who are applying for College housing. The College Housing Committee, consisting of a representative of the administration designated by the President, the Dean of Faculty or a representative from the staff selected by the Dean, and at least one member of the Subcommittee on Promotion and Tenure, will determine the priority of assignment when factors other than the order of request are to be taken into consideration. The College reserves the right to assign tenants to specific units on an annual basis in accordance with each year's housing requests and needs as defined by policy.
- g. Housing assignments
 - i. The College Housing Committee will assign available housing by June 1 to eligible faculty on the list. Remaining units, if any, will be held for late faculty appointments, if any, until July 1, and then assigned to those ineligible for housing irrespective of any applications that might be expected after that date;
 - ii. Eligible faculty receiving a rent subsidy will automatically be placed at the top of the housing list. If more than one individual is so listed they will be housed in the original order;
 - iii. Family size will always be considered in housing allocation and if families applying for similar housing are identical in size, order of application will be decisive;
 - iv. Neither seniority nor base salary will be a factor in the committee's decisions;
 - v. Applications will not remain in the active file after August 31. Applications for the next year are accepted on or after September 1.
- h. Whenever College housing cannot all be filled by eligible members of the faculty, the College Housing Committee will assign units to those who are technically ineligible for College housing for no longer than the current lease year. Among the deciding factors which the committee will apply in determining who should be given preference in these instances will be the total salary of the applying faculty or staff plus dependents, the size of available housing units, and the length of previous stay in College housing.
- i. Should College housing not be available after July 1 for newly hired eligible faculty, the College will provide a taxable subsidy for rental housing located in a prescribed geographic area (as of July 1, 1989, the subsidy is \$200 per month for the area defined by the Lake Forest High School District and \$160 per month for the area outside the District but bounded by Wadsworth Road, Hunt Club Road and Milburn Road on the North, Routes 45 and 83 on the West, and Lake-Cook Road on the South).
- j. The normal term of lease is from June 1 through May 31. In the event that a faculty or staff member who is renting from the College purchases housing, the lease may be shorter. Such requests should be made to the College Personnel Officer as soon as possible, but not later than thirty days prior to the desired date for terminating the lease.
- k. College housing is a privilege reserved for College faculty and staff, their immediate families and guests; at no time may rooms or units be rented to LFC students, nor are other rentals permitted except when the house is unoccupied during the summer months or during the academic year due to a leave of absence.
- l. At least once a year, a meeting will be scheduled between residents of College housing and the administration to consider topics of mutual interest.

11. Faculty-Staff Second Mortgage Policy

(Approved February 18, 2005, by the Board of Trustees, effective February 1, 2005, to replace the original Second Mortgage Policy in its entirety)

PURPOSE – To facilitate home purchases by full-time, tenured teaching faculty and by a certain number of full-time administrative staff. Funding constraints require the eligibility limits specified below. The maximum amount available for a second mortgage will depend on whether the property is located within the Primary Area or the Secondary Area. Eligible faculty or staff must apply to the President, whose approval is required.

Eligibility for administrative staff will be limited to full-time employees who are neither tenured nor tenure-track teaching faculty, and who have worked at the College for a minimum of seven consecutive years. A maximum of 12 second mortgages are available for administrative staff meeting these conditions, including any mortgages outstanding on September 1, 2004. An application must be made by May 31 for potential approval of one of these second mortgages at any time in the subsequent fiscal year. No more than two of these 12 second mortgages will be approved in a single fiscal year. An application must include a letter of support from either the applicant's department head or an officer of the College. The President will decide whether to grant or deny an application based on its comparative strength and on the availability of any of the designated 12 mortgages. An applicant denied in a given year retains the right to reapply in a succeeding year, but only if she or he has not proceeded, in the meantime, to purchase a home without benefit of a second mortgage. Once 12 second mortgages have been granted under this provision, no more will be available to administrative staff until one of the 12 has been satisfied.

Eligibility is limited, in any and all cases, to first-time home purchasers in either the Primary Area or the Secondary Area. Second mortgages are not available for repurchase or refinancing of real estate currently owned in either area, and no more than one second mortgage from the College may be approved per property or household.

The President will consider an exception to any of these eligibility requirements only in extraordinary circumstances.

AMOUNT – Not to exceed the lower of 40% of the purchase price or: (a) \$110,000 in the Primary Area bounded by Wadsworth Road, Hunt Club Road and Milburn on the North; Route 83 and Loon Lake Road on the West; and Lake-Cook Road on the South; or (b) \$55,000 in the Secondary Area, which extends 30 miles in any direction from any point on the boundary of the College's core campus as shown on maps maintained by the Vice President for Finance and Planning. Whether in the Primary Area or the Secondary Area, the combination of all mortgages on a property at all times may not exceed 90% of the purchase price and subsequent appraised value.

INTEREST RATE – No points. Except for the limited exception described under "Eligibility," above, the interest rate will be the prime rate published in the *Wall Street Journal* seven days preceding the date of closing, and adjusted every September 1 thereafter to reflect changes in the prime rate. Commitments for delivery within 30 days.

TERM – Same as the first mortgage, but must be paid off within one year after the faculty member or administrator leaves the employ of the College. Faculty or administrators who retire from the College at age 62 or older may continue to hold second mortgages under this Policy as long as the house is occupied at least 50% of the time by the mortgagor. In the event of the death of the mortgagor, the mortgage must be repaid to the College within one year.

OCCUPANCY – Must be occupied by the mortgagor. If not so occupied for one year, then the mortgage is due at the end of that year.

PAYMENTS – Through regular monthly salary deductions. No leave of absence will be approved for a faculty or staff mortgagor unless she or he first makes an arrangement, approved by the Vice President for Finance and Planning, to make monthly payments on a timely basis.

OTHER LIENS ON THE PROPERTY – Under no circumstances will the College's second mortgage assume

a lesser lien position to home equity loans or other liens on the property.

FINANCIAL STATEMENT – A proper financial statement and other required documents must be submitted in a timely manner to the Business Office as a condition of approval.

INSURANCE – At closing and annually thereafter proof of homeowners insurance which lists the College as a lienholder.

APPROVAL – The Investment Committee holds final authority to grant or deny approval, which authority has been delegated to the President.

FUNDS AVAILABLE – Unrestricted College endowment funds of up to \$3 million may be used to finance such second mortgages. In addition, the College may use for this purpose funds totaling no more than \$2 million made available through a line of credit from a commercial bank, on terms approved by the Board.

REVIEW OBLIGATION – This Policy is subject to a review after five years, or when authorized funding is expended, or whenever the President deems it advisable in the College's best interests.

EFFECTIVE DATE – The effective date of this Policy is February 1, 2005. It supersedes and replaces any earlier policy and shall be the only Second Mortgage Policy of the College.

12. Employer-Assisted Housing (EAH) Program

Lake Forest College has made a major commitment to assist its employees invest in housing by participating in an **Employer-Assisted Housing (EAH) Program**. The program will benefit employees who wish to purchase a home in **Illinois** within close proximity of the College. To be eligible, homes purchased must be within 15 miles of the College.

The Lake Forest College Employer-Assisted Housing Program supports and encourages homeownership by providing eligible employees a \$5,000 forgivable loan for the purchase of a new or existing home; single-family, two-flat or condominium. Employees must be purchasing a home; refinancing is not a qualified purchase.

In addition to providing direct financial support, the College has linked up with **Affordable Housing Corporation of Lake County** and the Metropolitan Planning Council (MPC) to provide employees access to comprehensive confidential homeownership counseling, professional referral assistance for financial and legal matters, as well as post-purchase support.

Eligibility

A Lake Forest College employee must meet the following criteria:

- a) Is a full-time 12-month staff member or a full-time member of the teaching faculty.
- b) Has completed **one year** of satisfactory service with the College.
- c) Is a first-time home buyer.
- d) Has household income that falls within the calendar year Chicago Area Income Guidelines set annually by the Illinois Housing Development Authority (IHDA) to qualify for the state tax credit.
- e) Is purchasing a home within 15 miles of the College.
- f) Can qualify for mortgage financing from a conventional lender or mortgage company with an interest rate no more than 1% over the published Fannie Mae 60-day rate at the time of loan commitment.
- g) Is able and willing to contribute at least \$1,000 from their own savings.

- h) Demonstrates commitment to working with the EAH Program toward meeting pertinent regulations stipulated by participating lenders, including but not limited to credit counseling and home buying education.
- i) Faculty members participating in the College's second mortgage program may also take advantage of this assistance if their household income falls within the limits set by IHDA to be eligible for the match.

Enrollment

Enrollment is open to all employees who meet the eligibility requirements. Eligibility applications are available through Human Resources. Once this form has been completed, it should be returned to Human Resources where it will be reviewed to determine if the employee meets the EAH Program's Eligibility Requirements. If the eligibility requirements are met, Human Resources will send an **Employee Referral Form** to Affordable Housing Corporation of Lake County. This document states that the employee is enrolled in the program and ready to start receiving homebuyer education from Affordable Housing Corporation of Lake County.

The EAH Program is limited to no more than five loans per fiscal year. Affordable Housing Corporation of Lake County will provide counseling to all eligible employees referred by the College. Applications are processed on a first-come, first-served basis. Preference will be given based on criteria established by the College and will consider factors such as first-time homebuyer, the type of position held at the College and the length of the employee's employment with the College. The down payment assistance will be reserved for an employee once the employee has begun counseling and obtained pre-approval for a mortgage.

Program Description

In addition to having access to the free homebuyer education, employees also will benefit from the individualized and confidential services of Affordable Housing Corporation of Lake County, who will work with eligible employees to develop a housing access plan. This plan is based on the employee's individual goals and needs toward the goal of becoming a homeowner. Affordable Housing Corporation of Lake County will further provide homeownership education and credit counseling to help the employee find a home suitable for his or her needs and to qualify for a loan. Toward that end, Affordable Housing Corporation of Lake County will serve as a resource to employees as they search for real estate agents, mortgage lenders, bankers and other service providers. Once the employee has obtained pre-approval for mortgage financing, Affordable Housing Corporation of Lake County will notify the College to reserve the funds. The College will then verify if the employee still fulfills the EAH Program eligibility requirements to participate in the program and confirm with Affordable Housing Corporation of Lake County that down payment assistance is available for this employee.

Down payment and closing costs assistance from the EAH Program is contingent upon the employee's fulfillment of eligibility requirements, including qualification for a mortgage loan and willingness to contribute \$1,000. If the EAH program financial assistance is approved, then the employee will complete a **Forgivable Loan Agreement** and a **Promissory Note** with Affordable Housing Corporation of Lake County pursuant to the EAH Program before EAH Program funds can be issued. EAH Program funds will be made available to the employee at the closing of the home acquisition. An employee will not be able to take cash away from the closing.

Some employees may be eligible for additional financial assistance through the State of Illinois and through Lake County. The Affordable Housing Corporation of Lake County will evaluate applicants for eligibility and will arrange for assistance at closing. The additional assistance will go toward down payment/closing costs and can be recaptured by the state if the buyer does not 1) remain in the home for five years, or 2) maintain the home as principal residence.

Program Sequence

1. The employee fills out an **Eligibility Application** and returns it to Human Resources.

2. If Eligibility Requirements are met, Human Resources sends an **Employee Referral Form** to Affordable Housing Corporation of Lake County.
3. Affordable Housing Corporation of Lake County provides homebuyer education. Employee works to repair credit, save for down payment, etc., as appropriate.
4. Employee seeks pre-approval for financing, looks for a house.
5. Employee signs a contract to purchase a home.
6. Affordable Housing Corporation of Lake County sends the College a **Release of Funds Authorization** once an employee is ready to purchase a home.
7. The College confirms that employee still meets Eligibility Requirements.
8. A post-occupancy plan is set in place as a protection against future financial difficulties.
9. Employee signs a **Loan Agreement** and a **Promissory Note** with Affordable Housing Corporation of Lake County.
10. The College issues a check to help cover down payment and closing costs. Human Resources will give the employee an EAH Program loan schedule.
11. Closing.
12. Employee becomes a homeowner.
13. Affordable Housing Corporation of Lake County is available to the employee for post-purchase support.

If approved for a loan, an employee does not have to repay the loan, provided that for five years from the date of purchase the employee:

1. Remains employed by the College,
2. Maintains ownership interest in the purchased property, and
3. Continuously occupies the purchased property as the employee's principal residence.

During the five years following the employee's date of purchase, one/sixtieth (1/60) of the loan amount will be forgiven each month. The loan, whose original principal will be no more than \$5,000, will have a **Recapture Period** of five years, and the amount of the repayment shall be the amount of the loan reduced by one/sixtieth (1/60) for each full month of occupancy of the residence by the employee from the date of closing.

If the employee fulfills the requirements noted above for five years, there is no obligation to pay back any money to the College. However, in the event that an employee does not satisfy these requirements, the pro-rated portion of the remainder of the loan will have to be returned to the College.

Once an employee is enrolled, Affordable Housing Corporation of Lake County will attempt to answer any questions an employee has relating to housing stability, the EAH loan, or any other homeownership concerns.

It is important to note that acceptance of the College's EAH loan does not guarantee continuous employment.

13. Leisure Use of College Facilities

Members of the faculty, their spouses/partners and children are encouraged to use the library and its facilities, the Sports and Recreation Center Lobby and Cafe, and Commonplace for fast foods and meeting students. Additionally, members of the faculty, their spouses/partners and children (23 years of age and under) are encouraged to use the amenities the Sports and Recreation Center has to offer; however, all patrons of the Sports and Recreation Center must follow operating rules and regulations. Faculty/staff are also allowed 20 guest passes per year for family and friends. To register, guests must be accompanied by their host, have a valid photo ID, and sign a liability waiver upon entry. A parent/guardian signature is required for guests under the age of 18. All patrons under the age of 16 are not permitted on any cardiovascular or weight room equipment.

In addition, most activities of the College are available to faculty and their immediate families without charge. These include athletic events, exercise classes, lectures, discussions, concerts, films, and dramatic presentations.

SECTION II

FACULTY ACADEMIC AND ADMINISTRATIVE POLICIES

A. FACULTY ACADEMIC POLICIES

1. Faculty Responsibilities

(Amended September 1, 1987)

The appointment year of the teaching faculty extends from September 1 to the following August 31; teaching responsibilities, in general, extend from late August through commencement. Faculty are expected to participate in the first scheduled events each fall and at commencement activities each spring unless excused by the Dean of the Faculty.

The Bylaws of Lake Forest College contain the following statement of faculty responsibility:

It shall be the responsibility of each member of the faculty to teach those courses assigned to him or her as effectively as possible, giving the imagination wide range in order to find the techniques of instruction best suited to the particular course and engaging in reading and study designed to improve the quality of the teaching and to increase the instructor's own knowledge. A member of the faculty shall not appoint anyone to perform his or her duties in the classroom without the approval, in each case, of the President or the Dean of the Faculty.

2. Teaching Loads and Faculty Time

(The Faculty Personnel Policies Committee drew up the following guidelines on February 8, 1979; policy recommended at Faculty Meeting of March 6, 1979, amended by FPPC, February 5, 2013)

a. Course Load

Each faculty member is expected to teach six courses per year in addition to directing a reasonable number of independent studies. In cases involving laboratory work, the equivalent course credit is calculated by taking one fourth of the total number of class and laboratory hours per week.

If a course fails to attract sufficient enrollment, it may be subject to cancellation. Institutional guidelines for cancelling low enrollment courses are maintained by the Office of the Dean of the Faculty and made available online.

Affirming the importance of teaching at Lake Forest, the faculty authorizes departments to offer a limited number of team-taught undergraduate courses, with full teaching credit given to two instructors, to be monitored by the Academic Resources and Review Committee through its process of allocating resources.

b. Additional Faculty Responsibilities

Faculty members have many responsibilities beyond spending time in the classroom and laboratory. Full-time faculty members are expected to use the time not scheduled for classes to prepare for their classes; meet with and counsel students; participate in the life of the College through its committee system and its co-curricular activities; study and do research; be available to meet with colleagues to discuss issues of common concern and to foster a sense of intellectual community at the College. It is vital to the special mission of the College that the faculty be deeply involved in the affairs of the institution, and that they be readily available to students for help, advice, and encouragement.

c. Five-Course Policy for Faculty with Tenure

(Amended at Faculty Meeting, February 01, 2012)

Outstanding teaching is of paramount importance at Lake Forest College. Our tenured faculty set a high standard of excellence in teaching, and their regular presence in campus classrooms and labs greatly benefits our students. As a result, the Five-Course Policy must carefully balance this important student benefit with the benefit to tenured faculty members of a one-course reduction in their teaching load. With this balance in mind, the Five-Course Policy is intended to be limited in application. It is available to tenured faculty members who, for a variety of reasons, may need a temporary one-course reduction in their teaching load, and the College does not contemplate more than a small number of faculty making use of the policy in any given year.

1. Tenured teaching faculty members at Lake Forest College may request to be considered for the "Five-Course Policy" (FCP). Under this policy a faculty member may propose to teach five courses in a given academic year, subject to approval by the Dean of the Faculty. The FCP is intended to provide an opportunity for relief to faculty members who do not have the option of a sabbatical or other release from their teaching load in a given year.

2. Under the FCP, the faculty member will be paid 90% of the faculty member's base salary, with payment spread equally over twelve monthly installments. The base salary represents salary compensation for a faculty member's three areas of responsibility (a six-course-per-year teaching load, scholarship and research, and service to the college).

- a) The base salary amount will be used for all official reporting to outside constituencies, such as the ACM.
- b) The base salary will be specified in the appointment letter for each faculty member who adopts the FCP with the salary reduction made explicit.
- c) The College's contributions to the retirement plan and for FICA taxes will be based on actual salary paid. The insurance benefits (life, health and LTD) and premiums will be calculated on the base salary as is currently the practice with sabbaticals.

3. Faculty members who wish to apply for the FCP will need to work collaboratively with their department chairs to ensure that their proposal will not negatively affect the department's curriculum.

- a) The FCP will not affect departmental allocation. Faculty members applying for the FCP are expected to work with chairs to find a suitable replacement for their sixth course.
- b) The FCP is not intended to be combined with other leaves or course releases in a given academic year, with the exception of the course release granted to the department chair.
- c) Normally, only one faculty member of a given department may be approved for the FCP per year. In prioritizing requests, chairs may wish to consider factors such as how recently and how frequently a faculty member has made use of the policy since receiving tenure.

4. Use of the FCP is determined on an annual basis, for the subsequent academic year.

- a) The FCP is not intended to be used for multi-year agreements. Faculty members may reapply in consecutive years, with approval determined in all cases by the curricular impact and the use of the policy within the department.
- b) Requests to use the FCP must be made to department chairs by Oct. 1 of the academic year prior to its intended use. Chairs must submit the application and the chair's written recommendation to the Dean of Faculty and Business Office by November 1. Faculty members will be notified of approval of FCP requests as soon as possible, but not later than March 1.

5. An FCP year counts as a full year of service towards sabbatical and promotion.

6. The policy may be suspended by the President at any time for any reason.

d. Grant-supported Course Releases

1. Faculty members who wish to submit external grant proposals that include support for course releases should consult with their department chairs in order to assess the curricular impact of the proposed course releases.
2. Before submission, any grant proposal that includes a request for external support for one or more course releases must be approved by the Dean of Faculty.

3. Teacher Development

(Approved at Faculty Meeting, March 5, 1997)

Because our faculty takes pride in its commitment to teaching, a variety of resources is available:

- The faculty mentor program;
- College-wide and departmental workshops;
- Off-campus programs;
- Informal conversations with colleagues;
- The Office of Faculty Development and Center for Academic Success

Faculty are especially encouraged to exchange occasional, informal classroom visits with colleagues within and outside their departments.

4. Administrative Duties

Depending on the amount of administrative responsibility, a department chairperson or director of an interdisciplinary program may, upon consultation with the Dean, reduce his or her teaching load by up to one course per year. (FPPC, March 2 and 16, 1979)

5. Committee Service

(Amended by the Faculty February 4, 1998.)

Full-time faculty are expected to serve in a variety of ways: on standing and ad hoc committees, as faculty officers, as representatives to organizations, etc. Responsibilities will vary in the amount of time and work required, but an effort will be made to equalize this service over a period of time.

6. Student Advising

Each faculty member is expected to serve as academic advisor to an as nearly proportionate share of the student body as is possible. A faculty member whose official list of advisees exceeds a proportionate share by more than one-third will be considered to be carrying an overload of advisees, and some adjustment will be made either by reducing the advising load in a subsequent year or by a reduction in the normal load in some other kind of activity.

Academic Advising Expectations

Academic Advising can intersect with many different aspects of a student's experience at the College, depending on the circumstances of the advisor and student. Advisors are expected to assist students in

- fulfilling the requirements of the College's general education curriculum and the major and minor programs of study
- finding an academic path consistent with the student's goals, interests, and aptitudes
- solving academic-related problems
- locating appropriate support services
- pursuing other activities to support their development

Advisors are expected to make themselves available to meet or otherwise communicate with advisees and respond to them within a reasonable length of time.

7. Research

Research and other scholarly work are expected to be a normal part of each faculty member's work load.

8. Invention and Patent Policy

The College faculty and Trustees have approved a College Invention and Patent Policy which requires all faculty, staff, and students who participate either alone or in association with others in inventions or discoveries to disclose promptly such inventions or discoveries to the President provided that College time, facilities, or materials were used in connection therewith. In addition, the College has contracted with Research Corporation Technologies for the marketing of such inventions as the College desires to assign to it. Any faculty member who believes he/she or a student might be affected should request a full statement of the College Patent Policy from the Office of the Dean of the Faculty.

9. Misconduct in Scholarship

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(Following approved at Faculty Meeting February 10, 1993; amended October 1996 and November 2013)

a. Preamble and Summary

Misconduct in scholarship is historically a rare occurrence. However, should an instance arise in which misconduct by a member of the Lake Forest College community is alleged to have occurred, the College must investigate promptly, while affording the maximum protection both to the complainant and to the accused or respondent. That is the intent of this policy.

This policy applies to all faculty and staff at the College engaged in scholarship and research, including federally-supported research or research training. The policy also applies to any person paid by or affiliated with the College, including visiting faculty, guest researchers, or collaborators. Students who are accused of scholarly misconduct are subject only to "Academic Honesty Rules and Procedures," described here in section 10. G. below and in the student handbook, except in any case of misconduct in scholarship or research supported by outside agencies, such as the Department of Health and Human Services (DHHS) which require a specific policy such as is described in this document. These students are subject to the policy and procedures stated here.

This policy and the associated procedures will be followed when an allegation of possible scholarly or research misconduct in research is reported to a College official. The College will investigate promptly, while affording maximum protection to the complainant and to the respondent.

Definitions

"Allegation" means any written or oral statement or other indication of possible research misconduct presented to a College official.

"Complainant" means a person who makes an allegation of research misconduct.

“Good faith” allegation means an allegation made with the honest belief that research misconduct may have occurred.

“Inquiry” means gathering information and initial fact gathering to determine whether an allegation or apparent instance of research misconduct warrants an investigation.

“Investigation” means the formal examination of all relevant facts to determine if misconduct has occurred and, if so, to determine the person who is responsible and the seriousness of the misconduct.

Misconduct in scholarship or research means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted as appropriate within the scholarly community for proposing, conducting, or reporting on scholarship. Misconduct does not include honest error or honest differences in interpretations or judgments of data, nor should it inhibit the spirit of free enquiry or risk-taking that is sometimes a feature of good research.

“Resolution” means determining whether or not research misconduct has been committed.

“Respondent” means the person(s) against whom an allegation of research misconduct is directed or the person whose actions are the subject of the inquiry or investigation.

The Dean of the Faculty (hereinafter "the Dean") has responsibility for informing the faculty, staff, and those students falling under this policy, of the College's policy with regard to misconduct in scholarship, and for interpreting this policy. The Dean may delegate the responsibility for informing students about this policy to the faculty overseeing the student research.

The procedure to be followed at Lake Forest College has three stages: **inquiry, investigation, and resolution**. Those responsible for conducting each phase of the procedure should bear in mind the following important principles:

- The College must vigorously pursue and resolve any charges of misconduct in scholarship or research.
- All parties must be treated with justice and fairness, bearing in mind the vulnerabilities of their positions and the sensitive nature of academic reputations.
- Confidentiality must be maintained to the maximum practical extent.
- Conflict of interest, real and potential, must be minimized.
- All stages of the procedure must be fully documented.
- All parties are responsible for acting in such a way as to avoid unnecessary damage to the general enterprise of academic scholarship and research at the College. Nevertheless, the College is committed to informing the appropriate external funding agencies of its actions when the work in question is supported by such agencies. If it is found that misleading data or information have been published, the College is responsible for setting the public record straight, for example, by informing the editors of scholarly or scientific journals.

b. Inquiry

The purpose of the inquiry is to determine, with minimum publicity and maximum confidentiality, whether there exists a sufficiently serious problem to warrant a formal investigation. It is crucial at this stage to separate substantive issues from disagreements between colleagues (at Lake Forest College or elsewhere) that may be resolved without a formal investigation.

i. Initiating the inquiry

Any allegation of misconduct in scholarship, arising from inside or outside the College,

should be referred directly to the Dean. The Dean may also initiate an inquiry without receipt of a specific allegation if evidence of suspicious academic conduct has come to the Dean's attention.

When a complainant comes forth, the Dean's first job is to provide a confidential assessment. If, in the Dean's judgment, the issue involved does not amount to misconduct, satisfactory resolution through means other than this policy should be sought. However, if in the Dean's judgment there is an indication that misconduct has occurred, the Dean must pursue the case even in the absence of a formal allegation.

The Dean should also counsel those involved that, should it be determined at either the inquiry or the investigation stage that the allegations were both false and malicious, sanctions may be brought to bear against the complainant.

ii. Inquiry Process

The Dean is responsible for conducting the inquiry. The Dean may call upon one or two senior persons in the field for help where specific technical expertise is required, but this need should be carefully weighed against the importance of confidentiality.

The Dean should notify the President as soon as possible, and may call upon College legal counsel at this stage. Every effort should be made to make personal legal counsel unnecessary for either complainant or respondent at this and all other stages, but all parties should recognize that the College counsel always acts on behalf of the institution, not one or the other parties.

An inquiry is formally begun when the Dean notifies the respondent in writing of the charges and process to follow. This and all other documents are to be preserved for seven years.

The nature of the inquiry will depend on the details of the case, and should be worked out by the Dean in consultation with the complainant and respondent, with any colleague the Dean consults for assistance, and with College legal counsel. At this stage, every effort should be made to keep open the possibility of resolving the issue without damage to the position or reputation of either the complainant or the respondent. However, the Dean's primary responsibility is not to the individuals but to the integrity of academic scholarship and the College. If misconduct has occurred, it must not be covered up.

iii. Findings of the Inquiry

The inquiry should be completed, and a written record of findings should be prepared, within 60 calendar days of its initiation. If the inquiry takes longer than 60 days, a report should be prepared citing progress to date and the reasons for the delay. The final report and any progress reports will be provided to the respondent and other individuals involved in the case.

The inquiry is complete when a judgment is made about whether a formal investigation is warranted. An investigation is warranted if a reasonable possibility of misconduct exists. Written documentation summarizing the process and the conclusion of the inquiry must be preserved in the Dean's Office for seven years. The Dean must inform the complainant whether the allegations will be subject to a formal investigation. If a formal investigation is warranted, any external agency sponsoring the research and other appropriate offices, e.g. the Office of Research Integrity (ORI) in the instance of DHHS-sponsored research, must be notified at this point.

c. Formal Investigation

An investigation must be initiated within 30 calendar days after an inquiry determines that an

investigation is warranted. In the case of DHHS-sponsored research, the Dean must provide the ORI with the written finding and a copy of the inquiry report within 30 calendar days after determining that an investigation is warranted. The purpose of the investigation is to make a formal determination as to whether misconduct has occurred.

If an investigation is initiated, the Dean should decide whether interim administrative action is required to protect the interests of research subjects, students, colleagues, the funding agency, or the College while the investigation proceeds.

i. The Investigation Committee

The Dean shall appoint an investigation committee of no fewer than three persons, one of whom the Dean designates as chairperson. The principal criteria for membership shall be fairness and wisdom, technical competence in the field in question, and avoidance of conflict of interest. Membership of the committee need not be restricted to the faculty of the College in case outside expertise is judged to be necessary. The respondent and complainant should be given an opportunity to comment, in writing, on the suitability of proposed members before the membership is finalized. The committee should be provided with funds and administrative support if needed to enable it to perform its task. The Dean should write a formal charge to the committee, informing it of the details of its task.

ii. The Investigation Process

Once the investigation committee is formed, it should undertake to inform the respondent of all allegations so that a response may be prepared. All parties, including the respondent, are expected to cooperate fully with the investigating committee. The Committee should call upon the help of College legal counsel in working out the procedure to be followed in conducting the investigation. The complainant and respondent should be fully informed of the procedure chosen.

Confidentiality should be maintained, except where limited information must be revealed to persons assisting the committee in order to allow a conclusive determination of the facts. Nevertheless, every attempt should be made to protect the reputations of all parties involved. A finding of misconduct must be by agreement of a majority of the full committee.

The investigation should be completed, and a full report prepared and submitted to the Dean, within 120 days of its initiation. (If this deadline cannot be met, an interim report of the reasons for delay and progress to date should be prepared.) A draft of any interim report and of the final committee report should be submitted to both complainant and respondent for comment before the report becomes final.

The respondent must be given the opportunity for a formal hearing before the investigation committee. College legal counsel should be called upon to assist in working out the procedure to be followed in conducting such a hearing.

d. Resolution

i. No Finding of Misconduct

Upon determination of a *finding of no misconduct*, any relevant federal or other entity that sponsors the research under investigation must be promptly notified. ORI will be notified in cases that involve research sponsored by DHHS. The Dean should decide what steps need to be taken to clear the record and protect the reputations of all parties involved in the case.

If the allegations are found to have been maliciously motivated, the Dean may wish to

recommend to the President appropriate disciplinary action. If the allegations are found to have been made in good faith, precautions should be taken if necessary to prevent retaliatory actions.

ii. Finding of Misconduct

Upon determination of a *finding of misconduct*, any relevant federal or other entity that sponsors the research under investigation must be promptly notified. ORI will be notified in cases that involve research sponsored by DHHS. In the case of faculty for whom a federal grant award is pending, the College must notify the relevant granting agencies in writing within 10 calendar days of the determination of a finding of misconduct or of being notified of a pending federal grant award, whichever is the sooner. The Dean should forward the committee report to the President with a recommendation of sanctions and other action to be taken. The President should review the full record of the inquiry and investigation.

Possible sanctions for faculty and staff include dismissal from employment by the College. Procedures for faculty dismissal for cause are found in the Faculty Handbook, Section I.C.2.b. and c. Sanctions against staff will be handled according to policies in the Staff Handbook.

For students, the sanctions recommended to the President might include suspension or termination of the privilege of being employed to do research, suspension or termination of the privilege of doing research as independent study for credit, failure in the research project for which the student is enrolled for credit, suspension from the College, or dismissal from the College.

In addition to notifying the relevant regulatory and sponsoring authorities and agencies, the College will also notify any other parties directly and professionally affected by the misconduct, providing such parties with any required documentation. Such other parties might include the complainant; co-authors, co-investigators, collaborators; and editors of journals that have published fabricated, falsified, or plagiarized results.

e. Record Retention and Special Reporting

The full record of the investigation, including all reports, committee meeting and hearing proceedings, and records of testimony must be retained in a secure manner by the College for seven years following the completion of the proceeding or the completion of any DHHS or other federal agency proceeding involving the research misconduct allegation, whichever is later. The investigative record should not be archived in the personnel file of the respondent. Authorized federal agency personnel will be given access to the investigative records upon request.

ORI will be notified immediately if:

- i. the health or safety of the public is at risk, including an immediate need to protect human or animal subjects;
- ii. DHHS resources or interests are threatened;
- iii. research activities should be suspended;
- iv. there is reasonable indication of possible violations of civil or criminal law;
- v. federal action is required to protect the interests of those involved in the research misconduct proceeding;
- vi. the College believes the research misconduct proceeding may be made public prematurely so that DHHS may take appropriate steps to safeguard evidence and protect the rights of those involved;
 - vii. the research community or public should be informed.
 - viii.

10. Teaching Regulations

a. Class Syllabi

(Faculty meeting, October 4, 2018)

Every faculty member is required to prepare a syllabus for each course taught and to provide the syllabus to students enrolled in the course on or before the first scheduled class meeting. Syllabi must be made available electronically to students. The syllabus must include the following elements:

- Course number and title
- Course description
- Instructor name, office location, contact information, office hours
- Student learning outcomes
- Description of instructional time and expectations for out-of-class work within the context of a Lake Forest credit
- Course requirements (assignments, quizzes, exams, presentations, etc.)
- Grading policy
- Attendance policy
- Academic honesty policy

Additional requirements:

- Syllabi for multiple sections of the same course should demonstrate common learning outcomes
- Syllabi for courses taught both as semester-length courses and in a compressed format, such as summer courses, should demonstrate consistent expectations and learning outcomes across the different formats
- Courses offered at several levels, such as undergraduate/graduate courses or 200/400 level courses, must distinguish separate learning outcomes that are appropriate for each level of the course.
- Non-traditional courses (e.g. tutorials, internships) must include all required elements in the proposal or agreement if a syllabus is not provided. In lieu of a formal course description, the specific content of the course should be indicated.

A copy of each syllabus is to be submitted to the College Archivist before the end of the add/drop period.

In order to fulfill Federal requirements related to the definition of a credit hour, the Higher Learning Commission has established credit hour policies that mandate that the above information be included in syllabi and that the institution maintain a copy of each course syllabus for review.

Faculty members are not required to follow a uniform syllabus template. However, suggested language for the required elements as well as recommendations for additional components for the syllabus are provided in a template through the Office of Faculty Development and Center for Academic Success.

b. Class Meetings

(Faculty Personnel Policies Committee, February 21, 1977)

It is expected that except for the instructor's illness, professional activity, or personal emergency, classes will meet regularly at the scheduled time. Anticipated absences of a faculty member from the class are to be reported to the department chairperson or the Dean of the Faculty if the chairperson cannot be reached.

In any case of absence of a faculty member from a class because of professional activity, it is College policy that adequate arrangements be made so that actual class time not be lost.

Should professional activity require a faculty member to be away from campus for a week or

more while classes are in session, the Dean of the Faculty must be fully apprised of the timing and nature of the activity beforehand.

Promptness in beginning and dismissing classes is important in maintaining the schedule.

c. Class Attendance

(Faculty Meetings of April 3, 1979, December 4, 1996)

Because classroom activities—lectures, discussions, questions and answers—assist students in the learning experience, it is normally expected that students will attend class sessions. Each member of the faculty has the prerogative of establishing specific attendance regulations which, in the instructor's opinions, are best suited to the course. To be in force these regulations must be given in writing to the members of the class at the beginning of the course. Instructors are at liberty, however, to waive their stated attendance requirements at their discretion, in individual cases, taking care to be consistent and fair. It is recommended that faculty encourage students to ask permission in advance of intended absences.

Students who miss class meetings because of participation in a "College-approved event" —so designated by the Dean of the Faculty—are officially excused but will be expected to make up any work missed and will be allowed to do so in a manner approved by the faculty member whose class is missed. If, in the judgment of the instructor, making up the work missed is not feasible, the student may not be penalized for the absence from the class.

No required classes are held on reading days.

d. Examinations

(Also see Statement on Academic Honesty)

No test may be given prior to its originally designated time. However, faculty may arrange for students with documented disabilities to begin an exam early if the student a) qualifies for extended time on exams and uses proctoring services, and b) has a subsequent class or exam that would begin during the usual extended time. In such cases, students may be required to remain with the proctor until the beginning of the scheduled exam for the class. As an alternative, the faculty member may choose to offer an exam at a later time. The Dean of the Faculty may grant other exceptions to this rule at the request of the faculty member."

Faculty will be expected to give a final examination in each course unless the nature of the course dictates otherwise. A faculty member who decides that a final examination will not be appropriate to a particular course should notify the head of the department well in advance of the examination period and give the reasons for the action. If a final term paper is to take the place of a final examination in a course, the students are entitled to have until the end of the scheduled time for the examination to submit their term papers. (Amended, Faculty Meeting, March 4, 1980)

As part of the above-mentioned Statement on Academic Honesty, the faculty passed the following regulation regarding final examinations: "An instructor who returns a final examination to students must send a copy of the examination to the library, which must retain it for three years and make it accessible to students.

On May 2, 1967, the faculty adopted the following resolution relative to the keeping of examinations and term papers by faculty:

Examination papers, particularly final examination papers and term papers, if not returned immediately to students, are to be kept at least for one term before they are destroyed so that they will be available for examination by students. It is understood that papers from the spring term will be kept through the fall term. Faculty members leaving the College are asked to leave their record books with the department chairperson, or if they do not wish to do so, to accept the obligation to keep these record books for at least a year in order that

they will be available for checking records if this is necessary.

e. Student Papers and Writing

On May 15, 1962, the faculty adopted a resolution "strongly recommending that each student be required to write at least two short papers in each course throughout his or her college career, unless the course is not adapted to such a requirement," and "pointed out that such papers should be evaluated for content *and* form and that revisions should be required" where appropriate. It is clear that this resolution considers all faculty responsible for encouraging and maintaining good standards of written expression in all areas of the curriculum, and that careful attention to the quality of students' writing is indeed an integral part of faculty teaching loads.

A Pocket Style Manual, by Diana Hacker, has been chosen as the style guide for the College as a whole and is recommended for use wherever formal term papers are assigned. However, the College *Writing Manual* should prove adequate as a style guide for short papers, even including those requiring some research in secondary sources. Individual faculty and departments are at liberty to establish style criteria of their own, provided these approximate the accepted standards of the appropriate academic or professional discipline.

N.B. The College's Writing Center, established in 1975, expanded and relocated in 1977, provides assistance and instruction, for non-credit or credit, to students who want to improve their writing. Faculty are urged to refer students whom they consider in need of extra work in writing, to the Center's Director. They are also urged to talk to the Director, the staff of the Center, and the members of the Writing Programs Committee, and to attend periodic workshops, to enable them to deal with student writing as effectively as possible.

f. Student Assistants

(Approved by the Faculty February 18, 1964; amended April 1, 1992)

In the use of student assistants, the obligation for determining the requirements of a course rests with the instructor, likewise it is the instructor's exclusive responsibility to arrive at the student's final grade.

Instructors are expected to exercise care in selecting student assistants. They may permit assistants to evaluate homework problems or exercises which are "objective" – that is, where grading is essentially mechanical and does not require substantial professional expertise of the instructor. Instructors are expected nonetheless to supervise such grading to insure that it is done properly.

g. Academic Honesty

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(The faculty adopted the following Statement on Academic Honesty on November 2, 1983; amended February 12, 1985; amended March 7, 2007)

Lake Forest College is committed to the highest standards of academic honesty. These standards reflect the core values of our institution and, thus, are reflected in our mission statement. The standards include integrity, respect, conscientiousness, self-discipline, and civility. Such standards are central to the process of intellectual inquiry, the development of individual character, and the maintenance of a civilized community. The integrity of academic life depends on cooperation among students, faculty, and administrators.

Academic dishonesty is any act in which a scholar fails to properly identify the sources of material used in his or her work.

Examples of Academic Dishonesty include, but are not limited to:

- Procuring in an unauthorized manner the questions or answers of any examination or employing unauthorized aids while taking an examination.
- Representing any work product as one's own that was done in whole or in part by another person or in collaboration with another person without attribution or proper citation.
- Engaging in any form of conduct or action that violates the letter or spirit of the College's Academic Honesty Policy, including but not limited to: copying, closely paraphrasing, or using another work without explicit acknowledgement of author and source.
- Submitting the same paper for credit in more than one course without the written consent of all instructors involved.
- Falsifying data, citations, or other information for academic work of any sort.
- Misrepresenting work done, including submitting a report on a performance or exhibit one did not attend.
- Aiding another scholar in the violation of the Academic Honesty Policy.

Responsibilities of Students

Every student is to uphold the ideals of academic honesty and integrity. Other responsibilities of students include:

1. Students are expected to know Lake Forest College's Academic Honesty Policy. Ignorance of the policy shall not be considered an excuse or a mitigating factor in Academic Honesty Judicial Board proceedings.
2. Students should consult faculty or staff members when they are unsure whether their actions would constitute a violation of Academic Honesty Policy.
3. In addition to the standards regarding academic honesty given in the College Catalog, students are to heed all expectations regarding academic honesty as stated by their course instructors.
4. Students are expected to know what constitutes plagiarism. A handout explaining plagiarism is available at the Writing Center, the Office of Faculty Development and Center for Academic Success, and the reference desk of the library.
5. Student members of the Academic Honesty Judicial Board shall maintain the confidentiality of students accused of violating Academic Honesty Policy.

Responsibilities of Faculty

Every faculty member is to uphold the ideals of academic honesty and integrity. Other responsibilities of faculty include:

1. Every faculty member is to be acquainted with Lake Forest College's Academic Honesty Policy as outlined in the student and faculty handbooks.
2. Faculty are to maintain the confidentiality of students accused of violating Academic Honesty Policy, consistent with College policy and applicable governmental regulations.
3. Faculty and staff are to exercise caution in the preparation, duplication, and security of examinations.
4. No test may be given prior to its originally designated time. However, faculty may arrange for students with documented disabilities to begin an exam early if the student a) qualifies for extended time on exams and uses proctoring services, and b) has a subsequent class or exam that would begin during the usual extended time. In such cases, students may be required to

remain with the proctor until the beginning of the scheduled exam for the class. As an alternative, the faculty member may choose to offer an exam at a later time. The Dean of the Faculty may grant other exceptions to this rule at the request of the faculty member.

5. Faculty are to take reasonable steps consistent with the physical conditions of the classroom to reduce the possibility of cheating on examinations.
6. Classroom tests are to be proctored with diligence.
7. An instructor who returns a final examination to students is to send a copy of the examination to the library, which will retain it for three years and make it accessible to students.

Academic Honesty Judicial Board

Composition: The Academic Honesty Judicial Board (AHJB) is composed of a Chair and a pool of six-eight faculty members and at least eight students. The Chair is a faculty member selected cooperatively by the Dean of the Faculty and the Dean of Students. The pool of faculty members is appointed by the Faculty Personnel and Policies Committee. The faculty members should represent diverse divisions. The student members are selected using the following process:

- The Dean of Students solicits nominations from students, faculty and staff during the Spring term of each academic year (to serve during the subsequent academic year). Nominations must include a brief description of the nominee's qualifications, and be submitted to the Dean of Students by the last day of classes of the Spring term.
- Nominations are vetted by the Office of Student Affairs. Nominees may not have violated the College's Academic Honesty Policy nor been found responsible for any student conduct policy violation. The Dean of Students may make exceptions in special cases.
- Nominees whose applications pass the vetting process are invited to submit a statement indicating their interest and qualifications.
- The Dean of Students and the Dean of the Faculty review applications and determine which students will join the AHJB beginning in the Fall of the next academic year. There is no maximum size to the pool – all students deemed qualified may be included. The Dean of the Faculty informs students of their addition to the AHJB over the summer.

Procedures: A faculty member may bring a charge of academic dishonesty against a student if, in his or her judgment, the student has violated the Academic Honesty Policy. The faculty member shall inform the student of the allegation in writing along with a recommended sanction. Faculty are encouraged to consult with the AHJB Chair regarding appropriate sanctions. The faculty member must allow an accused student up to five business days to consider the allegation and submit a statement admitting or denying the allegation, and agreeing or disagreeing with the recommended sanction.

If the faculty member is unable to contact the student despite making a good faith effort to do so, he or she should submit a formal charge and any other appropriate documentation to the AHJB Chair. In this case, the Chair informs the student of the formal charge and instructs the student how to proceed.

If an accused student admits to violating the Academic Honesty Policy and agrees with the faculty member's recommended sanction:

- The faculty member and student submit their respective statements to the AHJB Chair.
- For a first offense, the AHJB simply records the violation and sanction, notifying all appropriate parties (see "sanctions" below).
- For second and subsequent offenses, the AHJB meets to determine the sanction. The faculty member and student are invited to address the AHJB before sanctioning.

If an accused student denies violating the Academic Honesty Policy or disagrees with the faculty member's recommended sanction, the AHJB hears the case according to the following procedure:

- The faculty member and student each submit a statement and evidence to the AHJB Chair.
- The Chair sets a date for the hearing, normally within one week of receiving the student's statement, and notifies the student by email and by registered campus mail or registered U.S. mail. The hearing date may be postponed at the discretion of the Chair. The Chair, upon consultation with the faculty member and the student, may summon a reasonable number of relevant witnesses to the hearing.
- Any party may consult with the Chair at any time.
- The student has the right to be assisted at the hearing by an advisor drawn from within the campus community.
- The hearing consists of the Chair (who does not vote) and of a jury of three faculty members and four student members from the AHJB. A finding of responsibility requires four votes out of the seven voting members.
- In the event that the AHJB members agree on the finding of responsibility but are divided on the issue of an appropriate sanction, the AHJB first votes on the most severe of the contemplated sanctions, proceeding through lesser sanctions until a sanction receives at least four votes.
- Evidence must pertain to the charge as determined by the Chair.
- The Chair notifies the student and faculty member of the AHJB's decisions by registered campus mail or registered U.S. mail.
- When a case arises between semesters or during summer session, the AHJB ordinarily defers consideration until the following semester. However, the student involved may elect to have his or her case determined by an ad hoc AHJB convened by the Dean of the Faculty and drawn, insofar as possible, from the regular AHJB, consisting of three voting faculty members, four students, and a non-voting faculty Chair.

The judicial process outlined above is intended to provide accused students an opportunity to respond to allegations of academic dishonesty, thereby enabling the AHJB to make an informed decision about responsibility and impose appropriate sanctions. However, if a student fails to respond within five days to the attempt to solicit a plea or schedule a hearing, the AHJB Chair will note that the student has failed to respond and will schedule a hearing. The AHJB Chair will inform the student (by College e-mail) of the date, time, and place of the hearing at least 48 hours prior to the scheduled hearing. If the student does not enter a plea prior to the hearing, a plea of "not responsible" will be entered on the student's behalf. If a student fails to attend a scheduled hearing, the Chair may proceed with the hearing without the student and a decision will be rendered based upon available information. (Faculty Meeting October 2, 2013)

Sanctions: The faculty member, Dean of the Faculty, Dean of Students, Chair of AHJB, and the faculty advisor are notified of any sanctions assessed for Academic Honesty Policy violations. Furthermore, the Registrar is notified of any course failures. Suspensions or expulsions from the College are recorded on students' transcripts and in their permanent files.

- For first offenses, the expected minimum sanction is zero points awarded for the project, examination, or assignment. The maximum sanction is failure of the course. The sanction should also include one or more educational components, such as informational sessions with library or Ethics Center staff, or repetition of the assignment for no credit.
- For second offenses, the expected minimum sanction is failure of the assignment, an educational component, and suspension from the College for the following semester. If the AHJB recommends suspension from the College, this recommendation is submitted to the President by the Chair along with a recommendation regarding whether the College should accept courses taken at another institution while the student serves his or her suspension. The President then notifies the student and AHJB Chair of his or her decision by registered campus mail or registered U.S. mail.
- For third offenses, the expected minimum sanction is failure of the assignment and expulsion from the College. The Chair informs the President of the AHJB's recommendation. The President then notifies the student and AHJB Chair of his or her decision by registered campus mail or registered U.S. mail.

Withdrawals: See the section titled “Exceptions” under Course Procedures regarding withdrawals from courses in which charges of academic dishonesty have been brought.

Appeals: A student may ask the Dean of the Faculty to consider an appeal on procedural grounds only.

Student Evaluations: When a faculty member has brought a charge of academic dishonesty against a student, a note indicating that such a charge was made will be included with the online summary report for the student evaluations for that course.

h. Student Evaluations of Courses and Teaching

(FPPC, March 29, 1978. Amended February 7, 1995, February 15, 2008, April 4, 2014)

In the spring of 2014, the Faculty authorized a change to the course evaluation instrument and the way it is delivered. Beginning in the 2015-16 academic year, the new form is to be used for all courses. This new instrument replaces the one that the faculty adopted in 1986.

ADMINISTRATION OF THE SURVEY

Each term, students will be asked to complete an online course evaluation survey for each course they are taking (with the exception of independent studies or other credit-bearing activity for a single student). The survey will be available to students to complete during the final two weeks of classes each term.

Students access and complete this survey online via their my.courses page of my.lakeforest. Students receive email reminders to complete the survey during the window that the survey is open.

Because faculty will no longer be expected to provide copies of their syllabi with paper evaluation forms, they are required to submit digital copies of their syllabi to the Library Archive, at the following address: syllabi@mx.lakeforest.edu.

Faculty will receive an email notification when they may access the results of the survey online via their my.courses page of my.lakeforest. These reports may be downloaded and printed. Faculty will not be able to access the results until after all grades have been submitted for that term. Evaluation results will normally be available within a few days of the end of the grading period.

A full-time faculty member’s evaluations can also be read by the Dean of the Faculty and by the chair of the department or program in which the faculty member has been hired. Evaluations are also made available to PTS members in conjunction with third-year, tenure or promotion reviews. Department and program chairs also have the right to read evaluations for any class that is fully funded by allocation to the departments or programs they chair; such access will be granted after submission of a request to the Office of the Dean of the Faculty. In the case of courses that are jointly funded by multiple departments and programs, the chairs of the relevant departments and programs may make standing agreements with one another and with the relevant faculty members to read the evaluations for particular courses.

THE COURSE EVALUATION SURVEY

The following language will appear on the student’s my.courses page, above the link to the survey:

Teaching is of primary importance at Lake Forest College. Your evaluation of the teaching in this course promotes outstanding teaching at the College in several ways. The instructor reads your evaluations so that she or he can consider student views when preparing to teach this and other courses in the future. Your evaluations are also read by those charged with evaluating your instructor, including the Dean of the Faculty and the chair of the department. They will become part of the instructor's permanent record, to be examined carefully by the Promotion and Tenure Committee when tenure and promotion are considered.

Although the faculty member may remind you about the dates the online survey is open and encourage you to complete it, the faculty member has been asked to make no other comments about the evaluation, and must not be present while the survey is being completed. Moreover, the instructor cannot read these evaluations until

after the final grades have been submitted to the registrar. Thus you are encouraged to write honestly, knowing that what you write will not affect your grade.

At the opening of the survey:

This survey is designed to provide constructive commentary on this course, laboratory or ensemble, the instructor, and your involvement in the course. It is crucial that students not influence or distract others who are filling out this survey. Please take the time to complete the form thoughtfully. The instructor is able to read the results only after final grades have been turned in.

The Survey:

Part I. Please provide your overall perception of the course, laboratory or ensemble and the instructor:

Part II. Please respond to the following statements regarding the course, laboratory or ensemble:

Students will respond to these statements using the following scale:

Strongly Disagree, Disagree, Neutral, Agree, Strongly Agree

1. The learning goals for this course were clearly communicated.
2. The assignments and activities in this course were relevant to the learning goals.
3. The expectations for student performance in this course were clearly established.
4. This course challenged me intellectually.
5. This course stimulated my interest in the subject.

An open box for comment on the course is provided with the following prompt:

Reflecting on your previous answers, do you have any additional comments about the course?

Part III. Please respond to the following statements regarding the instructor:

Students will respond to these statements using the following scale:

Strongly Disagree, Disagree, Neutral, Agree, Strongly Agree

6. The instructor made effective use of class time.
7. The instructor presented concepts and ideas effectively in class.
8. The instructor answered questions in class in a thorough and understandable way.
9. The instructor provided constructive feedback on student work.
10. The instructor was available outside of class in accordance with the guidelines found in the syllabus.

An open box for comment on the course is provided with the following prompt:

Reflecting on your previous answers, do you have any additional comments about the instructor?

Part IV:

11. I took this course (choose all that apply):

- To satisfy a requirement of a major
- To satisfy an elective of a major
- To satisfy a requirement of a minor
- To satisfy an elective of a minor
- To satisfy a GEC requirement
- Out of interest
- None of the above

12. How many hours per week did you spend preparing for this course outside of scheduled class time?

Pull-down menu: 1-25 hours

13. What grade do you anticipate receiving in this course?

A, B, C, D, F, CR/Audit, Don't know/prefer not to answer

i. Evaluation of Advising

(FPPC, February 27, 2019)

Faculty academic advising is an essential and integral component of the student experience at the College. Regular reflection and feedback can help faculty advisors determine whether they are meeting the “academic advising expectations” outlined in the Faculty Handbook. Further, faculty advisors can assess whether they are carrying a reasonable advising load from year to year and receive recognition for performing this aspect of their jobs.

FPPC suggests that the advisor evaluation process include data from three sources:

- 1) Annual self-evaluation and reflection (in the faculty member’s annual report)
- 2) Annual student evaluation of advising (see form at the end of this section)
- 3) Semi-annual summary of advisor load (compiled by the Registrar’s Office)

The primary purposes of these data are to promote self-reflection and, when appropriate, to spur a conversation between the advisor and department chair to encourage further development of the faculty member’s skills and contributions as an advisor.

Given that academic advising is included in the “teaching component” of tenure and promotion reviews, PTS also will review these materials in an effort to understand the advisor’s approach to advising, students’ perceptions of the advisor’s effectiveness, and the advisor’s contribution to the advising at the College. As PTS does not have access to faculty members’ annual reports, the candidate’s personal statement will substitute as the advising self-evaluation and reflection element of the dossier for Third-Year, Tenure, and Promotion reviews.

STUDENT EVALUATION OF ADVISING

Each spring, students will be asked to complete an online advising evaluation survey. The survey will be available to students to complete after the spring registration. Students access and complete this survey electronically.

Faculty will receive an email notification when they may access the results of the survey online. These reports may be downloaded and printed. Evaluation results will normally be available within a few days of the end of the grading period.

A full-time faculty member’s evaluations can also be read by the Dean of the Faculty, the Associate Dean responsible for FIYS (for FIYS advisors), and by the chair of the department or program in which the faculty member has been hired. Evaluations are also made available to PTS members in conjunction with third-year, tenure, or promotion reviews.

FACULTY ACADEMIC ADVISOR EVALUATION SURVEY

The following language appears at the beginning of the survey and/or above the link to the survey:

Academic Advising can intersect with many different aspects of a student’s experience at the College, depending on the circumstances of the advisor and student. Advisors are expected to assist students in

- fulfilling the requirements of the College’s general education curriculum and the major and minor programs of study
- finding an academic path consistent with the student’s goals, interests, and aptitudes
- solving academic-related problems
- locating appropriate support services
- pursuing other activities to support their development

Advisors are expected to make themselves available to meet or otherwise communicate with advisees and respond to them within a reasonable length of time. Students are also expected to take an active role in the advising relationship.

Your advisor reads your evaluations so that she or he can consider student views on the advising process. Your evaluations are also read by those charged with evaluating your advisor, including the Dean of the Faculty and the chair of the department. They will become part of the advisor's permanent record, to be examined carefully by the Promotion and Tenure Committee when tenure and promotion are considered.

This evaluation is anonymous. Although the advisor may remind you about the dates the online survey is open and encourage you to complete it, the advisor has been asked to make no other comments about the evaluation, and must not be present while the survey is being completed. Moreover, the advisor cannot read these evaluations until after the current semester has been completed. Thus you are encouraged to write honestly, knowing that what you write will not affect your advising relationship.

The Survey:

1. Is this advisor your primary advisor? (If you have more than one advisor, you should complete a separate evaluation for each advisor.)

- Yes/No

2. This advisor is my: (check one of the following)

- First Year Studies Advisor
- Advisor within the major (assigned to me)
- Advisor within the major (chosen by me)
- A substitute advisor while my advisor is away from the College
- Transfer advisor
- Other

3. If you selected 'Other' in question #2, please specify below.

- [Text Box]

4. Including this semester, how long has this person been your advisor? (check one of the following)

- This semester only
- 2-3 semesters
- 4+ semesters

5. My advisor has demonstrated knowledge about graduation requirements.

- Strongly Disagree Disagree Agree Strongly Agree N/A

6. My advisor is able to help me solve academic-related problems.

- Strongly Disagree Disagree Agree Strongly Agree N/A

7. My advisor is able to help me connect with support services on campus.

- Strongly Disagree Disagree Agree Strongly Agree N/A

8. I would recommend my advisor to a fellow student.

- Strongly Disagree Disagree Agree Strongly Agree N/A

9. Please comment on the overall effectiveness of the advising from this faculty member.

- [Open-Ended]

i. Academic Evaluation and Appeal Procedure

Students shall be evaluated by their instructors solely on the basis of their academic performance, not on their opinions or conduct in matters unrelated to academic standards. Faculty members are expected to maintain rigorous academic standards that are consistent with the nature of their discipline(s), department(s), and program(s). While students are responsible for maintaining

standards of academic performance established by their professors, they shall have protection against prejudiced or capricious academic evaluations. The appeal procedure to be followed in cases where a student does claim prejudicial or capricious grading is in the College Catalog.

11. The Library

The library program rests at the heart of the instructional process at the College, enabling the student—across the whole curriculum—to apply precepts, ideas, and methods introduced in class to individual questions and projects which develop his or her ability for independent inquiry. Faculty as mentors model this process through their own teaching and personal research pursuits, which are facilitated by the library through connections to the world of knowledge in libraries in this country and abroad.

The College library is a member of the seventy-library consortium of the Oberlin-Group colleges—the strongest national liberal arts colleges.

a. The Structure of Resources Supporting Collegiate Educational Goals

- i. The Core Collection
- ii. Reference and Bibliographical Collection
- iii. Interlibrary Borrowing and Access
- iv. Use of Off-Campus Libraries

b. The Faculty and The Library Program

The lines of activity of the teaching faculty and the library program intersect at many points.

- i. Library Assignments in Courses – Teachers and librarians collaborate to build effective assignments into courses, across the curriculum, and at all levels.
- ii. Collection Management
- iii. Reserves- To ration high-use materials, faculty may designate reserve status—either at Circulation in Donnelley and Lee or in Donnelley and Lee's Audio-Visual unit.
- iv. Audio- Visual-Equipment and materials, (video viewing, camcorders, slide and overhead projectors, tape recorders, etc.) are available in the library's A-V unit and, on a limited basis, in classroom buildings.
- v. Faculty Members' Own Research- New faculty should consult early with the librarians on the structure of resource availability in their fields of interest. The faculty book loan period is sixteen weeks for College and ILCSO-library books, corresponding to the norm among the forty-plus cooperating ILCSO libraries. A limited number of renewals usually are accommodated, around the needs of other users; recalls for other patrons require faculty to return items. Faculty are responsible for the return or replacement of College and ILCSO-library materials they have borrowed.
- vi. Gifts- Faculty *donations* to the libraries have been a significant factor in the development and maintenance of the core collection.

12. Self-Study and Review Process for Academic Programs and Academic Units

(Policy approved at Faculty Meeting of March 4, 2015)

Academic programs and units are expected periodically to undergo a comprehensive review consisting of a self-study and a review by external evaluators. For the sake of clarity, the term “program” refers to any academic department or interdisciplinary program, whereas the term “unit” refers to other academic entities, such as Library & Information Technology, Writing Programs, Center for Chicago Programs, etc.

The fundamental purpose of the self-study and review is to evaluate the overall effectiveness of an academic program/unit and to consider possible changes to enhance its effectiveness. This is accomplished through a self-study supplemented by a written evaluation prepared by one or two outside reviewers from peer institutions. More specifically, the goals of the self-study and review are:

- To help the program/unit better fulfill its educational mission, to improve the quality of the teaching and learning it offers, and to enhance the program/unit's contribution to the intellectual life and mission of the College
- To review resources available to the program/unit and to ensure their wise use
- To develop a plan of action designed to enhance the effectiveness of the program/unit in the coming years

Generally, academic programs and units will conduct a self-study and review every eight years. Exceptions to the normal review cycle may be approved by ARRC or the DOF. There will be a "self-study year" followed by a "review year" and then six years will follow before the cycle begins again. In conjunction with the Dean of the Faculty, ARRC oversees the review process, determines the schedule of programs/units undergoing review, and maintains specific guidelines for conducting the self-study and review. The guidelines—one set for academic programs and one set for academic units—provide detailed descriptions of the expectations and the timelines associated with the self-study and review process. These guidelines will be sent to programs/units in the spring prior to their self-study year by the Office of the Dean of the Faculty, but are also made available online.

B. FACULTY ADMINISTRATIVE POLICIES

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

1. Confidential Treatment of Records

(Amended September 1, 1987)

The College desires to protect its undergraduates and employees from improper disclosures of information, violating the confidential relationship appropriate between an educational institution and its personnel. Accordingly, it is our official policy *not* to send transcripts of record to other colleges or universities, to prospective employers, to government agencies or anywhere else *except* at the specific written request of the student or the graduate. The same policy applies to information concerning any student's activities outside the classroom: membership in organizations, disciplinary difficulties, participation in demonstrations, etc. These are matters of confidence, and the College will not disclose them to anyone unless the student authorizes such release. Any official written communication from the College should be requested in writing by the student. Informal verbal references in conversation or by telephone should be ruled by caution and restraint, seeking to protect the individual from disclosures that are properly matters of private record and not for public information. Any item that is already public, e.g., the fact of attendance at or graduation from the College, is obviously not confidential and need not be treated as such.

Any person on the College payroll deserves similar protection. No information should be transmitted to any source without specific request and authorization by the individual concerned.

On May 6, 1969, the faculty approved the following: "Materials submitted in support of application for admission must be confidential within the faculty and professional staff."

On April 4, 1967, the faculty approved the following: "To minimize the risk of improper disclosure of information, students' academic records should be kept separate from their disciplinary records. The face of students' academic records (and therefore a transcript of their record) should carry, in addition to the usual information concerning courses and grades, the statement that unless otherwise noted, the student is in good academic standing. Additional permanent notations on the face of the academic record should be limited to: academic probation, dismissal for academic reasons, and dismissal for non-academic reasons."

2. Office Hours

Each faculty member is asked to set up and keep regular office hours which should be posted just outside of the office door. Arrangements to see students by special appointment, when this is called for, should also be made.

3. Secretarial Services

Secretarial services are provided in classroom buildings. Members of the faculty may take tests, syllabi, and letters for typing and duplicating to the appropriate faculty secretary.

Multiple copies of materials for distribution to classes, unless they are only two or three pages in length, cannot be completed on short notice. More extensive uncopyrighted texts must be requested well in advance of the time they are needed and are to be sold at cost through the College Bookstore.

4. Copying

a. Copying (including photocopying, scanning, re-recording, space shifting)

Each department budgets for the photocopying of materials needed for classroom instruction. Visual Communications & Printing Services can make photocopies; faculty are required to specify whether a given copying job is to be charged to a department or office or paid for in person (if the material to be copied is for private use). Alternatively, photocopies may be made at copiers in academic buildings or the library. Faculty should consider U.S. Copyright Law and the Fair Use exemption when making copies.

Faculty may choose to scan and electronically distribute material rather than photocopy it. Scanning removes paper costs and waste, but faculty should note that copyright considerations apply to scanning as they do to photocopying. The same is true for re-recording and space shifting (converting recorded material into an electronic (and downloadable/streaming) format).

b. Guidelines for U.S. Copyright Law and the Fair Use Exemption

In fulfilling its mission to “foster creative talent and independent research,” the College strives to honor copyright law (Title 17, Sec. 101-106 of the United States Code) and also exercise its rights under the fair use exemption to this law. CPC approved “A Copyright Policy for Lake Forest College” in 2008. The text of the policy is on my.lakeforest.edu.

If fair use does not apply to a proposed use of copyrighted material, permission must be granted by the copyright holder, and a fee may be required. It is the responsibility of faculty to determine whether permission to use material is required, and for obtaining any required permission in a timely manner. This responsibility does not transfer to the staff person who may do the actual copying for the faculty member. The College cannot support the legal case of any member of the College community who is accused of copyright infringement and cannot demonstrate that they followed a reasonable interpretation of the College policy outlined fully in the 2008 guidelines.

Material published in the United States by the federal government and/or before 1923 is in the public domain and may be freely used in any manner. Material published after 1923 *may* be covered by copyright.

Copyrighted material may be copied for an individual’s research and study needs.

Copyrighted material used in classroom instruction is likely to be covered by the fair use exemption to U.S. copyright law. There are four factors to consider when determining whether fair use applies: the purpose of the proposed use; the nature of the original material; the amount of the original material to be used; and the market impact the proposed use may have on the

copyright holder.

To be covered by fair use, it is necessary to meet at least one of the factors fully – ideally, two or three factors would be met.

For more information about determining whether a particular item is covered by copyright (U.S. or otherwise), or for help in applying the four factors, please consult the 2008 document “A Copyright Policy for Lake Forest College” on my.lakeforest.edu, or email copyright@lakeforest.edu.

5. Lake Forest College Information Technology Policies

(Effective February 8, 1994)

These policies can be found at <http://www.lakeforest.edu/offices/it/policies.php>

6. Telephones

(Effective August 1992)

Lake Forest College uses a Northern Telecom Meridian telephone system that makes available a range of special features. All faculty phone numbers are direct dial access from outside the college. For information about how to use the telephone system, faculty are referred to the Telecommunications Analyst of Information Technology, which is responsible for management of the telephone system.

All phones in the system restrict outgoing calls based on the location being called. Faculty may make calls within the 847 area code (Greater Chicago) and the 312 area code (Chicago proper), of both a professional and personal nature, by dialing 9, followed by the required number. Faculty can place calls within the continental United States.

Faculty are also provided with a voice message mail box associated with their telephone extension. Faculty are encouraged to password-protect this voice message mail box to ensure others do not listen to their voice mail.

7. Mail

(Amended September 1, 1987)

During the academic year, all faculty mail is delivered to the department assistant in each building. During breaks and over the summer, mail can be retrieved directly from the mail room.

Outgoing College mail should be deposited at 3:00 p.m. in order to have metered postage attached. The slots for deposit of United States mail and campus mail are located in the Mohr Student Center and Stuart Commons, below the Mail Room window. The name of the office or department sending the mail should be placed on the envelope.

Personal mail may *not* be deposited without proper postage stamps, nor may College stationery be used for personal mail.

Only First Class mail is forwarded; all other is discarded. Mail Services uses the address in the directory to forward mail. If another address is appropriate, please notify Mail Services. Faculty members who will be on leave or in off-campus programs should notify Mail Services as to what should be done with their mail and provide pre-addressed forwarding labels.

For further information and procedures please consult the Mail services brochure.

8. Bookstore

(Amended September 1991)

The campus Bookstore, located on the lower level of the Mohr Student Center and Stuart Commons Building, supplies all required and recommended course material, as well as paperbacks, art and school supplies, cards and small gift items. The Bookstore is managed by Follett Stores. A Bookstore Committee, consisting of one faculty, two students, two administrators, and one representative from Follett Stores, advises the College administration on the Bookstore's operation.

Basic office supply materials, such as pencils, pens, paper and examination booklets, may be obtained at the Bookstore and charged against the appropriate departmental budget, following departmental guidelines. Such items are listed on a charge slip to be signed by the faculty member.

Since most publishers will supply desk copies at no cost, the Bookstore has prepared forms that can be used to order these desk copies. They should, of course, be ordered in plenty of time so that they are here when classes begin. In a few cases, particularly when the texts are hardbacks or are imported, desk copies may not be available. We do not want a faculty member to have to pay for the textbooks used in the course and in these cases the College will purchase the textbooks, but we do not like to have to pay for those copies that will be supplied by the publisher. **Any textbook taken from the Bookstore must be signed for by the faculty member. The book will be charged until it has been replaced by a desk copy.**

The Bookstore welcomes special orders for books and supplies from both faculty and students. Faculty and their families receive a 10% discount on purchases for personal use over \$1.00, except sale merchandise. The Bookstore accepts VISA, MasterCard, and Discover credit cards, as well as personal accounts.

Hours: First week of classes, fall and spring terms, 8:00 a.m. – 7:00 p.m.; Regular hours: Monday, 8:00 a.m. – 6:00 p.m.; and Tuesday through Friday, 8:00 a.m. – 4:30 p.m.

9. Van Reservation Policy

(December 1, 1998)

The Facilities Management Department has vans available for rent to College-funded student groups with advisors. To ensure proper approval has been obtained, students, faculty, and staff must complete a van reservation form available in Facilities Management. Rental Van policies and procedures are published in Section III of the *Student Handbook*. However, please keep in mind the following guidelines:

- a. Vans may be used only for College-funded or College-sponsored activities. All programs must be approved by a faculty or staff member. If the faculty or staff member is accompanying the van, no further approval is required. If the faculty or staff member is not accompanying the van, additional approval by a pre-approved College representative must be obtained.
- b. Only persons registered as drivers with Facilities Management (after completing an approved drivers' safety program) may drive a van.
- c. Only Lake Forest College students, faculty, and staff may ride in the van.
- d. Reservations for vans must be made at least 24 hours in advance. Cancellation fees will apply to those who cancel usage within less than eight hours of the planned reservation.
- e. Any overnight, round trip in excess of 250 miles or a trip requiring one-way driving in excess of four hours must be accompanied by a registered driver over 25 years old with a valid major credit card.
- f. Report all accidents and/or damage to the vehicles to Facilities Management and Campus Security immediately.

- g. No alcoholic beverages or controlled substances are permitted in College vehicles whether they are being consumed or merely transported.
- h. No reservations will be considered without a completed reservation form.

In case College vans are not available, faculty are cautioned against renting non-College vehicles in their own name. Rather they should rent in the College's name after obtaining a purchase order from the Business Office. All the van rental policies stated in the *Student Handbook* apply to vehicles rented outside the College for College-funded and College-sponsored activities.

10. No Smoking

No smoking is allowed in any classroom, seminar room, studio, laboratory, library public area, the auditorium, the field house, or the chapel. (Please refer to the *Student Handbook* for the No-Smoking Policy.)

As a result of an ordinance passed by the Lake Forest City Council, which took effect Friday, September 1, 2006:

- a. Smoking is prohibited inside any and every building on campus. This includes the grounds shed, the carpentry shed, faculty offices, in other words, in any and every enclosed space on campus.
- b. Smoking is prohibited inside all College-owned vehicles, including all FacMan and Public Safety vehicles.
- c. Outdoor smoking on our campus is prohibited in the following areas:
 - Within 25 feet of any entrance to any campus building (including all residence halls)
 - In the stands of Farwell Field
 - On the patio outside the Mohr Student Center

People who wish to smoke may do so outside as long as they are more than 25 feet from a building entrance.

By virtue of a state law signed by Governor Blagojevich in May 2006 (SB 2465, which amended the Illinois Clean Indoor Air Act), smoking is now prohibited in ALL residence halls, including the south campus apartments.

11. Drug-Free Workplace Policy

(Revised March, 2015)

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

Lake Forest College is committed to maintaining a workplace free from the effects of alcohol and illegal drugs. Illegal drugs, as referred to in this policy, include drugs that are not legally obtainable, as well as drugs that are legally obtainable but used for illegal or unauthorized purposes. We expect all employees to report for work free from these effects and to be able to fully perform their job duties.

While on Lake Forest College premises and while conducting business-related activities off Lake Forest College premises, you may not be under the influence of illegal drugs or alcohol. Nor may you be in any condition that impairs your work performance due to drug or alcohol use or abuse. You may not engage in the unlawful manufacture, distribution, dispensation, possession, or use of illegal drugs. Violations of this policy may lead to disciplinary action, up to and including immediate termination of employment. Such violations may also have legal consequences.

The legal use of prescribed drugs is permitted on the job only if it does not impair your ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals in the workplace. If you are taking prescribed drugs which may affect your attentiveness, cause drowsiness, or otherwise impair your abilities, please notify your supervisor or Human Resources of this fact so modifications to job duties can be made if appropriate.

If Lake Forest College has a reasonable suspicion that an employee has violated this policy, it will conduct an investigation, which may include an unannounced search of Lake Forest College premises or property and/or the employee's personal property. Lake Forest College may also order any employee reasonably suspected of having used or being under the influence of alcohol or illegal drugs while on duty to take a test for the presence of drugs or alcohol. Such test will be conducted by an independent laboratory at Lake Forest College's expenses. Any employee asked to undergo a test will be suspended with pay from work until test results are available and a further determination is made.

Failure to abide by this policy or refusal to consent to testing when requested will result in disciplinary action, up to and including immediate termination, even for a first offense.

If you have a drug or alcohol problem that has not resulted in and is not the immediate subject of disciplinary action, you may request approval to take unpaid time off to participate in a rehabilitation or treatment program. Leave may be granted if you agree to abstain from use of the problem substance, you abide by all Lake Forest College policies, rules, and prohibitions relating to conduct in the workplace, and if granting leave will not cause Lake Forest College undue hardship. Employees with questions or concerns about substance dependency or abuse are encouraged to discuss these matters with their supervisor or the Human Resources Director to receive assistance or referrals to appropriate resources in the community.

If you have questions on this policy or issues related to drug or alcohol use in the workplace you may discuss them with the Human Resources Director without fear of reprisal.

12. Drug and Alcohol Abuse Prevention Policy

(Required by the Federal Government for a drug-free school)

Pursuant to the requirement of Public Law 101-226, Lake Forest College announced and implemented the following statement regarding a drug-free school in October 1990.

a. Prohibited Conduct

The unlawful possession, use, or distribution of illicit drugs or alcohol by students and employees on College property or as part of any College activity is prohibited.

b. Applicable Legal Sanctions

- i. The Illinois Criminal Code classified drug-related offenses (e.g.: Manufacture or delivery of a controlled substance, engaging in a calculated criminal drug conspiracy, drug trafficking, unauthorized possession, etc.) as either Class A misdemeanors or Class 1, 2, 3, 4, or X felonies depending upon the severity and nature of the conduct. The following criminal penalties are applicable to the identified categories of offenses:

Category of Offense	Monetary Fines	Imprisonment
Class A Misdemeanor	\$ 1,000	Up to 1 year
Class 4 Felony	Up to \$ 15,000	1 to 3 years
Class 3 Felony	Up to \$150,000	2 to 4 years
Class 2 Felony	Up to \$200,000	3 to 7 years
Class 1 Felony	Up to \$250,000	4 to 15 years
Class X Felony	Up to \$500,000	6 to 60 years

- ii. The applicable Federal penalties and sanctions for illegal possession of a controlled substance are given on the attached Appendix A.

c. Counseling Services and Rehabilitation Program

The use of illicit drugs and the abuse of alcohol may result in serious health consequences. A description of health risks associated with substances covered by the Controlled Substances Act (21 U.S.C. 811) is given on the attached Appendix B. A summary description of health risks associated with alcohol is given on the attached Appendix C. For additional information, consult pamphlet, Drugs and the Body, which is available in the Personnel Office. Students experiencing problems with drug and alcohol abuse are encouraged to seek assistance in the Counseling Center. The Center offers individual counseling and may offer peer Counselors and Drug and Alcohol Support Groups for additional assistance. Employees with group health insurance coverage should refer to the booklet, Summary Plan Description, Lake Forest College Point-of-Service Plan, for coverage on drug and alcohol treatment. In addition, the Personnel Office has available as a reference resource, Human Services for Lake County People.

d. College Sanctions and Penalties

Lake Forest College employees and students found in violation of the prohibitions set forth in their respective Handbooks will be subject to disciplinary action up to and including termination or suspension and possible referral for prosecution. Each case will be evaluated on an individual basis. It is possible a disciplinary sanction may include the completion of an appropriate rehabilitation program.

e. Biennial Policy Review

This policy will be biennially reviewed by College Council to determine its effectiveness and to recommend changes to the program to the President if they are needed. Such a review will also determine that the College's disciplinary sanctions are consistently enforced.

13. Safety

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

Lake Forest College is subject to the Federal Occupational Safety and Health Act of 1970. The purpose of this Act is to assure safe and healthful conditions of work for everyone. Since we are required to maintain injury and illness records, your concern for safety and your cooperation in reporting is essential if we are to have an effective program.

Each faculty member is asked not only to exercise care but to report dangerous working conditions such as slippery floors, inadequate wiring, sidewalk hazards, etc. Everyone is asked also to report accidents on forms available from the Personnel Office and to attend meetings and films on safety and health when they are offered. Those in charge of laboratories, in particular, are asked to know the appropriate safety regulations and see that they are observed.

Weapons Policy

(Approved by Faculty, May 6, 2009, amended March 19, 2014)

Lake Forest College is committed to providing a safe environment for work and study. Violent behavior and threats of violence are strictly prohibited on College property. The possession or use of weapons of any kind, including firearms and explosives, is also expressly prohibited in College-related activities or on College property, except that an Illinois Concealed Carry Licensee who has a concealed firearm inside his or her vehicle shall be permitted to keep the firearm inside the vehicle and park the vehicle in a Lake

Forest College parking lot. A licensee may keep the firearm, or ammunition, concealed in a case within a locked vehicle or in a locked container out of plain view within the vehicle while it is parked in a College owned parking lot. "Case" is defined as a glove compartment or console that completely encases the weapon or firearm and its ammunition, the trunk of the vehicle, or a weapon or firearm carrying box, shipping box or other container. A licensee may carry a concealed firearm in the immediate area surrounding the vehicle solely in order to store the firearm within the trunk or retrieve it from the trunk, as long as the firearm is unloaded before it is carried outside the vehicle.

As any object has the potential to become a weapon, the College reserves the right to define a "weapon" based on its potential for damage or threat. Replicas and facsimiles of weapons are similarly prohibited. Any weapons found in violation of this policy may be immediately confiscated. In addition, any claims that an individual possesses a weapon or explosive will be responded to as an actual threat, whether or not evidence of said weapon or explosive exists. This prohibition applies to all students, faculty, staff, independent contractors, and visitors. Violators of any part of this policy will be subject to disciplinary action which may include immediate removal from the campus or sanctions including dismissal from the College. When warranted, violations will be referred to local law enforcement officials.

Hazardous Materials

(Approved by Faculty, May 6, 2009)

Other than for educational purposes, Lake Forest College community members may not possess or use materials and articles that can create hazardous conditions on College property. Removal of laboratory chemicals or hazardous materials from academic buildings must be intended for academic purposes and endorsed by a faculty member. College Public Safety personnel and health safety staff will determine what materials and situations constitute hazardous conditions. This prohibition applies to all students, employees, independent contractors, and visitors. Any hazardous materials found may be immediately confiscated. Violators of any part of this policy will be subject to disciplinary action which may include immediate removal from the premises or dismissal from the College.

Workplace Threats and Violence

(March 31, 2015)

As part of its commitment to workplace safety, Lake Forest College is committed to providing a workplace that is free of threats or acts of violence and to protecting its employees from such conduct on its premises. In keeping with this commitment, we have established a strict policy that prohibits any employee from engaging in behavior that is violent, threatening or intimidating, while on duty or on Lake Forest College business. This policy applies to all employees, including management and non-supervisory staff. Lake Forest College will not tolerate those who make threats, engage in threatening behavior, or commit acts of violence or threatening behavior on its premises by non-employees, such as visitors, guests, students, or family members of its employees.

This policy prohibits not only physically violent behavior, but also behavior that is threatening, harassing or intimidating. Prohibited behavior includes, but is not limited to:

- Possession of firearms, explosives, weapons such as knives, or any other hazardous or dangerous devices on any College property or at any organization function, whether on or off premises. Additionally, use of any item as a weapon is prohibited.
- Disorderly conduct on College property, including fighting, inciting/provoking another fight, battery, attempted bodily injury, or physically abusing employee or visitor.
- Using abusive or threatening language, coercing, threatening or otherwise harassing any employee or visitor.
- Actual or threatened physical violence towards another employee or visitor.

All employees are responsible for being aware of and reporting potentially violent behavior, including any incident involving threats or acts of violence. Reports should be made immediately to the employee's supervisor, the Human Resources Director, or to any manager. The matter will be investigated and any appropriate corrective action taken. Violations of this policy will lead to disciplinary action, up to and including immediate dismissal.

To assist Lake Forest College in its efforts to maintain a violence-free workplace, employees are strongly encouraged to notify the Human Resources Director about any restraining order in effect or any potentially violent situation outside of work that could result in violence in the workplace. Employees who become aware of any other workplace security hazards or who have suggestions for increasing security in the workplace should also speak with the Human Resources Director. Employees making reports as encouraged by this policy will not be retaliated against, and Lake Forest College will not tolerate any such retaliation.

14. Lactation and Breastfeeding Policy

(March 31, 2015)

PURPOSE

The Lake Forest College will make every effort to provide an acceptable, private area for nursing mothers.

POLICY

The Lake Forest College is in compliance with all applicable Federal and State lactation and breastfeeding laws, as well as other applicable anti-discrimination laws and regulations.

In accordance with State laws and the Lake Forest College Hours of Work Policy, nursing mothers will be allowed to utilize their break or meal time each day to express milk. Employees who need a different time or additional time should make arrangements with their supervisors.

The College will make a reasonable effort to provide a private area for nursing mothers. It is the responsibility of the nursing mother to request such a space, in writing, to the Human Resources Director. The Office of Human Resources will work with the Facilities Management department to locate such a space and communicate the location, in writing.

15. Liability Insurance Coverage

(Issued by the Vice President for Business Affairs on October 31, 1988, at the request of College Council)

Lake Forest College is a corporation. As such it maintains insurance coverage to protect itself and its employees when they are performing their duties as an employee. The coverage provides attorney fees as well as liability coverage to specified limits. Areas of specific interest are as follows.

Automobile

College vehicles are covered by the general College insurance when driven by an authorized driver for a permitted use. If the use is improper, or by an improper driver, the College insurance would be primary, but it is fair to assume our insurance company would seek recovery of damages from the driver.

A personal car used for a College purpose **does not** have College insurance coverage. If an accident occurs with a personal car while on College business the first coverage is the individual's personal insurance. The same applies to student cars, but here a faculty member may have an additional exposure. If the faculty member lets a student drive a student car on a College event and does not check to see if that student has a driver's license, insurance, and a generally appearing safe car, it is possible that a judge or jury may look to the faculty member for some damages, especially for innocent passengers.

General accidents

An accident in a lab, athletic field, the radio station, at the Mohr Student Center and Stuart Commons, the Library, and any number of such events would be covered, again if in the general performance of a duty within the scope of your employment as a faculty member of the College. Insurance for accidents at an internship location would provide coverage to the College, the student and the faculty member—again, so long as they are acting within the scope of their duties.

Other

The College carries a number of miscellaneous liability coverages such as libel, slander, defamation of character, false arrest, malicious prosecution, corporal punishment and sexual misconduct. For these exposures our policy covers as insureds the College and the faculty member, but again, only while acting within the scope of employment.

A faculty member not authorized to coach in the athletic department but who does so is not acting within the scope of faculty duties and would not be covered.

In the event of an accident, it is advisable that the faculty or staff member/s involved make factual notes of the situation as soon as possible. Editorializing, fixing blame, or bringing in weakly-related facts could cause problems in the event of a law suit. Remember that you and/or what you have written can be subpoenaed. It will be up to the judge or jury to assimilate the facts and come to a decision, not you. If you put observations or conclusions into a report it can be turned pretty easily to benefit either side. Just make notes that will help you remember what happened, even if a few years later. Such things as date, situation (how soon were paramedics called and arrived, etc.) and emergency procedures used are examples. Stating that "the paramedics arrived quickly" is a judgment, but noting they were called at 12:02 and arrived at 12:10, or that they arrived in approximately 10 minutes, are facts. Write these notes for yourself as soon as you can after the incident.

CAUTION

There is always a chance that a judge or jury will rule that a person is guilty of willful and wanton negligence. If that is judged the case, a penalty may be assessed directly on the faculty or staff member even if they are doing their assigned duty and the insurance carrier is not permitted to reimburse. This is relatively rare, but if an obviously drunk student was told to drive a group on a snowy day, this could fall under such negligence.

When dealing with students relative to liability, just put yourself in the shoes of a parent and govern yourself accordingly. Accidents will happen in the normal course of events, but what no one wants are accidents that could have been averted with reasonable action, watchfulness and control.

You may wish to review your personal insurance coverage with your carrier to be sure that your limits are high enough.

16. Emergency Weather Policy

(February 8, 1995)

Severe weather conditions occasionally require the closing or early dismissal of the Lake Forest College campus for most teaching, administrative, and public event activities. Lake Forest College is a residential school and cannot close completely; students expect and must be provided minimum services. Therefore, some employees will be expected to work during a weather emergency.

During emergencies that may not warrant closing the College, employees are encouraged to be as flexible as possible in adhering to the normal work schedule while supervisors are encouraged to consider the safety of the employees.

Closing of the Campus Prior to the Beginning of the Normal Workday

Responsibility for the decision to declare an emergency closing of the campus rests with the President. Second in Command is the Dean of the Faculty, who will make the decision in the President's absence. When a closing is declared:

- a. Classes are cancelled.
- b. Most administrative offices are closed.
- c. All buildings/functions are closed/cancelled with staffing as determined by relevant College offices, except residence halls, Facilities Management, Security, Library, Cafeteria, Sports and Recreation Center, Switchboard, Health Center, Dean of Students Office.

The President will make the decision to close by 6:00 a.m. As soon as a decision to close has been made,

the President or the Dean will immediately notify the Security Department and an announcement will be broadcast on WKRS 1220 AM, WBBM 780 AM, and WIIL 95.1 FM. The Business Office will broadcast a voice mail message announcing the close to all campus phones. Individual employees may call Security, but departments are advised to establish a telephone tree to ease communications.

All Administrative staff and faculty are exempt employees of the College. Unlike non-exempt (biweekly) employees, salary is unaffected by the Emergency Weather policy. This policy is included for its procedural information only.

When the College Does Not Close

When the College is open, yet the National Weather Service issues a travel advisory for the Chicago area, **the President may declare** the day an Emergency Weather Day.

Early Dismissal During the Day

The intent here is to keep travel safe for employees. The Business Office will notify departments when employees are to be released via broadcast voice mail. Supervisors are responsible for ensuring that employees without phones are notified.

17. Security

The College recommends that faculty lock the doors of their offices when they are unoccupied and to keep secretaries' offices, equipment rooms, and laboratories locked except when they are in use. Outside doors of buildings should be kept locked when they are scheduled to be closed. When a faculty member uses his or her outside door key to enter a building, he or she should be careful to see that the door is locked after use. Classroom doors do not have to be locked during the day, however classrooms with expensive equipment should be locked during quiet hours.

Keys for offices, classrooms, and laboratories are available to faculty upon requisition from the Office of Facilities Management. An academic department chair must request a key for a faculty member by completing an electronic form that is sent to the Dean of the Faculty, whose approval is required. The same form, submitted in the same way, may be used to request a key for a student to permit the student to enter one or more rooms in a classroom building; each such form must be signed electronically by the requesting faculty member, student, department chair and Dean of the Faculty. Master or sub-master keys may not be issued to students, and faculty members should never lend such a key to a student. A valid College ID must be presented when collecting keys from the Office of Facilities Management.

The loss of a key is a serious matter, because it requires the College to recore the lock on every door that the key would open. The time and equipment required to recore a lock make this a very costly thing to do. As a result, the College will impose a \$50 fine for the loss of a key or the failure to return a key, and \$100 for two or more keys. The first instance of loss is waived, unless a second loss occurs within a two-year period from the first. In that case, the faculty or staff member must pay the combined fine from both the first and second losses. All subsequent instances of loss after the first are subject to the penalty of \$50 for one key, and \$100 for two or more keys.

18. Administration of Academic Departments

(March 2, 1976; October 3, 1984; February 1, 1995)

Academic departments are basic administrative units of the College headed by persons of either sex under the title of Chairperson, who are appointed by the Dean of the Faculty for three-year terms which are, in principle, renewable and, at intervals, repeatable. In departments that have other faculty clearly qualified to carry out the responsibilities, an endeavor may be made periodically to replace the chairperson in order to share the honor, the opportunities, and the responsibilities of the position, and to encourage new outlooks.

The title of chairperson does not carry with it additional remuneration. Course loads for chairpersons are negotiated with the Dean of the Faculty.

a. Responsibilities of Chairpersons

Chairpersons assume the primary responsibility for creating and maintaining, in their respective departments, environments that stimulate reflective and critical learning as a common endeavor of faculty and students. They also are primarily responsible for creating and maintaining, for faculty and students, conditions that favor the discovery and the development of outlooks, interests, and abilities in their respective disciplines in relation to the larger liberal arts program.

The Chairperson is thus asked to:

- i. review and develop the departmental curriculum;
- ii. encourage departmental faculty research and professional development;
- iii. recruit and orient new faculty;
- iv. encourage improvements in teaching;
- v. determine and respond to departmental and individual needs;
- vi. determine and respond to the concerns of students in the department;
- vii. determine an equitable distribution of advisees among department members and, when appropriate, assign advisees to faculty members in order to balance faculty workload within the department;
- viii. coordinate departmental programs with extra-departmental curricula and activities;
- ix. hold regular meetings of the department in order to involve faculty in departmental affairs;
- x. arrange consultations and meetings with the student academic advisory committee, as required by College governance;
- xi. be responsible for departmental administrative matters, including the development and submission of a proposed annual budget, and the monitoring of the allocated budget;
- xii. consult with senior members of the department faculty on matters of promotion and tenure;
- xiii. write required reviews of departmental faculty.

The Dean of the Faculty is responsible for assisting and supervising the performance of chairpersons in office and for exploring with them ways and means of stimulating departmental and individual faculty development.

b. Chairperson Review

The Dean of the Faculty is responsible for gathering information relevant to the third-year review of chairpersons and for making decisions of appointment, reappointment, or replacement of chairpersons in their respective departments.

Review of approximately one third of the chairpersons will be made each year.

Chairpersons will be evaluated in the third year of their service. The evaluation will consist of both a review of the performance of the chairperson and a consideration of a possible replacement of the chairperson.

By February 15 of the third year of a chairperson's service, the Dean of the Faculty will solicit letters from and, if the Dean wishes, also interview each member of the department with the purpose of assessing the performance of the chairperson in fulfilling various responsibilities listed in the *Faculty Handbook* and the feasibility of other members of the department as possible chairpersons. On the basis of these letters and interviews and consultation with FPPC, the Dean shall appoint a person to serve as chair for the subsequent three years.

19. Review of the Dean of the Faculty

(Amended by the Faculty February 1, 1995 and October 03, 2007)

The President will initiate the review of the Dean of the Faculty, seeking the widest possible input from the campus community. All faculty (teaching and non-teaching), shall be invited to evaluate the Dean.

The Dean will be reviewed in the fourth year of service and subsequently every four years after that.

The evaluation process will consist of the following steps:

- a. The President will solicit evaluation letters from all department chairs, chairs of the Academic Resources and Review Committee, the Curricular Policies Committee, and the Faculty Personnel Policies Committee, and such other persons as the President shall designate. These letters will assess the performance of the Dean of the Faculty in discharging his or her responsibilities.
- b. The President may also wish to invite an external evaluator to assist in the review process.
- c. The President, after providing a summary of the evaluation letters, will consult with the Tenure and Promotion Subcommittee of the FPPC.
- d. The President will then meet with the Dean of the Faculty to review all the evaluations.
- e. The President will then determine whether to reappoint the Dean.

20. Review of the Dean of Students

(Adopted by the Faculty February 1, 1995, amended by the Faculty October 03, 2007)

The President will initiate the review of the Dean of Students, seeking the widest possible input from the campus community. All faculty (teaching and non-teaching), shall be invited to evaluate the Dean. The Dean of Students shall further be evaluated by students.

The Dean will be reviewed in the fourth year of service and subsequently every four years after that.

- a. The President will solicit evaluation letters from members of the Dean's staff, namely the Associate and Assistant Deans of Students. Such evaluations will also be solicited from the Directors of Campus Activities, Security, First-Year Studies, the Counseling Center, the Health Center and the Career Development Center, as well as from Chairs of various committees on which the Dean of Students serves, the teaching faculty and the First-Year Studies faculty. Finally, letters of evaluation will be sought from officers of Student Government and student representatives on College Life Committee and the Conduct Board and randomly selected students who have had contact with the Dean of Students.
- b. The President may also wish to invite an external evaluator to assist in the review process.
- c. The President, after providing a summary of the evaluation letters, will consult with the Tenure and Promotion Subcommittee of the FPPC.
- d. The President will then meet with the Dean of Students to review all the evaluations.
- e. The President will then determine whether to reappoint the Dean.

21. Review of the Athletic Department

(Accepted by the President, May 1, 1989)

a. Director's Annual Department Report

By June 1 of each year, the Director of Athletics is to submit to the President, and on request to College Council, a report of the Athletics Department. The report should summarize and review the vitality of the department's programs, note changes since the last report, discuss future plans (including plans to work with staff and students to improve the overall program), and indicate the relation of the total program to the educational mission of the College (including discussion of staff participation in campus-wide activities outside the Athletics Department). Where appropriate, this report should relate programs, changes, and plans to the most recent Department Review (see b. below). Among other material the report is to draw on are annual, systematic, anonymous evaluations of members of the Athletics Department staff by students who participate in the Department's programs, and other surveys of students' views. An appendix to the report should indicate the record of each team and the participation of students in the several sports and programs.

b. Program Review

During every fifth year, or sooner if deemed necessary by College Council, a review of the Athletics Department will be conducted by a review committee:

- i. Members of the review committee will be:
 - a) Dean of Students, or designate,
 - b) two members of the faculty, appointed by FPPC, who have been representatives to athletic conferences or who have had some contact with athletics at the College,
 - c) one member chosen by the President.
- ii. This committee, which will choose its own chair, will work from the following:
 - a) all Annual Department Reports prepared by the Director since the last Department Review,
 - b) information obtained from a meeting with the Athletic Council as a whole and, if the review committee desires, with individual members of it,
 - c) evaluations of the Department by all full-time members of the department,
 - d) a report from the Admissions Office evaluating the recruiting activity of the department,
 - e) the most recent Department Review,
 - f) a call for campus-wide feedback about the Director of Athletics.

By April 1, the review committee shall make a formal report to be submitted to the President and the Director of Athletics. The review will highlight strengths and weaknesses of the department and will make suggestions for improvement. The President and the Director will review the report together, determine appropriate changes in the program and then discuss the review and proposed changes with College Council.

This report will not be used in the evaluations of the Director or of members of the department for the academic year the report is submitted. The report will be part of the review process for members of the Athletics Department, in the next academic year.

22. Faculty Satisfaction Survey (First Administration, April 2007)

A survey to assess faculty satisfaction with various aspects of their work life, including the Dean of Faculty and the President, is administered bi-annually (Spring 2008; 2010; 2012; etc.) by the Director of Institutional Research; and the analyzed results disseminated by the Director of Institutional Research to the College Community.

SECTION III

FACULTY GOVERNANCE POLICIES

The complete governance plan adopted by faculty and students in March, 1996, is included in the *Student Handbook*. Faculty members are asked to refer to that publication for information about the structure of the governance, questions about composition and duties of committees, general governance procedures, election procedures, ratification and amendment procedures, and dissemination procedures of committee minutes.

A. FACULTY LEGISLATIVE BODY

The Bylaws of the College authorize faculty governance:

It shall be the function of the faculty to sit as a legislative body and, subject to the veto of the President, adopt rules and regulations governing the academic requirements of the student body and recommend the granting of degrees in course. The faculty shall keep a book of minutes of its meetings.

1. Meetings

(Faculty Meeting, April 15, 1980, approved by Faculty, May 6, 2009)

During the academic year meetings of the faculty are held regularly on the first Wednesday of each month. The last faculty meeting of the year is held the day before Commencement, at which time the faculty recommends the candidates for degrees. It is expected that all full-time faculty members attend all faculty meetings.

The faculty invite the current President of student government to observe faculty meetings, recognizing that she or he may be asked to leave the meeting at the request of the Dean of Faculty.

2. Voting

(Faculty Meeting, April 15, 1980)

Voting privileges are given to all faculty members holding full-time appointments at the College. The FPPC may grant voting privileges to a part-time faculty member who teaches at least half of the normal course load or has duties equivalent to half-time load, and who has served the College at least one year, if he or she applies for the privilege and assumes the responsibility of participating in departmental planning, accepting committee appointments, and attending faculty meetings.

3. Rules of Procedure

At its regular meeting on November 4, 1969, the faculty approved the following statement on procedure:

- a. That the faculty adopt *Robert's Rules of Order* (current edition) as its manual for parliamentary procedures, and that the faculty, because of its size, conduct debate in the manner described by Robert as "Informal Consideration"—since "formal debate" would, for example, limit any speaker to only two statements on an issue.

N.B. Since *Robert's Rules of Order* is adopted, the faculty should be aware that the following is in effect:

- i. A quorum is a majority of all members.
- ii. Suspension of the rules can be effected only by a 2/3 vote (2/3 of those present and voting).
- iii. Calling the previous question can be effected only by a 2/3 vote.
- iv. There shall be no voting by proxy.

- v. Rules that protect absentees cannot be suspended; e.g., no new business could be introduced at a meeting specially called for another purpose.
- b. That the faculty appoint a parliamentarian to rule on matters of procedure.
- c. That regularly scheduled meetings convene at 4:30 p.m. and adjourn no later than 6:00 p.m. (amended by FPPC on February 11, 1997, effective fall 1997).
- d. That substantive matters to be brought before the faculty must be channeled through committees, with the following provisions for exceptions:
 - i. Any individual, having presented an item to a committee for its deliberation and recommendation, who feels that the committee is not acting on the matter with sufficient dispatch, may, with at least one week's prior notice to the faculty in writing, request that the faculty at its next meeting vote on directing the committee to consider the matter and report on it within a specified period of time.
 - ii. Subsequent to this, if the committee reports back but recommends no action and if the individual is still dissatisfied, the individual may then request the faculty, again with one week's notice in writing, to suspend its rules and to consider his or her own proposal.
- e. That committee reports requiring faculty action must be distributed in writing a week before the meeting at which the report is to be considered.
- f. That if any committee has a proposal to bring to the faculty of such importance that it feels the issue should be supported by more than a simple majority of the faculty, the committee can make a corollary proposal that a 2/3 vote be necessary for passage of the proposal. The faculty would then vote on the procedural motion (a majority vote) before voting on the substantive issue.

4. Faculty Governance and Athletics

(Approved by Faculty December 1, 2010, revised by Faculty March 2, 2016)

Lake Forest College has agreed by faculty vote (October 6, 2010) to abide by the procedures of the Midwest Conference (MWC). According to the Conference articles, the Presidents of member institutions have the ultimate responsibility and final authority for the operation of the conference. A Faculty Representative, the Athletic Director, and a non-voting Athletic Representative from each member institution are tasked with formulating conference policy at semiannual meetings. The Faculty Representative and one Athletic Representative are voting members. When major changes in conference legislation are proposed, they must first be approved at two separate meetings of the Faculty Representatives and Athletic Directors. Proposed changes are then submitted to FPPC. If the Faculty Representative and the Athletic Director both voted the same way on the prospective legislation, FPPC will decide if the committee should support that vote, or if the legislation should be submitted to a vote of the full faculty of each member institution. If the Faculty Representative and the Athletic Director differed in their final vote at the MWC meeting, the legislation will be submitted to the full faculty for a vote. Faculty votes are then submitted for a final vote by the President's Council.

While the President is the final authority on athletics decisions according to MWC and NCAA rules, Lake Forest College faculty have a strong interest and involvement in decisions regarding athletics. Before deciding to uphold a Midwest Conference legislative proposal that the faculty has voted to reject or disapprove, or before deciding to reject a legislative proposal that the faculty has voted to approve, the President must first meet with the faculty, provide a fair opportunity to hear faculty views on the matter, and fully explain the reasons why he or she believes a decision in opposition to faculty vote is required.

5. Secretary of the Faculty

The Faculty Secretary, who records and distributes the monthly Minutes of faculty meetings, is elected

by the full faculty according to the following procedure, which was established by FPPC on November 10, 1978, amended April 5, 1989:

- a. In a year in which a Secretary of the Faculty is to be elected, the FPPC will nominate three faculty members; the Dean of the Faculty will send out ballots with the names of the three nominees, asking each faculty member to vote for one of the three;
- b. This election will not be held until *after* the final balloting for the elected committees; however, it will be held *before* recommendations are made for appointed committees;
- c. Normally the person elected Faculty Secretary will serve two years.

B. FACULTY COMMITTEES

The College governance plan provides for the following standing committees, councils and boards:

1. College Policies

a. College Council

1. Purpose:

Provides a forum for the College's constituencies to discuss and deliberate about matters of importance to the College community. Considers and makes recommendations to the President and/or other officers of the College about issues that fall within its purview and refers other matters to the appropriate organ(s) of the College.

2. Duties:

a. Participates in the development of the College's annual operating and capital budgets, advising the President on budget priorities and later reviewing and recommending adjustments to a preliminary budget devised and presented to the Council by the administration. The Council shall schedule a special meeting for mid-June to advise the President on the size of the faculty, should he or she envision the necessity of decreasing the size of the faculty during the following two years. The quorum for this meeting is at least three faculty members (one from each division) and at least three other voting members. If absences are anticipated, the Faculty Personnel Policies Committee will appoint faculty replacements from the same division to meet quorum requirements; the President of Student Government will appoint a student representative; and the most recent former staff member(s) available will be designated as replacements.

b. Serves as the organ of governance that promotes and monitors ongoing planning at the College. At the beginning of each academic year, the Council considers a proposal from the administration on institutional priorities for the year, based on the then-existing strategic plan, and recommends in writing adjustments to that proposal. After considering these recommendations and presenting a follow-up proposal to the Board of Trustees, the President disseminates to the campus community a statement on institutional planning priorities for the year. When the timetable for the existing strategic plan is expiring, or earlier if deemed necessary, the Council will initiate the development of a new plan, recommending to the President the appointment of a task force charged for that purpose.

c. Considers specific problems and concerns brought to the Council, or to any of its members, by a student or faculty or staff member of the College. The Council then places a specific item on its agenda for deliberation if four voting members so request, except that those matters explicitly under the purview of other organs of College Governance should be referred to those bodies for consideration by them. The Council may ask to be kept informed about the result of deliberations on issues so referred.

d. Supervises and promotes the effective operation of all organs of College Governance, acting as a court of appeals in cases in which a substantial number of students, faculty, or staff contends that an organ of College Governance (including Student Government) has exceeded,

violated, or not fulfilled its role.

e. Acts on amendments to the Governance Constitution (Article VII, Part B) and forwards them to the President.

3. Composition:

a. Three faculty members: one from each of the academic divisions, nominated and elected by the faculty in rotation to serve staggered three-year terms; at least one of these members must be untenured and at least one tenured.

b. Three students: the President of Student Government and two other students, elected by the student body to serve one-year terms.

c. Three staff members: including at least one non-exempt employee and at least one exempt employee, all elected by the full-time staff of the College in rotation for staggered three-year terms. (Individuals who have faculty status but not faculty rank are considered “staff” for purposes of this balloting and elected service. Staff who report directly to the President are not eligible for election.)

d. The President, who chairs the Council.

e. Guests: through the President, the Council may invite guests to attend its meetings, to assist with the performance of the Council duties; for example, the budget, strategic planning, and other matters deemed appropriate.

4. Procedures:

a. The Council will not ordinarily meet without the President. In case of emergency, it can be called into session and will be chaired by the officer of the College designated to act for the President in his or her absence or incapacity.

b. The President votes only in order to break a tie.

b. Faculty Personnel Policies Committee; Promotion and Tenure Subcommittee

1. Duties:

a. Advises the President in establishing policies for appointing, promoting, granting tenure, and formulating policies on fringe benefits, research grants, sabbaticals, and other faculty personnel issues.

b. Advises the President on specific cases of promotion and tenure, through its Promotion and Tenure Subcommittee.

c. Advises the President on faculty appointments.

d. Meets with the two student representatives to the Academic Resources and Review and Curricular Policies committees at least twice a year and considers with them the general policy guidelines established for appointments, promotion, and tenure.

e. Serves as an advisory committee to the President regarding candidates for faculty committees. The Committee shall, whenever possible, maintain effective continuity in committee appointments.

f. Appoints faculty members to the College Life Committee.

g. Recommends faculty members for election to trustee committees. In making these recommendations, the Faculty Personnel Policies Committee should choose representatives whose role in College Governance committees enables them to represent a link between on-

campus governance and the appropriate committees of the Board of Trustees.

h. Consults with the Dean on the appointment or reappointment of department chairpersons. Each such position shall be reviewed by the Committee at least every three years.

i. Advises the President on specific applications for leaves.

j. Recommends faculty members for appointment to the Conduct Board.

2. Composition:

a. The Dean of the Faculty, who is also a member of the Promotion and Tenure Subcommittee.

b. Six faculty members to be elected as follows:

(1) Promotion and Tenure Subcommittee: three full professors with tenure (one to be elected each year), nominated and elected by the faculty at large to serve staggered three-year terms. If the three-year term is fulfilled, the member will not be eligible for reelection to the Promotion and Tenure Subcommittee for three years. For service of less than three years, the member will be ineligible for reelection for a period equal to the time served. In no case shall two members of the same department serve on the Promotion and Tenure Subcommittee.

(2) The Faculty Personnel Policies Committee will also have three other full-time faculty members, nominated and elected by the faculty at large to serve staggered three-year terms. Two must be tenured and one untenured.

c. All eligible members of the standing Governance committees shall be eligible for election to serve on the Promotion and Tenure Subcommittee (and thus on the Faculty Personnel Policies Committee). If elected, the person must resign from his or her former committee.

d. Members of the Promotion and Tenure Subcommittee shall not participate in deliberations concerning promotion or tenure of faculty from their departments. The most recent available former Promotion and Tenure Subcommittee member should participate instead.

e. The Committee shall elect its own chairperson, who must be a tenured professor not also serving on the Promotion and Tenure Subcommittee.

c. Enrollment Committee

1. Duties:

a. Reviews at the beginning of every semester the data on enrollment, including admissions of new students and retention of previously admitted students, and financial aid awarded to students.

b. Solicits and evaluates ideas and concerns from the campus community regarding the recruitment and retention of an appropriate student body, including proposals from administrative offices for significant policy changes.

c. Selects a set of ideas and concerns for study and for possible action during the current semester.

d. Makes specific recommendations for action regarding those ideas and concerns to the appropriate administrative officers and governance committees and makes a report to the President and College Council by the last day of classes each semester.

2. Composition:

a. Three faculty members recommended by the Faculty Personnel Policies Committee, serving three years each on a staggered basis.

- b. Two students, recommended by the Executive Board of Student Government.
- c. The Dean of Students, the Director of Admissions, the Director of Institutional Research, and the Director of Financial Aid or their designees.

3. Procedures:

- a. The committee will be chaired by the faculty member with the most continuous committee seniority.
- b. Preliminary data on admissions, retention, and financial aid results for the current semester will be given to the chair of the committee by the Admissions Office, Registrar's Office, Financial Aid Office, and Office of Student Affairs within two weeks of the beginning of the semester. Complete detailed reports must be presented within one month of the start of the semester. It is expected that proposals from administrative offices for significant policy changes will normally be brought to the committee's attention the semester prior to their planned implementation.
- c. The President shall respond annually to a report from the committee.

2. Academic Policies

a. Academic Resources and Review Committee

1. Purpose:

Provides a forum for considering the allocation of academic personnel resources and assessing the performance of academic units. Makes recommendations to the President, the deans, the faculty, and committees as relevant.

2. Duties:

- a. Annually considers the distribution of faculty personnel resources among departments and programs within the College, based on relevant data written requests from departments and programs, and consultation with the Dean of the Faculty. Makes a recommendation to the President.
- b. In conjunction with the Dean of the Faculty, conducts scheduled curricular reviews of academic departments, academic programs, and academic units (e.g., Center for Chicago Programs, First-Year Studies, Office of Faculty Development and Center for Academic Success, Library and Information Technology, Internship Programs, and Writing Programs). Academic unit reviews are informed, in part, by a call for campus-wide feedback about the corresponding unit directors. Makes recommendations to the Curricular Policies Committee about curricular changes in academic departments and interdisciplinary programs. (Faculty Meeting, Dec. 05, 2012)

3. Composition:

- a. Four full-time faculty members: one from each of the academic divisions and one at large, nominated and elected by the faculty in rotation to serve staggered three-year terms; at least two of these faculty members must be tenured, and no two of them may be from the same academic department.
- b. Two students: for one-year terms, one elected by and from members of departmental Academic Advisory Committees and one appointed from the Student Senate by its Executive Board. Each student must have a minimum cumulative GPA of a 2.0 at the time of the election.
- c. The Dean of the Faculty.

d. The Committee shall elect its own chairperson. The chairperson shall be a tenured faculty member.

4. Special Procedures

Should the President recommend a reduction in faculty size that would take effect during the following two years, the Committee shall schedule a special committee meeting so that the President can meet with ARRC. This special meeting should occur after the relevant meeting of the College Council and, if necessary, may be held after the end of the Spring semester. The quorum for this meeting is at least three faculty members (one from each division) and at least one student. If absences are anticipated, the Faculty Personnel Policies Committee will appoint faculty replacements from the same division to meet the quorum requirements, and the President of Student Government will appoint a student representative.

b. Academic Appeals Board

1. Duties:

a. Rules on cases in which students appeal the Dean of the Faculty's interpretation of faculty rules or in cases in which faculty rules are unclear.

b. Considers and acts on cases and appeals of academic suspension and dismissal.

c. In extraordinary cases the Academic Appeals Board can grant exceptions to faculty rules, but only by unanimous vote of all three members. The Board must report a summary of its actions to the faculty once each term. This summary should include the rationale behind the Board's decisions in each specific case. These decisions may be appealed to the faculty at the initiative of the student.

d. Reports in detail to the Curricular Policies Committee at least once per term.

e. It is not the responsibility of the Academic Appeals Board to reconsider the judgments of either the Academic Honesty Judicial Board or the departmental review committees constituted to hear grade appeals.

2. Composition:

a. Three faculty members, appointed by the President on the recommendation of the Faculty Personnel Policies Committee. The Faculty Personnel Policies Committee also recommends which committee member shall serve as chairperson. Members are appointed to one-year terms.

b. The Associate Dean of Student Success, the Dean of the Faculty and the Registrar serve as nonvoting members. The Registrar serves as secretary of the Board.

c. The Vice President of Student Affairs, who shall meet with the Board when it hears or judges cases and appeals of academic suspension and dismissal.

3. Procedures:

a. Students must present their appeals in writing with supporting evidence to the secretary of the Board. Students have the right to make a personal appearance before the Board. If they wish to exercise this right, they must state this in their written appeal. The personal appearance is not for the purpose of bringing in new evidence or arguments but can be used only to clarify points made in the written appeal.

b. The Board shall give a written reply to students, informing them of the grounds for its

decision.

c. The secretary of the Board shall receive appeals, distribute copies of the documents to committee members, keep all records, and handle all correspondence for the Board.

c. Curricular Policies Committee

(revised FFPC 02/27/2019)

1. Purpose

Discuss and formulate curricular policies and procedures and exercise oversight of curricular changes.

2. Duties:

- a. Oversees the general education requirements of the College, including their implementation and proposed changes in requirements.
- b. Reviews recommendations for curricular changes in academic departments and interdisciplinary programs.
- c. Reviews proposals for new courses.
- d. Oversees the academic calendar.
- e. Oversees academic advising.
- f. Oversees the First-Year Studies Program and the Richter Scholars Program.
- g. Establishes new policies for the Academic Appeals Board as required and clarifies the intent of academic policies and rules at the request of the Board.
- h. Establishes methods for regular student evaluation of courses.

3. Composition:

- A. Three full-time faculty members: one from each of the academic divisions, nominated and elected by the faculty in rotation to serve staggered three-year terms. At least two faculty members must be tenured.
- b. Two students: for one-year terms, one appointed from the Executive Board by its Student Senate, one elected by and from the members of the departmental Academic Advisory Committees. Each student must have a cumulative GPA of 2.0 at the time of election.
- c. The Dean of the Faculty.
- d. The Dean of Students.
- e. The Registrar, or designee.
- f. The Committee shall elect its own chairperson, who must be a tenured faculty member.

4. Procedures:

- a. The Committee's decisions about curricular policies will ordinarily take the form of recommendations to the faculty, to be considered at a faculty meeting. Decisions about minor procedural changes, guidelines for the General Education Curriculum, and specific course offerings will not be submitted to the faculty. In those matters in which the Committee has delegated to the Dean of the Faculty the exercise of discretionary authority in interpreting academic policy, he or she will inform the Committee of such exercise.
- b. The Committee establishes guidelines for courses that fulfill the general education requirements, annually reviews and approves such courses for the next academic year, and monitors the functioning of the General Education Curriculum.
- c. Recommendations for curricular changes by departments or interdisciplinary programs must be submitted to the Curricular Policies Committee for evaluation. Automatic approval will be granted unless two-thirds of the membership of the Committee determines that the proposed changes have important consequences for the College's academic program, in which case the matter is placed on the Committee's agenda for discussion and action. Curricular changes to which the Committee has given automatic approval will not be

submitted to the faculty.

d. Minor calendar changes are proposed by the administration, discussed with College Council, and reviewed and approved by the Curricular Policies Committee. Major changes are also submitted by the Curricular Policies Committee for consideration at a faculty meeting.

d. Assessment Committee

1. Purpose: Provides a forum for considering the assessment of student learning at the College and makes recommendations to the Dean of the Faculty and/or other officers of the College, academic departments and programs, the faculty, and other committees as relevant.

2. Duties:

- a. Establishes procedures for the assessment of student learning outcomes.
- b. Assists academic programs with the creation and implementation of assessment plans.
- c. Receives and reviews annual assessment plans for all academic programs, evaluates the effectiveness of these plans, and provides recommendations to programs for improving the assessment of student learning.
- d. Collects, maintains, and makes available to appropriate constituencies a repository of assessment reports for all academic programs.
- e. In collaboration with Academic Resources and Review Committee (ARRC), provides assistance to academic programs undergoing external review.
- f. In collaboration with the Curricular Policies Committee (CPC), ensures that appropriate plans and processes are in place for the assessment of the College's General Education Curriculum.
- g. Conveys findings and recommendations derived from assessment activities to faculty governance committees, as appropriate.
- h. Maintains awareness of assessment best practices.
- i. Serves as a resource for departments, programs and other interested constituencies on campus and provides assistance in the ongoing development of effective assessment of student learning across campus.
- j. Reports annually to the Dean of the Faculty on the status of the assessment of student learning at the College.

3. Composition:

- a. At least four full-time faculty members, one from each division and one at-large member, appointed on the recommendation of FPPC. The at-large member serves as the committee chairperson and should have prior experience with assessment.
- b. The Associate Dean of the Faculty.
- c. The Institutional Research Associate.
- d. Additional faculty or staff representatives as needed, depending on major tasks to be undertaken during the year.

4. Procedures:

- a. The committee monitors the assessment of student learning outcomes for all academic programs and makes recommendations for the improvement of assessment at the College.
- b. Committee members who serve as divisional representatives act as liaisons to the departments in their division.

e. First-Year Studies Committee

1. Duties:

- a. Solicits proposals for First-Year Studies courses based on enrollment projections and reviews course proposals prior to review by the CPC.
- b. Reviews curricular and procedural matters as well as content of First-Year Studies information mailed to incoming students.

- c. Plans professional development and support for first-year studies faculty, such as spring and fall workshops and the Advisor Handbook.
- d. Determines First-Year Studies activities that will take place prior to the beginning of classes (such as summer registration), and works with the Gates Center to coordinate First-Year Studies programs (such as the Chicago Common Experience) with other Orientation Week events.
- e. The Chair works with support staff on administrative tasks such as placing students in First-Year Studies classes and responding to student questions about the program.
- f. The Chair oversees the budget and responds to individual faculty requests and concerns.

2. Composition:

- a. The Associate Dean of the Faculty plus at least three more full-time faculty members appointed by the FPPC, selected so that each of the three academic divisions are represented.
- b. The Dean of Students or designated alternate.
- c. Two students, one sophomore and one junior, both of whom participated in FIYS seminars as first-year students, to be appointed by the Executive Board of Student Government.
- d. A representative from the Library.

3. Procedures:

- a. The committee is chaired by the Associate Dean of the Faculty.
- b. The committee meets as needed.

3. Campus Policies

a. College Life Committee

1. Purpose

Provides a forum for the College's constituencies to consider issues related to College life and makes recommendations to the Dean of Students.

2. Duties

- a. Considers and recommends policies and programs concerning health, food, housing, counseling services, career planning, campus activities, athletics, social and recreational activities (including those that involve the use of alcohol), and athletic and recreational facilities.
- b. Mediates and suggests courses of action when problems arise with the Stentor and, when necessary, makes recommendations to the President of the College before a controversy can harmfully affect the College community or the ongoing success of the publication.

3. Composition:

- a. Four students: for one-year terms, three to be elected by the student body as a whole, and one to be appointed at large by the Executive Board of Student Government.
- b. The Vice President of Student Government, who will serve as chair and vote only in a tie.
- c. The Vice President of Student Affairs, who will not vote.
- d. The Director of the Gates Center.

- e. One faculty member: to be appointed by the Faculty Personnel Policies Committee from among academic departments for a two-year term.
- f. Two members of the staff, appointed by the President, for staggered two-year terms. At least one of these members must be from the full-time coaching staff. (Individuals who have faculty status but not faculty rank are considered “staff” for purposes of these appointments.)

4. Procedures:

All recommendations of the committee are sent to the Dean of Students, who may act on those recommendations within his or her authority and pass on any other recommendations to the President or other appropriate administrative officer or committee.

b. Campus Sustainability Committee

1. Duties:

- a. Considers and recommends policies and procedures on issues relating to the College’s efforts to be an ecologically sound campus.
- b. Develops and implements educational programs and workshops for the College community, promoting awareness of the national and local issues affecting the status of the environment.
- c. Assists in identifying and correcting actions or policies that have an adverse effect on the environment.
- d. Monitors and audits the College’s recycling efforts, making recommendations for improvement where necessary.

2. Composition:

- a. The chair of Environmental Studies and three faculty (one representative appointed from each division) on the recommendation of the Faculty Personnel Committee.
- b. A representative from the Office of Student Affairs.
- c. Four students (two to be elected by the student body at large, one appointed by the Executive Board, and the President of LEAP).
- d. The Director of Facilities Management.

3. Procedures:

- a. The committee shall elect its own chairperson.
- b. All recommendations of the committee are sent to the President, who may act on those recommendations within his or her authority and pass on any other recommendations to other appropriate administrative offices.

c. Student Academic Advisory Committees to Departments and Interdisciplinary Programs

1. Duties include advising departments and major committees on:

- a. Curriculum
- b. Appointments
- c. Department policies, procedures, and activities
- d. Academic honesty

2. Composition

Three majors, elected at a meeting of all majors, who then select their own chairperson. It is the responsibility of the Dean of the Faculty to maintain in the Dean’s Office an accurate list of the members of the committees. In the case of departments or programs not offering a major, three students shall be elected at a meeting of all students taking courses in these departments or participating in these programs.

3. Procedures:

- a. Departments and interdisciplinary committees must meet with their Advisory Committees

before making any recommendation to the Faculty Personnel Policies Committee regarding appointments and before submitting any plans for change in the curriculum to the Curricular Policies Committee.

b. A meeting of the department or interdisciplinary committee with its Advisory Committee shall take place at least twice a year.

c. The student chairperson or department may call a meeting.

d. LITS Advisory Committee

1. Duties: advises the Chief Information Officer on issues concerning library and information technology services, policies, and procedures.

2. Composition:

a. Three faculty members, one from each division, recommended by the Faculty Personnel Policies Committee

b. Two students, appointed by the Executive Board of Student Government

c. Two staff, appointed by the President with input from the President's staff

d. The Chief Information Officer

e. Director of the Library

f. The Dean of the Faculty, or his or her delegate (ex officio, nonvoting member)

In addition to these, the Independent Scholar Committee, the Grievance Committee, the Faculty Diversity Recruitment Subcommittee (FDRS), and the Writing Programs Committee are standing committees of the faculty. Faculty members also serve on the student judicial committees.

The Faculty Personnel Policies Committee recommends to the President faculty members who should be asked to serve as representatives on the Board of Trustees and on the various Trustee committees. It is customary to ask the chairperson of the Faculty Personnel Policies Committee to represent faculty on the Board of Trustees. Usually, the chairpersons of the Academic Resources and Review Committee, the Curricular Policies Committee, and the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee serve on the Academic Affairs Committee of the Board of Trustees.

There is one faculty member serving on the Student Affairs Committee, usually chosen from the two faculty members elected to the College Life Advisory Board. Similarly, the faculty representative on the Budget and Audit Committee usually is a member of the College Council.

e. Student Success Committee

The Student Success Committee will oversee student success at the College, monitor retention and graduation rates, and develop and implement recommendations to improve student persistence. The committee should be charged annually by the President to address specific issues pertaining to student success. The composition of the committee should be tailored to the annual charge, with members being appointed by the President.

C. GENERAL PROCEDURES

1. Governance Committee Nomination and Election Details

a. Number of votes per voter on nomination ballots: Voting faculty will be allowed to vote for up to 10 percent (rounded up to the nearest integer) of the total number of candidates on the nominating ballot. On nominating ballots of 30 or fewer candidates, voters will be allowed to vote for up to 3 candidates.

b. Eligibility for service on governance committee: All voting faculty expected to be on campus in the year following the election are eligible for nomination and election to governance committees.

c. Number of candidates to appear on election ballot:

- If one position is to be filled, the election ballot will contain the names of the three individuals receiving the highest number of votes from the nominating ballot.
- If more than one position is to be filled, the number of candidates to be placed on the election ballot will be equal to twice the number of positions to be filled. Voters will be allowed as many votes as there are positions to be filled.

d. Elections to fill long- and short-term positions: The individual receiving the highest number of votes will fill the long-term position. The individual receiving the second highest number of votes will fill the short-term (replacement) position.

e. Person(s) elected but unable to serve: The runner-up will serve for one year in the event that the individual elected cannot serve. If the runner-up is subsequently elected to another committee, a new election will be held.

f. Election to the College Council, the Faculty Personnel Policies Committee, the Curricular Policies Committee, or the Academic Resources and Review Committee shall make a faculty member ineligible for election to another of these committees (except as modified by B.1.b.2.C.).

g. Service for faculty on half-year or calendar-year sabbaticals continues, even to elected committees, for any semester not on leave. While on leave, a faculty member serving on an elected governance committee is replaced by the person who received the second most votes.

h. Voting eligibility: Those persons with voting privileges as defined in the Faculty Handbook are eligible to vote in Governance elections and run for Governance positions.

2. Procedures for Faculty Elections

a. Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee

No later than the second week of Spring term, the Dean of the Faculty shall circulate to the faculty a list of the faculty members eligible for election to the Promotion and Tenure Subcommittee. Nomination and election will be held by secret ballot, according to the procedures in C.1. Each faculty member shall vote on nominating and election ballots.

b. Academic Resources and Review Committee

No later than the fourth week of Spring term, the Dean of the Faculty shall circulate to the faculty, by division, a list of the full-time faculty members who teach on at least a half-time basis, in the same division, and who are therefore eligible for election to the Academic Resources and Review Committee. Nomination and election will be by secret ballot and will follow the procedure in C.1. Faculty members in each division will nominate representatives for their own division. Each faculty member shall vote for representatives for each division. Following the divisional elections, an at-large member shall be nominated and elected by secret ballot, according to the procedures in C.1. Each member of the entire faculty shall vote on nominating and election ballots.

c. Curricular Policies Committee

No later than the fourth week of Spring term, the Dean of the Faculty shall circulate to the faculty, by division, a list of the full-time faculty members who teach on at least a half-time basis, in the same division, and who are therefore eligible for election to the Curricular Policies Committee. Nomination and election will be by secret ballot and will follow the procedure in C.1. Faculty members in each division will nominate representatives for their own division. Each faculty member shall vote for representatives for each division.

d. College Council

No later than the sixth week of Spring term, the Dean of the Faculty shall circulate to the faculty in the division in which the three-year term vacancy occurs a list of the faculty members, in that same division, and who are therefore eligible for election to the College Council. Nominations and elections will be by secret ballot and will follow the procedures in C.1. Representatives for each division will be nominated and elected by members of that division. Individuals who have faculty status, but not faculty rank, will not vote in these nominations and elections, but rather in the staff electoral process for College Council.

e. The Remaining Members of the Faculty Personnel Policies Committee

No later than the eighth week of Spring term, the Dean of the Faculty shall circulate to the eligible faculty (see B.1.b.2.C.) a list of the faculty members eligible for election to the Faculty Personnel Policies Committee. Nomination and election will be by secret ballot and will follow the procedures in C.1. Each member of the entire faculty shall vote on nominating and election ballots.

f. After completing three consecutive years of service on elected governance committees, a faculty member may exempt himself or herself from further such service for a period of one year.

3. Vacancies

1. If the College Council determines that there is a vacancy of an elected position on any committee of College Governance, it shall ensure that the vacancy is filled (within two weeks' time) as follows:

- a. All elective faculty vacancies of College Governance Committees during the terms of office will be filled by the procedures in VI.A. (See especially VI.A.5.)
- b. Should a vacancy occur in an elected student position on a governance committee, the Executive Board of Student Government shall be responsible for appointing a replacement no later than two weeks after the vacancy occurs.

2. If the College Council determines that there is a vacancy of an appointed position on any committee of College Governance, it shall ask the Faculty Personnel Policies Committee or the Executive Board of Student Government to recommend respective faculty or student appointees.

3. If a change in a committee member's status may alter the basis of representation or legitimacy of that member's participation, the College Council shall determine what action, if any, is to be taken.

4. Subcommittees

- a. A committee may appoint a task-oriented subcommittee to study special problems and to bring information and policy options to the appointing committee.
- b. A subcommittee (except for the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee) shall exist no longer than the time required to accomplish its task.

5. Every faculty and joint faculty-student committee elected or appointed shall serve the entire year.

6. The Dean of Students is responsible for conducting all student elections, except the elections to the Academic Advisory Committees.

7. The Dean of the Faculty is responsible for conducting all student elections to the Academic Advisory Committees.

8. The President is an ex-officio member of all committees.

4. Ratification and Amendment Procedures

A. Ratification

1. This College Governance plan shall go into effect upon ratification by a two-thirds vote of all faculty members and full-time students participating in separate ratification elections.

2. Students shall vote by secret ballot during a two-day period. Balloting shall be under the supervision of the Dean of Students.

3. The faculty shall vote according to its rules at a faculty meeting held after the close of the polls of the student election.

4. The Dean of Students shall announce the result of the faculty and student votes simultaneously.

B. Amendments

1. The College Council is empowered to make minor modifications in this College Governance plan by unanimous vote to assure the better implementation of the spirit of this document. In no case shall a change become effective until three weeks after public announcement of the proposed change. If, by petition, 10 percent of the students or faculty or staff maintain that the modification is not minor or not in the spirit of the document, such modification cannot go into effect.
2. Amendments can be proposed by the College Council by a vote of no fewer than eight of its members.
3. Amendments can also be proposed by petition signed by one-third of the students or faculty or staff. Such petitions must be submitted to the College Council, which shall initiate a ratification referendum.

Amendments shall be deemed ratified if they receive the vote of two-thirds of the full-time students voting on the amendment, two-thirds of the faculty voting on the amendment, and two-thirds of the staff voting on the amendment.

5. Communication

A. Minutes of each governance committee, with the exception of the Academic Appeals Board and the Academic Advisory Committees, are to be distributed in each case to those groups formally represented by the membership of the committee electronically, as follows. Minutes shall be distributed to faculty and staff via electronic mail. Minutes shall be distributed to students via delivery of paper copies to the Gates Center (for posting), Student Government officers, and the Office of Residence Life (for posting). Paper copies of all minutes shall be distributed to the President, the Dean of the Faculty, the Dean of Students, the library reserve section, and the College archives, and any regularly published student newspaper, as well as to any member of the faculty or staff who indicates a strong desire to receive paper copies. Minutes for each committee shall be distributed by paper copy to its own members. It shall be the responsibility of the secretary of each committee to arrange for distribution of the minutes through the President's office.

B. Each governance committee chairperson is responsible for:

1. Preparing the agenda for meetings.
2. Ensuring the prompt distribution of appropriate minutes.
3. Calling meetings and notifying members.

C. Dissemination

1. The Librarian shall keep complete files of all committee minutes.
2. The Gates Center shall post the minutes and reports of all committees in Stuart Commons.
3. The Office of the President shall maintain an up-to-date copy of the Governance system.
4. Any communication problem within the Governance system should be brought to the attention of the College Council for resolution.
5. The student newspaper shall announce, when requested, and, when necessary, at the expense of the College:
 - a. Committee and Student Government meetings, agenda, reports, and decisions
 - b. Campus events
 - c. Statements by the President and other administrative officials

D. Reporting

Additional reports from committees may be requested for the faculty and/or staff by the President of the College or for students by the President of Student Government.

E. Registration

All student organizations that identify themselves as Lake Forest College groups must register with the Gates Center.

APPENDIX A

Federal Trafficking Penalties - Marijuana

As of November 18, 1988

Quantity	Description	First Offense	Second Offense
1,000 kg or more; or 1,000 or more plants	Marijuana Mixture containing detectable quantity*	Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years, not more than life. If death or serious injury, not less than life. Fine not more than \$8 million individual, \$20 million other than individual.
100 kg to 1,000 kg; or 100-999 plants	Marijuana Mixture containing detectable quantity*	Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$2 million individual, \$5 million other than individual.	Not less than 10 years, not more than life. If death or serious injury, not less than life. Fine not more than \$4 million individual, \$10 million other than individual.
50 to 100 kg	Marijuana	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million other than individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million other than individual.
10 to 100 kg	Hashish		
1 to 100 kg	Hashish Oil		
50-99 plants	Marijuana		
Less than 50 kg	Marijuana	Not more than 5 years. Fine not more than \$250,000, \$1 million other than individual.	Not more than 10 years. Fine \$500,000 individual, \$2 million other than individual
Less than 10 kg	Hashish		
Less than 1 kg	Hashish Oil		

*Includes Hashish and Hashish Oil

(Marijuana is a Schedule I Controlled Substance)

Federal Trafficking Penalties

As of November 18, 1988

CSA	PENALTY		Quantity	DRUG	Quantity	PENALTY	
	2nd Offense	1st Offense				1st Offense	2nd Offense
I and II	Not less than 10 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 5 years. Not more than 40 years. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$2 million individual, \$5 million other than individual.	10-99 gm or 100-999 gm mixture	METHAMPHETAMINE	100 gm or more or 1 kg ¹ or more mixture	Not less than 10 years. Not more than life. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years. Not more than life. If death or serious injury, not less than life.
			100-999 gm mixture	HEROIN	1 kg or more mixture		
			500-4,999 gm mixture	COCAINE	5 kg or more mixture		
			5-49 gm mixture	COCAINE BASE	50 gm or more mixture		
			10-99 gm or 100-999 gm mixture	PCP	100 gm or more or 1 kg or more mixture		
			1-10 gm mixture	LSD	10 gm or more mixture		
			40-399 gm mixture	FENTANYL	400 gm or more mixture		
10-99 gm mixture	FENTANYL ANALOGUE	100 gm or more mixture					
	Drug	Quantity	First Offense	Second Offense			
	Others ²	Any	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million not individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million not individual.			
III	All	Any	Not more than 5 years. Fine not more than \$250,000 individual, \$1 million not individual.	Not more than 10 years. Fine not more than \$500,000 individual, \$2 million not individual.			
IV	All	Any	Not more than 3 years. Fine not more than \$250,000 individual, \$1 million not individual.	Not more than 6 years. Fine not more than \$500,000 individual, \$2 million not individual.			
V	All	Any	Not more than 1 year. Fine not more than \$100,000 individual, \$250,000 not individual.	Not more than 2 years. Fine not more than \$200,000 individual, \$500,000 not individual.			

¹Law as originally enacted states 100 gm. Congress requested to make technical correction to 1 kg.

²Does not include marijuana, hashish, or hash oil. (See separate chart.)

APPENDIX B

U.S. Department of Justice Drug Enforcement Administration											
DRUGS OF ABUSE/Uses and Effects											
Drugs	CSA Schedules	Trade or Other Names	Medical Uses	Dependence			Duration (Hours)	Usual Method	Possible Effects	Effects of Overdose	Withdrawal Syndrome
				Physical	Psychological	Tolerance					
Narcotics											
Heroin	Substance I	Diamorphine, Horse, Smack, Black tar, <i>Chiya</i> , <i>Negra</i> (<i>black tar</i>)	None in U.S., Analgesic, Antitussive	High	High	Yes	3-4	Injected, snorted, smoked	Euphoria, drowsiness, respiratory depression, constricted pupils, nausea	Slow and shallow breathing, clammy skin, convulsions, coma, possible death	Watery eyes, runny nose, yawning, loss of appetite, irritability, tremors, panic, chills and sweating
Morphine	Substance II	MS-Contin, Roxanol, Oramorph SR, MSIR	Analgesic	High	High	Yes	3-12	Oral, injected			
Hydrocodone	Substance II, Product III, V	Hydrocodone w/ Acetaminophen, Vicodin, Vicoprofen, Tussionex, Lortab	Analgesic, Antitussive	High	High	Yes	3-6	Oral			
Hydro-morphine	Substance II	Dilaudid	Analgesic	High	High	Yes	3-4	Oral, injected			
Oxycodone	Substance II	Roxicet, Oxycodone w/ Acetaminophen, OxyContin, Endocet, Percocet, Percodan	Analgesic	High	High	Yes	3-12	Oral			
Codaine	Substance III, V	Acetaminophen, Guafenesin or Promethazine w/Codaine, Fiorinal, Fibricet or Tylenol w/Codaine	Analgesic, Antitussive	Moderate	Moderate	Yes	3-4	Oral, injected			
Other Narcotics	Substance II, III, IV	Fentanyl, Demerol, Methadone, Darvon, Stadol, Talwin, Paregoric, Buprenex	Analgesic, Antidiarrheal, Antitussive	High-Low	High-Low	Yes	Variable	Oral, injected, snorted, smoked			
Depressants											
Gamma Hydroxybutyric Acid	Substance I, Product III	GHB, Liquid Ecstasy, Liquid X, Sodium Oxybate, Xyrem®	None in U.S., Anesthetic	Moderate	Moderate	Yes	3-6	Oral	Slurred speech, disorientation, drunken behavior without odor of alcohol, impaired memory of events, interacts with alcohol	Shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma, possible death	Anxiety, insomnia, tremors, delirium, convulsions, possible death
Benzodiazepines	Substance IV	Valium, Xanax, Halcion, Ativan, Restoril, Rohypnol (Roofies, R-2), Klonopin	Antianxiety, Sedative, Anti-convulsant, Hypnotic, Muscle Relaxant	Moderate	Moderate	Yes	1-8	Oral, injected			
Other Depressants	Substance I, II, III, IV	Ambien, Sonata, Meprobamate, Chloral Hydrate, Barbiturates, Methaqualone (Quaalude)	Antianxiety, Sedative, Hypnotic	Moderate	Moderate	Yes	2-6	Oral			
Stimulants											
Cocaine	Substance II	Coke, Flake, Snow, Crack, Coca, <i>Bianca</i> , <i>Perico</i> , <i>Nieve</i> , Soda	Local anesthetic	Possible	High	Yes	1-2	Snorted, smoked, injected	Increased alertness, excitation, euphoria, increased pulse rate & blood pressure, loss of appetite	Agitation, increased body temperature, hallucinations, convulsions, possible death	Apathy, long periods of sleep, irritability, depression, disorientation
Amphetamine/ Methamphetamine	Substance II	Crank, Ice, Crystal, Krystal Meth, Speed, Adderall, Dexedrine, Desoxyn	Attention deficit/hyperactivity disorder, narcolepsy, weight control	Possible	High	Yes	2-4	Oral, injected, smoked			
Methylphenidate	Substance II	Ritalin (illy's), Concerta,	Attention	Possible	High	Yes	2-4	Oral,			

APPENDIX C

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

APPENDIX D

June 29, 2009

Re: Campus Conduct Hotline

Dear Faculty, Staff and Students:

It is very important to the College that we conduct all our educational programs, business operations and institutional practices in a fair and ethical manner. With this in mind, I am pleased to announce a new service. It is called ***Campus Conduct Hotline***© and it is designed to make it possible for you to confidentially report concerns about possible unethical or improper behavior on campus. The ***Campus Conduct Hotline***© system is available for your use around the clock, seven days a week. Because the ***Hotline*** is operated by an independent organization, any calls made through this ***Hotline*** are completely confidential and anonymous.

Using this new reporting service is easy. If you have a question or concern about a possible instance of unethical behavior, violation of fair employment policies, or the like, simply dial toll-free to **866.943.5787**.

Once you have dialed the toll-free number, here is how the reporting and follow-up processes work:

- Your call will be greeted promptly and courteously by a person who makes certain you understand the ***Campus Conduct Hotline***© program and how it functions. If you prefer to make your report in a language other than English, just let the person who answers know and a translator will be provided.
- At the beginning of the interview, you will be provided with a five-digit, randomly generated case number that you should use to check back for updates and requests for additional information. Be sure to write this number down and remember where you put it!
- You will then be interviewed about the question or concern that is on your mind.
- Your interview will not be recorded. Instead, the interviewer will be typing notes of your conversation. Whether or not you choose to provide your name is completely up to you.
- Within one business-day of your call, a summary of the interview will be forwarded to our institution. The Hotline's goal will be to have a basic response back to you in five business days.

- To receive your response, you will need to call back and provide the five-digit case number that has been assigned to you. At that time, you might be asked to provide additional information or to call back at a later date. You will be able to keep checking back for updates until your case is closed.

Because of the built-in confidentiality, it is important that you try to be as specific as possible about the information you provide. For example, you will need to provide the name of the department you work in and the location you are calling about. And, please be sure to call back in five business days to check to see if any additional information is needed. Alternatively, if you would like someone to contact you directly, you can leave your name along with a phone number where and when you would prefer to be called.

To repeat, at no time is any caller required to identify himself or herself and all information provided can be completely confidential and anonymous.

The College is committed to maintaining the highest ethical standards on campus. If you experience or observe what you believe is inappropriate behavior and are unsure what to do, I hope you will use the ***Campus Conduct Hotline***© to report it.

Sincerely,

A handwritten signature in black ink, appearing to read "Stephen D. Schutt", written in a cursive style.

Stephen D. Schutt
President of the College

When should you call Campus Conduct Hotline?

Campus Conduct Hotline offers an easy, comfortable way to report activity or behavior you may observe or experience on campus that is harmful, unethical, questionable, or causes you or someone else personal injury. You should call the Campus Conduct Hotline if you experience or observe any of the following:

- **Fraud or crime**
- **Sexual harassment**
- **Discrimination**
- **Safety or facility risk issues**
- **Security and Internet policy abuses**
- **Code of Conduct violations**
- **Workplace hostility**
- **Unethical grading practices**
- **Fraudulent financial or business practices**
- **Any other questionable behavior**

Report

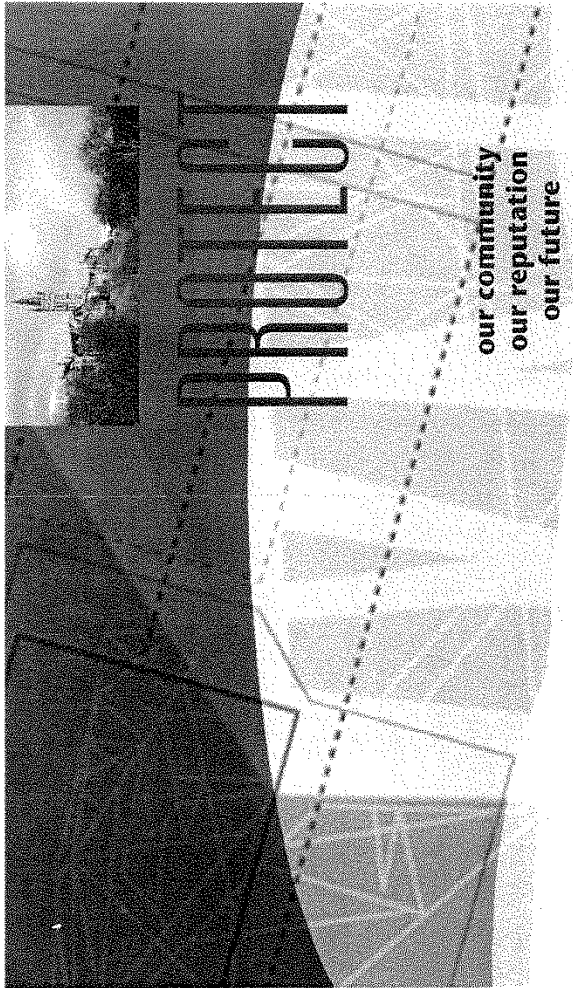


A report is filed with your institution

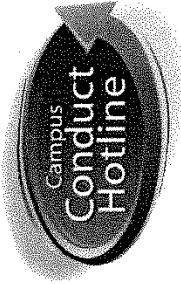
Investigate



Your concern is investigated



**our community
our reputation
our future**



Your confidential way to report unethical behavior.



**Protect
our community
our reputation
our future**

866-943-5787



educational & institutional insurance administrators, inc.

Campus Conduct Hotline (CCH) is brought to you by your institution and Educational & Institutional Insurance Administrators, Inc. (EIIA). EIIA is a leader in insurance services and risk management for higher education. For more information about CCH or EIIA visit our websites at www.CampusConduct.com and www.eiia.org.

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Campus
**Conduct
 Hotline**
 866-943-5787

**Protecting the principles of
 honesty, integrity, excellence,
 and a safe and healthy
 environment for everyone.**

**Introducing Campus
 Conduct HotlineSM**

Your Campus-Wide Safety Net

Campus Conduct Hotline is a confidential, independent, call-in service that provides a simple, anonymous way for you to help preserve the values and reputation of our institution. One phone call from you can alert the institution administration of problems that may affect the entire campus community.

**How Does Campus Conduct
 Hotline Work?**

When you call Campus Conduct Hotline you will speak to a friendly, trained specialist who will guide you through the details of your concern. You will be given a case number for your reference, so your call will be completely anonymous. No information will be taken about you, so you will never be identified.

Your concerns will be submitted to the campus administration for investigation. Using your case number you can call Campus Conduct Hotline at any time to check on the status of the investigation and learn of any actions that have been taken—thanks to your phone call.

**When you use Campus
 Conduct Hotline, your call
 will be:**

- Confidential and anonymous
- Answered by a masters'-degree specialist in psychology or social service
- Handled with support and sensitivity
- Reported to the administration for investigation
- Assigned a case number you can use to follow-up on the status of your concern

866-943-5787

Observe

1

You notice questionable behavior or unsafe conditions.

Alert

2

You call Campus Conduct Hotline to voice your concern.

Report

3

A report is filed with your institution.

Investigate

4

Your concern is investigated.

Resolved

5

A course of action is determined.



Your voice has made a difference.

APPENDIX E

LAKE FOREST COLLEGE WHISTLEBLOWER POLICY Policy on Employee, Student, Vendor, Alumni and Applicant Disclosure of Misconduct Including Questionable Accounting or Auditing Matters

(Approved by Budget & Audit Committee April 14, 2009)

I. Purpose and Applicability

The purpose of this policy is to set forth Lake Forest College's policy on Board member, employee, volunteer, student, vendor, alumni and applicant disclosure of misconduct, including misconduct relating to accounting or auditing matters, and to protect Board members, employees, volunteers, students, vendors, alumni and applicants from retaliation in the form of an adverse employment and other action for disclosing what the Board member, employee, volunteer, student, vendor, alumni or applicant believes are improper or unlawful practices. This policy is applicable to all Board members, employees, volunteers, students, vendors, alumni of the College, and to applicants for jobs at the College.

II. Statement of Policy

It is the policy of Lake Forest College that a Board member, employee, volunteer, student, vendor, alumnus or applicant shall be free without fear of retaliation to make known allegations of misconduct existing within the College that he or she reasonably believes constitutes the following: wire fraud, mail fraud, bank fraud, securities fraud or questionable accounting, internal controls, and auditing matters. It is further the policy of the College that a Board member, employee, volunteer, student, vendor, alumnus or applicant shall be free without fear of retaliation to make known allegations of misconduct existing within the College that he or she reasonably believes constitutes a violation of the College's stated policies, procedures or legal obligations.

A Board member, employee, volunteer, student, vendor, alumnus or applicant shall not take any adverse employment action or other action in retaliation against any individual or organization who discloses information regarding misconduct under this policy or who, following such disclosure, seeks a remedy provided under this policy or any law or other College policy. Retaliation for disclosures made under this policy may result in suspension, termination, cancellation of the applicable vendor contract, removal from campus or any other action the College deems necessary.

III. Process for Disclosure

A. An employee, volunteer, student, vendor, alumnus or applicant shall disclose all relevant information regarding evidenced misconduct to the following designated intake officers, in accordance with the subject matter of the disclosure:

<u>Subject Matter</u>	<u>Intake Officers</u>
ADA Rules Violation	Provost & Dean of Faculty (Michael Orr) Interim Dean of Students (Erin Hoffman)
Discrimination	Provost & Dean of Faculty (Michael Orr) Director of Human Resources (Agnes Stepek)
Faculty/Staff Handbook Violation Hostile Workplace Retaliation Wrongful Termination Waste of Institution Resources	Director of Human Resources (Agnes Stepek) Controller (Doris Dumas)

Harassment	Director of Human Resources (Agnes Stepek)
Sexual Misconduct	Title IX Coordinator (Joan Slavin)
Hate Messages	Interim Dean of Students (Erin Hoffman) Director of Public Safety (Richard Cohen)
Financial Improprieties Fraudulent Accounting/Bookkeeping Illegal/Unethical Business Practices	VP for Finance and Planning (Lori Sundberg) Provost & Dean of Faculty (Michael Orr)
NCAA/Athletic Rules Violation	Director of Athletics (Jackie Slaats) Provost & Dean of Faculty (Michael Orr)
Safety/Security Issues Environmental Hazards Unsafe Workplace Conditions	Director of Public Safety (Richard Cohen) Director of Facilities Management (David Siebert)

If the disclosure is by a Board member, it shall be made to the Chair of the Board, unless the complaint involves the Chair of the Board, in which case the complaint shall be to the Vice Chair or the President.

Any disclosure shall be made in a signed written document within ninety (90) days of the day on which the complainant knew or should have known of the misconduct. If the Board member, employee, volunteer, student, vendor, alumnus or applicant would rather contact a source outside of the institution, he or she may contact **Campus Conduct Hotline (866-943-5787)** within ninety (90) days of the day on which the complainant knew or should have known of the misconduct.

B. The intake officer shall consider the disclosure and take whatever action he or she determines to be appropriate under the law and circumstances of the disclosure.

C. In the case of disclosure of misconduct involving the designated intake officer, the disclosure shall be directed to the alternate designee. The alternate designee shall consider the disclosure and take whatever action he or she determines to be appropriate under the law and circumstances of the disclosure.

D. In the case of disclosure involving financial misconduct, the intake officer shall also provide the disclosure to the Chair of Budget & Audit Committee for his or her review and consideration.

E. In the case of disclosure to **Campus Conduct Hotline (866-943-5787)** that does not involve financial misconduct, the President shall be entitled to receive a summary of the disclosure from the intake officer. At his discretion, the President shall have the authority to resolve the matter in accordance with College policies.

F. If the disclosure involves the President, the disclosure may be directed to the Chair of the Board of Trustees.

G. If the disclosure involves a member of the Board of Trustees, the disclosure may be directed to the Chair of the Board of Trustees.

IV. Complaints of Retaliation as a Result of Disclosure

A. If a Board member, employee, volunteer, student, vendor, alumnus or applicant believes that he or she has been retaliated against in the form of an adverse employment or other action for disclosing information regarding misconduct under this policy, he or she may file a written complaint requesting an appropriate remedy.

B. For purposes of this policy, an adverse employment action shall be defined as actions including: discharge, demotion, suspension, being threatened or harassed, or in any other manner discriminated against with respect to compensation, terms, conditions or privileges of employment. Other adverse actions include: dismissing, suspending or disciplining a student or changing or lowering a grade or evaluation of a student or negatively affecting the student's academic career; terminating or threatening to terminate a customer or vendor relationship; and unlawfully discriminating against an alumnus or volunteer. This policy does not prohibit an employment action or any other action that would have been taken regardless of disclosure of information.

V. Process for Adjudication of Complaints Stemming from Disclosure

A. A Board member, employee, volunteer, student, vendor, alumnus or applicant must file a complaint with the intake officer or his/her alternate within ninety (90) days from the effective date of the adverse employment action or from the date on which the employee, volunteer, student, vendor, alumnus or applicant should reasonably have had knowledge of the adverse action.

B. Complaints shall be filed in writing and shall include:

1. Name and address of the complainant;
2. Name and title of individual(s) against whom the complaint is made;
3. The specific type(s) of adverse action(s) taken;
4. The specific date(s) on which the adverse action(s) were taken;
 5. A clear and concise statement of the facts that form the basis of the complaint;
 6. A clear and concise statement of the complainant's explanation of how his or her previous disclosure of misconduct is related to the adverse employment or other action; and
7. A clear and concise statement of the remedy sought by the complainant.

C. Within sixty (60) calendar days of receipt of the complaint, the intake officer or his/her alternate shall consider the written complaint, shall conduct or have conducted an investigation which, in his or her judgment, is consistent with the circumstances of the complaint and disclosure, and shall provide the complainant with a determination regarding the complaint.

D. The determination shall be in writing and shall include the findings of fact, the conclusions of the investigation, and, if applicable, a specific and timely remedy consistent with the findings. The decision of the intake officer or his/her alternate shall be final.
the findings. The decision of the intake officer or his/her alternate shall be final.

APPENDIX F

Lake Forest College Fraud and standards of conduct policy

(Approved by the Budget and Audit Committee, April 8, 2011)

The policy below is a general statement on fraud and standards of conduct. Integral to this policy are the Conflict of Interest Policy and Whistleblower Policy. The Fraud Policy concentrates on the measures taken to *prevent and detect* fraud, through appropriate controls and through communication of standards of conduct. The Conflict of Interest supports this policy by communicating to the Board of Trustees, the President, Vice President and Directors the importance of avoiding activities that give rise to an actual or perceived conflict of interest. The Whistleblower Policy provides the opportunity for any member of the College community or public to disclose what he or she believes to be improper or unlawful activities without fear of retaliation. The Whistleblower Policy therefore is an important part of the Fraud and Standards of Conduct Policy, but the Fraud and Standards of Conduct Policy will address more specifically the expectation of the College Administration and Board of Trustees that potential fraud be addressed and prevented prior to occurrence.

This policy applies to any fraud or suspected fraud involving employees, officers or trustees, as well as members, vendors, consultants, contractors, funding sources and/or any other parties with a business relationship with Lake Forest College. Any investigative activity required will be conducted without regard to the suspected wrongdoer's length of service, position/title, or relationship with the College.

Policy

Management is responsible for the detection and prevention of fraud, misappropriations, and other irregularities. Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury. Each member of the management team will be familiar with the types of improprieties that might occur within his or her area of responsibility, and be alert for any indication of irregularity.

Any fraud that is detected or suspected must be reported immediately to the President, Vice President for Business Affairs or, alternatively, to the Chair of the Lake Forest College Budget & Audit Committee.

Actions Constituting Fraud

The terms fraud, defalcation, misappropriation, and other fiscal irregularities refer to, but are not limited to:

1. Any dishonest or fraudulent act.
2. Forgery or alteration of any document or account belonging to Lake Forest College.
3. Destruction, alteration, mutilation, concealment, covering up, falsification or making of a false entry in any record, document or tangible object with the intent to impede, obstruct or influence any investigation by the College or any state, federal or administrative agency.
4. The destruction, alteration or concealment of any records used in the conduct of an audit.
5. Forgery or alteration of a check, bank draft, or any other financial document.

6. Misappropriation of funds, securities, supplies, equipment, or other assets of Lake Forest College.
7. Impropriety in the handling or reporting of money or financial transactions.
8. Disclosing confidential and proprietary information to outside or inappropriate parties.
9. Accepting or seeking anything of material value from contractors, vendors, or persons providing goods or services to the College. Exception: gifts less than a nominal amount of \$75 or less in value.
10. Destruction, removal or inappropriate use of records, furniture, fixtures, and equipment.
11. Improperly influencing or attempting to improperly influence the conduct of any audit of College finances or accounts.
12. Any similar or related irregularity.

Standards of Conduct

Staff employees are held to a standard of conduct as described in the employee handbooks, which are all available online. In addition to supporting standards of sound judgment, courtesy and good taste, the policy also prohibits any act which could harm the College or its employees or which interferes with the College's operations. An example of prohibited conduct is specifically any conduct that violates standards of honesty and ethical relationships. Background checks are done on key employees in the financial, public safety, development and technology areas at time of hire.

Students are informed of expected standards of conduct in the student handbook under Community Standards and Student Conduct. The Honor Code is also printed in the handbook and available online to all students. Per the Honor Code, members of the Lake Forest College community are expected to uphold the standards of honesty, mutual respect, self-discipline, and civility that represent the core values of the college in all aspects of social and academic interactions.

The Faculty Handbook contains the policy on Misconduct in Scholarship. This policy prohibits fabrication, falsification, plagiarism or other practices that seriously deviate from those that are commonly accepted within the appropriate scholarly community for proposing, conducting, or reporting on scholarship. The handbook also contains the policy on Academic Honesty. The Faculty Handbook is given to every new member of the faculty.

Other Irregularities and Non-Fraud Irregularities

If there is a question as to whether an action constitutes fraud, College employees should contact the President, Vice President for Business Affairs or the Chair of the Budget & Audit Committee for guidance.

Identification or allegations of acts which are non-fraud, such as personal improprieties or irregularities, whether moral, ethical or behavioral, safety or work environment related, or complaints of discrimination or sexual harassment, should be resolved by the respective area department head in conjunction with Human Resources and/or reference to other existing College policy.

Identification and prevention of potential fraud opportunities

College administrators and all levels of management are responsible for establishing and maintaining proper internal controls that provide security and accountability for the resources entrusted to them. Administrators should be familiar with the risks and exposures inherent in their areas of responsibility and be alert for any indications of improper activities.

Each member of Senior Staff is required to review this policy annually with key departmental staff. Particular attention should be paid to identifying potential areas for fraudulent conduct. Such conduct may be in connection with financial assets of the College as listed above or may be related to any other activities which may lead to the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury.

Upon identification of potential fraud situations, the administration should review the likelihood that fraudulent behavior could occur – whether remote, possible or probable. The controls that are in place to prevent such behavior should be examined. In the cases where prevention controls would be overly difficult, detection controls, such as sampling, should be in place and regularly followed. The Vice President for Business Affairs should be consulted by departments when concerns about appropriate controls are raised. The Budget & Audit Committee should be informed annually of any areas which have a probable risk of fraud which cannot be addressed without addition of resources. Tolerance levels for risk are communicated to the Budget & Audit Committee.

Each area must review the effectiveness of controls put in place. Such review should take place annually or whenever significant changes in operation or personnel take place

Investigation Responsibilities

The Whistleblower Policy contains the steps taken by the intake officer when suspected fraud is reported through this manner. The Campus Conduct Hotline is available 24/7.

College employees may use the channel of communication most comfortable to them. They may choose to report concerns to their immediate supervisor, department head, or the President or VP of Business Affairs. Any reported or suspected fraud should be at a minimum brought to the attention of the Senior Staff administrator in that department.

When a member of Senior Staff suspects fraud and wishes to investigate further within his or her own department the following steps should be taken:

1. Do not contact the suspected individual to determine facts.
2. Immediately confer with the President and with the Vice President for Business Affairs, the senior administrator in charge of human resources.
3. Take care to avoid any incorrect accusations or violating a person's right to due process, or making statements that could lead to claims of false accusation or other civil rights violations.
4. Do not discuss the case, facts, suspicions or allegations with anyone unless directed to do so by the President or VP for Business Affairs.
5. Devise a plan to investigate the suspected fraud which will avoid mistaken accusations or alerting suspected individuals that an investigation is under way.
6. Review the investigation with the President and with the VP for Business Affairs.

The Administration, in consultation with the Budget & Audit Committee, has the primary responsibility for the investigation of all suspected fraudulent acts as defined in the policy. The investigation may utilize whatever internal and/or external resources considered necessary. If an

investigation substantiates that fraudulent activities have occurred, the President, Vice President for Business Affairs or the Budget & Audit Committee Chair will issue reports to appropriate designated personnel and, if appropriate, to the Board of Trustees and/or the Executive Committee of the Board of Trustees.

Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made in conjunction with legal counsel. Decisions regarding demotion, suspension or termination will also be made in conjunction with legal counsel.

If suspected fraud or other wrongdoing involves programs funded in whole or in part with federal funds, additional responsibilities, such as special reporting and disclosure to the awarding agency, may apply. It is the policy of Lake Forest College to fully comply with all additional reporting disclosure and other requirements pertaining to suspected acts of fraud as described in award documents.

Document Retention

It is the intent of the College to comply with all relevant state and federal document retention requirements.

Confidentiality and Whistleblower Protections

In the event that institutional prevention and detection controls are not sufficient to identify fraud, the Whistleblower Policy becomes an important element of fraud detection. The Whistleblower Policy outlines procedures for disclosure and investigation of suspected fraud. It also details the steps taken to protect the confidentiality of the person making the charge.

Authority for Investigation of Suspected Fraud

Those individuals assigned to investigate suspected fraud will have:

1. Free or unrestricted access to all Lake Forest College records and premises, whether owned or rented; and
2. The authority to examine, copy, and/or remove all or any portion of the contents of files, desks, cabinets, and other storage facilities on the premises without prior knowledge or consent of any individual who may use or have custody or any such items or facilities when it is within the scope of their investigations.

APPENDIX G

Lake Forest College Student Complaint Policy

(Approved by the Dean of the Faculty and the Dean of Students, June 21, 2016)

Lake Forest College (the “College”) has designed and maintains the Policy described herein to address student academic and non-academic complaints that are not otherwise addressed in the Student Handbook or other written College policies or procedures (e.g, the Sexual Misconduct Policy). The College encourages informal resolution of complaints whenever possible at the lowest unit level, but provides, through this Policy, for a formal review of complaints to provide resolution when informal resolution is not achieved. The College maintains records of all formal complaints pursuant to the Policy along with the resolution status.

Students may bring complaints against the College with regard to any academic or non-academic services provided to students by any representative of the College, but all complaints must claim that a College policy, regulation or established practice has been violated. No complaint will be considered unless it specifically references the underlying policy, regulation or established practice which has been alleged to be violated.

As further defined below, the Policy does not apply to student complaints regarding issues that can be addressed through other complaint procedures established by the College. Excluded issues, in this respect, include, but are not limited to, those regarding employment by the College, admissions or financial aid decisions, grades, fees including parking violations, academic honesty, housing, sexual harassment or misconduct.

Resolution under this policy shall fall into one of two categories:

- A. Student Academic Complaints are complaints brought by students alleging violations of Lake Forest College’s policies or practices regarding the provision of education or other academic services which affect the complainant in his or her role as a student at Lake Forest College. Student academic complaints shall not include grade disputes, academic appeals brought before the Academic Appeals Board or appeals of Academic Honesty Judicial Board decisions. Students should consult the Lake Forest College Student Handbook for procedures related to complaints which are excluded under this policy.
- B. Student Non-Academic Complaints are complaints brought by students alleging violations of policies or practices regarding the provision of non-academic services by the College. Non-academic complaints shall not include admissions or financial aid decisions, campus housing assignments, parking or residence hall fines, student conduct findings including those involving fees or violation charges, or sexual harassment or misconduct. Students should consult the Lake Forest College Student Handbook for procedures related to complaints which are excluded under this policy.

Informal Resolution of Student Complaints

The first stage of the complaint process under this Policy must be an informal meeting with the party or parties involved and an appropriate third party such as a department chair, administrator or faculty member. If the complaint cannot be resolved informally, the student may seek formal resolution.

Formal Resolution of Student Complaints

If resolution is not reached through informal means, the student may bring a formal written complaint to the appropriate Dean. Student Academic Complaints shall be addressed to the Dean of the Faculty while Student Non-Academic Complaints shall be addressed to the Vice President of Student Affairs.

The student must submit a written explanation of the issue of concern including a full description of the issue, the College policy or policies which the student is alleging have been violated, a description of any efforts which have been made to resolve the concern informally and a statement of requested remedy. Copies of any relevant documents or other materials should be attached.

Upon receipt of a formal complaint, the Dean of the Faculty or the Vice President of Student Affairs (whichever is appropriately addressed by the complaint) shall designate an investigator to review the matter and make recommendations for remedy. The investigator may request a written response from any College employee or representative mentioned in the complaint and any other persons who may be able to help with the resolution of the complaint. The investigator may also conduct interviews or review documents as required.

All investigations should be completed within 30 days of the filing of the written complaint, however the appropriate Dean may extend this time for good cause. In all cases, the complaint will be reviewed and investigated as quickly as possible. The College maintains a strict policy against retaliation toward the complaining student by any College employee or representative including other students. The investigator will file a report of the findings of the investigation to the appropriate senior administrator along with recommended remedies, if any. The Dean of the Faculty or the Vice President of Student Affairs will review the recommendations of the investigator and render a final decision regarding the resolution of the complaint. The decisions of the senior administrators are final and may not be appealed.

Records of Student Complaints

Lake Forest College maintains records of formal student complaints. The following procedures will be followed with respect to any formal student complaints filed and adjudicated according to this Policy:

- a. The files for Student Academic Complaints will be maintained in the office of the Dean of the Faculty. The files for Student Non-academic Complaints will be maintained in the office of the Vice President of Student Affairs.
- b. For purposes of tracking complaints, the College will assume that any issues for which no formal complaint has been filed have been resolved informally.
- c. Copies of the formal complaint filed by a student along with any exhibits and attachments shall be maintained in the appropriate Dean's office for a period of two years from the date of the findings of the investigator. After two years, the student complaint and any other material with identifying information will be purged to protect the confidentiality of student information.
- d. The College will maintain summary records of student complaints under this Policy for a period of ten years which will include the following:
 - i. The total number of complaints filed in each year.
 - ii. The general type of complaint.
 - iii. A summary record of the action taken by the College with respect to the complaint.
- e. This summary record will be provided annually to the President of the College for review to determine if any institutional changes are warranted.
- f. This summary will be made available to Higher Learning Commission reviewers during any visit to the College and will be included in the materials supplied to the reviewers as part of the accreditation process.
- g. The College maintains only the records of formal complaints filed by students or former students of the College. Complaints initiated by parents, employees, members of the

public or any other individuals or groups are not tracked or subject to the terms of this Policy.