

LAKE FOREST COLLEGE

STAFF HANDBOOK



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MISSION STATEMENT

(May 1992; Amended 2014)

Lake Forest College affirms that education ennobles the individual. Our curriculum engages students in the breadth 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. – *Approved by the Faculty and Trustees, May 1992; amended 2014.*

FOREWORD

The employees of Lake Forest College represent many diverse occupations. The College acknowledges your contributions and appreciates your support of our mission and the life of the college community.

As a new or continuing employee to Lake Forest College, we welcome you and hope your experience here will be profitable and enjoyable. We are justly proud of the friendliness you will find here and of the working conditions you will encounter now that you are a member of our College Community.

This handbook has been prepared for your information and guidance while you are employed at Lake Forest College. It is intended as a reference guide. The explanatory material for employees does not constitute a contract of employment with the College and does not change or modify any agreements between the College and the employee. It is your responsibility to read and understand this handbook. Please feel free to speak to your supervisor or the Director of Human Resources about any questions, comments, or concerns you have about any of the policies described in this handbook or about your employment in general.

The sole purpose of the handbook and any subsequent revisions are to provide general information only regarding the personnel program, and the information provided may not apply in any particular case. In particular, unless otherwise specifically indicated in a written contract between the employee and the College, all personnel are considered employees at will, and any or all language which might be construed to the contrary is hereby specifically disclaimed. At-will employment means that either you

or Lake Forest College may terminate the employment relationship at any time, for any reason or no reason, without notice. Nothing in this explanatory material shall be interpreted as an offer of employment or promise of continued employment. Continued employment of all employees is subject to the general discretion of the Board of Trustees with respect to all aspects of employment and benefits.

The employment policies and benefits described in this Handbook are those currently in effect. Lake Forest College reserves the right to change, delete or add to them in any way at any time in its sole discretion. If there are differences between the terms described in the Handbook and the terms described in the employee benefit plan documents, the terms of the plan documents control. This Handbook supersedes all existing policies and practices. Any exceptions to the policies stated herein must have written approval of the Vice President for Business.

SECTION I EMPLOYMENT

Recruiting and Selection

(Effective September 30, 2019; Updated May 31, 2022)

PURPOSE

To establish uniform guidelines for hiring the best qualified candidates for staff positions.

POLICY

The College is committed to the principle of equal employment opportunity and actively seeks cultural, racial, and gender diversity in its staff. All candidates for employment shall receive consistent and equitable treatment. The career development of current, qualified staff members is a high priority for the College. The procedures outlined in this policy are meant to ensure a thorough and fair search process, resulting in a qualified pool of candidates from which to make hiring decisions.

PROCEDURE

1. Job Description and Job Classification

- Job descriptions are used to briefly describe a job's primary purpose, essential functions and responsibilities. Lake Forest College uses the Position Description Questionnaire (PDQ) form to assist in the completion of job descriptions. Once a job description is completed, it should be used during the interview/hiring process, as well as a standard to guide in performance review or corrective action procedures.

2. Job Approval

- An authorization to employ must be obtained prior to any recruitment and selection activities. Once an authorization of a staff opening is made by the President, the position will be posted on the College's website and other recruitment sources, and as necessary. (See 4 below).

3. Internal Applicants

- Employees who have been in their current position for at least six months may apply for job openings. This six-month probation may be waived with the consent of the employee's supervisor and the Office of Human Resources. Employees must complete an internal job posting form and submit it to the Director of Human Resources along with an updated resume. All internal applicants who apply for a vacancy will be considered on the basis of their qualifications and ability to perform the job successfully. Internal candidates who are not selected will be notified by the Director of Human Resources or the hiring manager.
- Internal candidates who are selected for an open position will be subject to a 90-day Introductory Period at the onset of his or her new position.

4. Recruitment and Advertising

- Positions are advertised externally based upon the need and budget requirements. The Office of Human Resources is responsible for placing recruitment advertising for open positions.

5. Search Committees

- Some staff hiring is conducted through the use of a Search Committee. Positions for which a search committee may be formed include Executive, Administrative, and Managerial openings, as well as any position in which the hiring manager deems the use of search committee as essential to the success of the search. Search Committees shall request a representative from the Intercultural Advisory Group.
- It is important for every member of the Search Committee to thoroughly understand the requirements of the position to be filled, the needs of the department, diversity objectives, College policies regarding equal employment opportunity, and the mission of the College in order to assure the prospect of a successful search.

6. Interviews

- In order to determine which applicants are best qualified for the open position, the hiring managers will screen applications and/or resumes to determine applicants who meet the minimum qualifications of the job. The following are steps to be used in the interviewing process:
 - Telephone Screening
 - It is highly recommended that the hiring manager conducts a phone screen of the applicants to ascertain skill level and interest.
 - Interview
 - The hiring manager conducts interviews of applicants who meet the minimum qualifications of the position. All interviewees are required to complete an application prior to the interview.

- Committee interviews may be conducted for some positions. If a committee is formed, a structured interview is recommended. Interview questions should be compiled by the committee. After the committee completes the interview process, the results of the interview should be forwarded to the hiring manager for review. The hiring manager has the ultimate responsibility of making the hiring decision.
- Once interviews have been completed, the hiring manager and the Director of Human Resources will meet to discuss the candidate(s).
-

7. Salary History Ban

- Salary History Ban -- an amendment to the Illinois Equal Pay Act of 2003 -- was signed into law on July 31, 2019, and became effective September 29, 2019. This amendment prohibits employers from inquiring into a job applicant's salary and benefit history.
- Under the new law, employers are permitted to:
 - Share information with an applicant about the wage, salary or benefits being offered for a position.
 - Discuss an applicant's expectations with respect to wage, salary or benefit information.

8. Good Faith Search Effort

- Employment searches are conducted in compliance with Equal Employment Opportunity laws. The Director of Human Resources reviews the employment process to insure that the search effort was conducted in good faith compliance with the law. This step is completed before an employment offer is made and after the Good Faith Search Form has been completed by the hiring manager.

9. Reference and Criminal/Credit Background Checks

- Once a decision has been made regarding hiring a candidate, references will be checked by the hiring manager. If necessary, a degree will be verified as well as a criminal background and/or credit check will also be obtained. Should the results be satisfactory, the Director of Human Resources will work with the hiring manager to extend an offer.

10. Job Offers

- Once a final candidate is selected, the hiring manager or Director of Human Resources will extend the official offer to the candidate and determine a start date.

11. Employment Introduction Period

- All newly hired, transferred or promoted employees will be subject to a 90-day Introductory Period at the onset of their new position. During this time, the supervisor and employee should work together with the purpose of training and monitoring the new employee to determine that the employee has the required knowledge, skills, abilities required to be successful in his or her new position.
- It is the responsibility of the supervisor to contact Human Resources for assistance should it be determined that the newly hired, transferred or promoted employee is not meeting the minimum expectations of the position. The Director of Human Resources and the supervisor

will then work together to determine if a Performance Improvement Plan or termination of employment is the appropriate course of action.

EMPLOYMENT OF FOREIGN NATIONALS

In certain circumstances, Lake Forest College may employ, or make employment offers to foreign nationals only when U.S. citizens or permanent residents of equal training, experience and competence are unavailable. Such a determination can be made only after a thoroughly documented search and evaluation process. Employment of foreign nationals will be authorized only under the provisions of this policy and when conditions and visa requirements established by Federal law are assured and documented.

In extraordinary circumstances, Lake Forest College may choose to sponsor staff for the immigrant visa petition. Such requests must be submitted to the Director of Human Resources. For sponsorship of an immigrant visa, departments assume the role of a sponsor and all the responsibilities associated with the sponsorship. As sponsor, departments are required to document that there is reasonable expectation of continued employment as set forth in the college policy. The Director of Human Resources is permitted to authorize a private attorney to represent Lake Forest College in any nonimmigrant or immigrant petition or application proceedings.

Any offer of employment to a foreign national is considered temporary and is subject to the terms and conditions of the specific visa program's work authorization. Prior to making an offer of employment, the hiring manager must obtain the approval of the Director of Human Resources.

The hiring manager must consult with the Office of Human Resources to determine an appropriate visa category for the position and to determine if there are any obstacles that may interfere with the successful filing of an employment-based visa application.

Appointment Procedure

Salaries of full-time Administrative staff are paid in twelve (12) equal installments, on the first business day of each month following the effective date of employment. Partial month salaries for new full-time employees are prorated based on the number of days worked during the month multiplied by the daily rate (annual salary divided by 260). Salaries of Administrative staff are always paid in arrears.

The College's fiscal year is June 1st to May 31st. Administrative staff are appointed for the fiscal year. The standard full-time Administrative appointment for Officers, Department Heads, Professional and Managerial Staff is 37.5 hours a week, twelve (12) months per year. Managerial staff are defined as full-time for the purpose of insurance benefits other than the Retirement Plan provided they work a minimum of thirty (30) hours per week for a consecutive twelve (12) month period exclusive of vacation, or 37.5 hours a week, 42 weeks a year.

Normally the President will send each Officer, Department Head and Professional staff member a written notice of the salary for the coming year following the spring meeting of the Board of Trustees. Managerial staff will receive written notice of the salary for the coming year from the President or appropriate Officer of the College.

Employment at Will

While this Handbook sets forth the current employment practices, policies, and benefits applicable to staff members, it does not constitute an employment contract. Either the staff member or Lake Forest College may end the employment relationship at will, with or without cause or advance notice, at any time during or after the probationary period.

Background Check

(Effective July 26, 2009; updated October 1, 2010; updated 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.

Employment Eligibility Requirement

In accordance with the Immigration Control Reform Act of 1986 all new employees, upon being hired, must complete an I-9 form. This employment eligibility verification form is required by the U.S. Department of Justice and the Immigration and Naturalization Service. The form requires that you provide evidence that you are a U.S. citizen or you are legally authorized to work in the U.S.

Definition of Administrative Personnel

Officers of the College:

- President
- Vice President for Business/Treasurer of the College
- Vice President for Development and Alumni Relations/Secretary of the College
- Vice President for Admissions
- Vice President for Career Advising and Athletics
- Dean of Students
- Provost and Dean of the Faculty
- Chief Information Officer

Department Heads:

- Director of Athletics
- Director of Facilities Management
- Director of Financial Aid
- Director of Library
- Registrar

Non-Teaching Faculty:

- President
- Deans

- Vice President for Career Advising and Athletics
- Associate and Assistant Deans
- Registrar
- Director of Library
- Associate Librarians
- Academic Technology Specialists
- Vice President for Admissions
- Associate and Assistant Directors of Admissions
- Director of Athletics
- Full Time Head Coaches

Professional Staff:

(Note: this list is not all-inclusive but includes typical professional staff titles)

- Associate Directors
- Associate Registrar
- Directors (varies by department)
- Network Administrators
- Senior Assistant Directors
- Senior Directors
- Senior Programmers/Analysts
- System Managers

According to the Bylaws of Lake Forest College, some Administrative personnel are Non-Teaching Faculty. Please refer to page 1 of the Faculty Handbook for a listing of those positions. Policies in this handbook that pertain to Professional staff also include Non-Teaching Faculty.

Managerial Staff:

(Note: this list is not all-inclusive but includes typical managerial staff titles)

- Admissions Officers
- Administrative Assistants

- Alumni Programs Officers
- Area Coordinators
- Assistant Coaches
- Assistant Directors (varies by department)
- Assistant Managers
- Assistant-to-the (position)
- Coordinators
- Executive Assistants
- Executive Assistant to the President
- Head Athletic Trainer
- Head Coaches (part time)
- Managers
- Program/Project/Department Associates
- Programmers/Analysts
- Resident Academic Fellow

Employment Classification for Non-Exempt Staff

Within the non-academic, non-exempt staff, the College recognizes two (2) basic employment classifications: regular and project. Regular positions are defined as those positions continuing each fiscal year. Each classification has sub-classifications as defined below:

Regular:

1. Full-Time:

Twelve (12) Month:

A position budgeted for a minimum of 37.5 hours per week on a continuous year-round basis.

2. Part-Time:

Nine/Ten (9/10) Month Full-Time:

A position budgeted to work a minimum of 37.5 hours per week during the academic year. The academic year is defined by the employing department; in academic departments an employee typically works 32.4 weeks per year, in administrative departments an employee typically works 39 weeks a year.

Twelve (12) Month Part-Time:

A position budgeted to work an assigned number of hours each week on a continuous year-round basis. The usual minimum is 20 hours per week.

Nine/Ten (9/10) Month Part-Time:

A position budgeted to work an assigned number of hours each week during the academic year. The usual minimum is 20 hours per week. The academic year is defined by the employing department; in academic departments an employee typically works 32.4 weeks per year, in administrative departments an employee typically works 39 weeks a year.

Employees holding part time academic year positions should not file for unemployment benefits at the end of the academic year since such positions have defined beginning and ending dates based on each semester or as detailed on the Academic Work Calendar for Faculty Secretaries.

Project:

1. Full-Time:

A position budgeted to work a minimum of 37.5 hours per week for a defined specific period of time only.

2. Part-Time:

A position budgeted to work less than 37.5 hours per week for a defined specific period of time only.

A defined specific period of time has predetermined starting and termination dates. Project positions must have budgeted approval each fiscal year for the duration of the position and do not have benefits except those specified at employment.

Introductory Periods

All non-academic, non-exempt staff appointed to a position at the College serve a ninety (90) day introductory period. This period applies to new hires and internal transfers (see page 6, *Promotions and Transfers*). To assure adequate review during the introductory period, employees generally will be evaluated at the end of 30, 60 and 90 days. The evaluation will be in writing, following a standardized format. The employee will have the opportunity to see and discuss the evaluation with the supervisor. The employee's signature is required on the form.

On occasion, an employee's performance may still be considered marginal at the end of the introductory period and the introductory period may be extended for up to a single three (3) month period. Such

extension must be agreed upon in writing by the employee, the supervisor and the Director of Human Resources.

Employment may be terminated for any reason at any time during the introductory period. An introductory employee may not use the Grievance Procedure.

Successful completion of the introductory period does not guarantee continued employment for any specified time, nor does it require that you be discharged only for "cause." The right to terminate the employment relationship at any time is retained by both you and the College.

New Hires:

Paid Leave Days: New employees do not receive paid leave days during the introductory period. See *Paid Leave Time* and *Paid Leave Schedule* in Section V for eligibility.

Transfers and Promotions:

All benefits remain intact from the original date of hire. Certain transfers and promotions may result in benefit plan changes. Benefits associated with the new position are not necessarily in effect the date of the change.

The College does not guarantee an employee his/her previous position or any position if performance is not satisfactory; however, every effort will be made to retain the employee if at all possible.

Promotions and Transfers

At all times it is the College's desire to fill vacancies with the best-qualified persons available. The College is convinced of the value of promotions from within and may recognize capable employees for promotion to jobs with a higher classification. Job openings are posted on the College's Web site.

If an employee wishes to be considered for a job opening within the College, he or she is requested to register with Human Resources. Human Resources will notify the department of the employee's interest in the position and will provide the department with the employee's relevant personnel records as requested.

A minimum of six (6) months of continuous employment as an employee of the College is necessary before consideration of a transfer or promotion.

For the purpose of paid leave time calculation, the effective date of transfer for an employee in a regular part-time position for two (2) or more years who transfers to a full-time position will be the first day of the first pay period of the fiscal year in which the transfer took place.

Employment or Evaluation of Relatives

(February 7, 2018)

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 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.

Additional Employment

No full-time administrative staff member may accept an additional position outside of the College without the prior consent, requested in writing, to the appropriate officer or department head.

If such additional employment is approved, it is subject to periodic review relative to job performance and the approval may be rescinded after consultation with the administrator.

Appointment Reduction

Professional staff who have served the College for two or more years may request a reduced time commitment for personal reasons including parenting and family illness. On the recommendation of the immediate supervisor and when approved by the President, a reduction in workload may be granted to not less than 80% of full time. A prorated salary adjustment will be made and group health insurance will continue. Other benefits will be prorated based on the adjusted salary. It is expected that professional staff will not undertake consulting assignments while on a reduced time commitment. Approval is granted for an appointment year and may be requested and renewed annually thereafter for a maximum of four (4) years.

Disciplinary Actions and Policy Violations

(October 2018)

PURPOSE

Job performance is ordinarily directed and corrected informally during the course of everyday supervision. On occasion, deterioration of performance or violations of College rules and/or policies requires a formal corrective action procedure. This formal procedure has the objective of:

- Communication of job requirements to assure that the employee knows what is expected and understands the consequences of failure to meet expectations.
- Correction of performance issues to avoid the need for further action.
- Documentation of corrective action to serve as proof of the meeting, avoid misunderstandings of expectations and serve as reference for the employee and supervisor after a corrective action meeting.

POLICY

Employees will be informed of expected performance levels if performance has not met expectations. An employee who has been informed of expectations may be subject to corrective action for continued

failure to meet expectations, up to and including termination. Supervisors are responsible for insuring that their employees have adequate training that will enable them to do their jobs. Supervisors are also expected to ensure that their employees are aware of College and department policies and rules.

The steps outlined below may be appropriate in most situations. However, in some situations, it may not be necessary to implement any or all of the steps prior to termination. These steps do not alter the College's policy of At Will Employment.

PROCEDURE

Termination of employment requires the approval of the Director of Human Resources. Before starting a disciplinary process that might result in termination of employment, the supervisor should contact the Human Resources Director for guidance and assistance.

Violations Warranting Immediate Discharge

Some violations of policy and rules are serious enough that they may result in immediate discharge from the College. These include *but are not limited to*:

- The use, possession, distribution, sale or being under the influence of illegal drugs while on the job or on College property;
- The unauthorized use, possession or being under the undue influence of alcohol while on the job or on College property;
- The unauthorized possession of weapons on College property;
- The breach of confidential information;
- Moral turpitude;
- Dishonesty, theft, arson or sabotage;
- Insubordination;
- Falsification of any information in an employment application, employment interview or any other document submitted to the College;
- Acts or threats of acts of violence in the workplace;
- Unauthorized use of information systems or data;
- Dereliction of duty;
- Destruction of College records and/or property.
- Excessive tardiness;
- Excessive absenteeism.

Violations Warranting Progressive Discipline

Less serious violations should be addressed through disciplinary steps and generally do not call for immediate dismissal. These violations include *but are not limited to*:

- Unsatisfactory job performance;
- Disruptions in the work of others;
- Excessive personal telephone calls and texts.

PROGRESSIVE DISCIPLINE

The following steps of disciplinary action are usually used in correcting performance deficiencies. Changes in performance during the process or other circumstances call for flexibility in disciplinary action. The Director of Human Resources should be consulted for alternatives.

Verbal Warning: The supervisor discusses the performance concerns with the employee, communicates performance expectations and outlines an action plan to improve performance. The supervisor notes the date and items of conversation for future use and informs Human Resources of the verbal warning.

Written Warning: **The supervisor takes the following steps:**

1. Consult with Director of Human Resources.
2. Develop a written notification document to include the following points:
 - Key elements discussed during verbal warning meeting(s)
 - Specific identification of ongoing performance issues
 - Clear expectations of performance improvement
 - An action plan to meet the expectations outlined
 - The role of the supervisor in the action plan
3. Identify the specific consequences for failure to improve performance as outlined in the action plan.
4. Meet with the employee and go over all points of the written warning.
5. Forward a signed copy of the written warning to Human Resources.

Final Warning: **The supervisor takes the following steps:**

1. Consult with Director of Human Resources.
2. Prepare a final warning document with an action plan for improvement.
3. Outline references to prior performance improvement meetings.
4. Emphasize that the consequences of failure to improve in the area(s) addressed may include termination of employment.
5. State the dates of final warning status period (normally 30 days).
6. Meet with the employee and go over all points of the final warning document.
7. Forward the original signed final warning document to Human Resources and maintain a copy in the supervisor's file.

There may be circumstances where a serious infraction has taken place and the matter needs to be investigated. In these cases, one or more of the parties involved may be placed on administrative leave pending the outcome of the investigation. The administrative leave may be paid or unpaid depending upon the nature of the infraction.

Improvement in job performance that was subject to formal warning must be sustained. Termination of employment may be the outcome if performance improvement is not sustained.

Lake Forest College maintains a zero tolerance policy for harassment, violence or threats of violence in the workplace.¹

NOTE: Prior to taking any written action, Director of Human Resources should be consulted to assure that all steps comply with both federal and state fair employment laws.

Grievance

A. Grievance Procedures:

Scope of Review

The inquiry must be limited to a consideration of whether the action, decision, or condition forming the grounds of the grievance was based upon inadequate or irrelevant considerations. The Grievance Committee cannot make a de novo decision or substitute its judgment for that of the decision-making committee or individual(s) responsible for the decision.

This grievance process does NOT apply to complaints of sexual misconduct or any conduct which the College classifies as sexual misconduct. All complaints of sexual misconduct or any conduct which the College classifies as sexual misconduct shall be handled pursuant to the College's Policy and Procedures Regarding Sexual Misconduct.

Procedures

- a. Any member of the non-academic staff with a grievance other than one involving dismissal for cause would discuss the grievance informally with the Director of Human Resources or the Vice President for Business.
- b. Failing resolution, the individual may petition in writing the elected Grievance Committee to hear the complaint. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. The petition shall contain all facts and arguments which petitioner deems pertinent to the case.
- c. The Grievance Committee will first determine whether the petition merits an investigation. Submission of the petition will not automatically result in an extensive investigation or a consideration thereof.
- d. If the Grievance Committee finds the petition on its face is not meritorious, it shall decline to take action and shall so inform the petitioner.
- e. If the Grievance Committee finds the petition on its face has merit, it shall investigate and issue a report of its findings. Before issuing such a report, the committee shall if it deems settlement

¹ Please refer to the Workplace Threats and Violence policy for a full description of the College's zero tolerance policy.

appropriate, attempt to bring about a settlement of the grievance which is satisfactory to all parties.

- f. If settlement is not appropriate or settlement negotiations fail, the committee will issue a report of its findings and recommendations to the petitioner, the decision-making body or individual, and the appropriate examining officer.
- g. The Grievance Committee's failure to sustain a grievance will be final and non-appealable.

Method of Electing Members of the Grievance Committee

The Grievance Committee for Administrative Staff (administrative officers, department heads, professional and managerial staff) will consist of three (3) full-time employees. The Grievance Committee for Non-Academic personnel will consist of three full-time employees who are not administrative staff, managerial staff nor have faculty status. To be eligible for election such employees must have at least one (1) year of service to the College, and individuals will be elected at large. The President, the Dean of the Faculty, the Vice President for Business, and the Director of Human Resources are ineligible to serve on the Grievance Committee. The Director of Human Resources will be responsible for holding such elections annually.

B. Special Grievance:

In accordance with federal legislation, grievance procedures related to the Rehabilitation Act of 1973, Section 504, have been developed. Any grievance brought under the umbrella of this Act must, by law, be specifically limited to the issue covered by this law.

Disability Discrimination

Lake Forest College does not discriminate on the basis of disability or perceived disability against otherwise qualified persons by denying him or her participation in, or the benefits of, any College program or activity.

Scope of Review

Any inquiry made by an individual under this special grievance section shall be governed by the Scope of Review contained under the general heading of Grievance.

Procedures

Section 504 requires the adoption of grievance procedure to deal with allegations of discrimination of disability. If a member of the Administrative Staff feels there is reason to believe that disability discrimination has occurred, under Section 504 of the Rehabilitation Act of 1973, grievance should be handled in the following manner:

- (a) An individual with a grievance should notify Human Resources of his/her grievance, in writing, within seven (7) days of the alleged incident.

- (b) Failing resolution, the individual would follow the appropriate grievance procedures established under the Grievance Section beginning with Step b.

This procedure applies to non-probationary employees. A probationary employee may not use the grievance procedures.

Personnel Files and Access

Employees of the College shall, upon request, have access to their personnel file. An employee may also submit a written statement in explanation of information in the file about which he or she disagrees and which the College declines to change. The College will retain the explanation. Former employees of the Lake Forest College shall, upon written request, have access to their personnel files for up to 1 year after the employment relationship ends.

Resignation and Termination Notification

All staff members are expected to give at least two weeks of written notice when resigning their employment with the College. It is further expected that a staff member in an exempt position will provide additional written notice necessary to provide for the transition of responsibilities. Staff members should submit their resignations in writing to their supervisors. Staff members may not use vacation, holidays, or any other type of paid absences to extend their termination date. Staff members may not use vacation or holidays on their last workday. This policy does not change the at-will nature of employment by Lake Forest College.

SECTION II REQUIREMENTS IN THE WORKPLACE

Standards of Conduct

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 at (<https://www.lakeforest.edu/about-us/administration/campus-conduct-hotline>) 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.

Every organization needs to adopt reasonable rules and regulations regarding standards of performance and conduct in order to ensure the safety, health and well being of everyone. The College's rules are based on common sense and are intended to provide employees with general guidelines concerning conduct in the workplace. No list can ever include all forms of conduct which may lead to disciplinary action, and employees are generally expected to use sound judgment, common courtesy and good taste in all dealings as representatives of the College.

In general, any act which could harm the College or its employees or which interferes with the College's operations is prohibited and will result in discipline, up to and including termination. Examples of the types of conduct, which may lead to such discipline, are as follows:

- Theft or inappropriate removal or possession of College property or property on campus
- Harassing, threatening or intimidating other employees
- Excessive tardiness or absence or failure to report absence in a timely manner
- Immoral conduct or indecency
- Reporting to work under the influence of alcohol or controlled substances
- Possession, distribution, sale, transfer, or use of alcohol or controlled substances on the Campus
- Unsatisfactory performance or conduct
- Fighting or threatening violence in the workplace
- Insubordination or refusal to perform assigned duties
- Conduct that violates standards of honesty and ethical relationships.

The above list does not include all types of conduct for which discipline may be expected. However, this list and the exercise of common sense and good judgment should be used as a guide in determining appropriate conduct.

The usual disciplinary process commences with an oral warning for first offense, proceeding to written warnings, up to and including discharge for repeated infractions. Three written warnings in a one-year (twelve-month) period are cause for dismissal.

The circumstances of each case are different, however, and the College reserves the right to take whatever discipline it feels is appropriate in any given situation. Therefore, disciplinary steps may be bypassed in some situations and some infractions may result in dismissal for the first offense. For example:

Theft or inappropriate removal or possession of College property or property on campus

- First Offense – Discharge

Unreported absence of three or more days

- First Offense – Discharge

Immoral conduct or indecency

- First Offense – Discharge

Alcoholic beverages are prohibited during working hours or on campus at any time, except where sanctioned at College approved functions. Employees are bound to Administration policies regarding alcohol.

- First Offense - Discharge

This policy does not change the fact that the College employees are considered employees at-will, and their employment may be terminated at any time, for any or no reason, without cause or notice.

Statement of Respect and Responsibility

We, at Lake Forest College, seek to sustain a creative, diverse, supportive academic community – one that provides a safe living and learning environment for growth and development, and a home away for many. We take responsibility for respecting the rights of others at all times, contributing positively to the community, and communicating effectively. To achieve these goals and to maintain a tradition of excellence, we commit ourselves to the following ideals:

1. Each member of the Lake Forest College community shows Respect and Responsibility for:
 - individuality and diversity
 - his or her own role in this community and the role of others
 - the right to personal privacy
 - the aspirations of all
 - his or her own well-being and the welfare of others
 - public and private property
 - guests and visitors
2. Each member of the Lake Forest College community is responsible for:
 - honoring his or her commitments
 - acting with personal integrity
 - striving to develop intellectually
 - upholding the highest standards of academic honesty
 - maintaining confidentiality when appropriate

- ensuring that guests and visitors abide by community standards
- conducting open and civil debate

By thinking about and following the spirit of this statement, we create a stronger, more unified academic community of learning at Lake Forest College.

This statement was written by the students, faculty, staff and alumni; and it is endorsed by the College Life Committee and College Council.

Conflict of Interest

Policy for Board Members and Senior Administrators Disclosure of Conflict of Interest
(Approved by the Board of Trustees May 8, 2009)

I. 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”).

II. 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, familiar, 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.

III. 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 lead an independent observer reasonably 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.

IV. 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.

V. 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.

VI. 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.

Fraud and Standards of Conduct

(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 Finance and Planning 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 Finance and Planning 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 Finance and Planning 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 Finance and Planning. 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 Finance and Planning, 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 Vice President for Finance and Planning.
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 Vice President for Finance and Planning.

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 Finance and Planning 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.

Identification Cards

All employees of the College are required to have a Lake Forest College Identification Card. The photo ID card is issued through the College's Public Safety office as part of the new employee orientation process. Identification cards are required for admittance to most of the events on Campus. Identification cards will be presented to Public Safety Officers upon request. Requests for additional ID cards for members of an employee's family should be directed to the Public Safety office. Upon termination of employment at Lake Forest College, ID cards must be turned in to the employee's supervisor.

Acceptable Use of Information Technology Resources

The main comprehensive ITS policies are provided with the IT department.

Information technology plays an integral role in supporting Lake Forest College's core academic mission. Users of Lake Forest College's ITS resources have a responsibility not to abuse those resources. This appropriate use policy provides guidelines for the use of Lake Forest College's ITS resources and the College's oversight of these resources.

For the purposes of this policy, technology resources are defined as all computer-related equipment, including, but not limited to tablets, smart phones, computer systems, software/ network applications, interconnecting networks, facsimile machines, voicemail and other telecommunications facilities, as well as all information contained therein (collectively, "electronic resources") owned and/or managed by Lake Forest College.

The use of Lake Forest College's technology resources is a privilege, not a right, and may be revoked at any time for abuse and/or misuse. Lake Forest College reserves the right to limit access to its electronic resources when applicable College policies, state and/or federal laws, or contractual obligations are

violated. The College does not, as a rule monitor the content of materials transported over the College's network resources or posted on College-owned computers and networks, but reserves the right to do so. Although the College does not typically block access to online content, it reserves the right to do so in cases where online content or activity diminishes the capacity of the network, or where there is a threat to the Lake Forest College or its mission. Lake Forest College provides reasonable security against intrusion and damage to files stored on the central computing facilities, but does not guarantee that its computer systems are secure. Lake Forest College may not be held accountable for unauthorized access by other users, nor can the College guarantee protection against media failure, computer-borne viruses, fire, floods, or other natural or man-made disasters.

I. Scope

This policy applies to all users of technology resources, including but not limited to Lake Forest College students, faculty, staff, alumni, and others who have been granted permission by the Office of the Library and Information Technology to use these resources. It applies to the use of all technology resources whether these resources are accessed from on campus or from off campus locations. These resources include systems, networks, and facilities administered by the Office of the Information Technology Services(ITS).

II. Appropriate Use of ITS Resources

All users of Lake Forest College electronic resources are expected to utilize technology resources in a responsible, ethical, and legal manner consistent with Lake Forest College policies. Although this policy sets forth the general parameters of appropriate use of ITS systems, users are entitled to access only those elements of ITS systems that are consistent with their authorization. Students, faculty, and staff should consult their respective handbooks for more detailed statements on permitted use and the extent of use that the College considers appropriate in light of their varying roles within the community. The following categories of use are inappropriate and prohibited:

1. Use that impedes, interferes with, impairs, or otherwise causes harm to the activities of others. Users must not deny or interfere with or attempt to deny or interfere with service to other users in any way, including misusing mailing lists, propagating "chain letters" or virus hoaxes, "spamming" (spreading email or postings widely and without good purpose), or "bombing" (flooding an individual, group, or system with numerous or large email messages). Reckless distribution of unwanted mail or other unwanted messages is prohibited. Other behavior that may cause excessive network traffic or computing load is also prohibited.
2. Use that is inconsistent with Lake Forest College's non-profit status. The College is a non-profit, tax-exempt organization and, as such, is subject to specific federal, state, and local laws regarding sources of income, political activities, use of property, and similar matters. As a result, commercial use of ITS systems for non-Lake Forest College purposes is generally prohibited, except if specifically authorized and permitted under College conflict-of-interest, outside employment, and other related policies. Prohibited commercial use does not include communications and exchange of data that furthers the College's educational, administrative, research, and other roles, regardless of whether it has an incidental financial or other benefit to an external organization.

3. Use of ITS systems in a way that suggests College endorsement of any political candidate or ballot initiative is prohibited. Users must refrain from using IT Systems for the purpose of lobbying that connotes College involvement, except for authorized lobbying through or in consultation with the administration of the College. Users should not state or imply that they speak on behalf of the College or use College trademarks or logos without authorization to do so. Authorization to use College trademarks or logos is granted by the Office of Communications and Marketing.
4. Harassing or threatening use. This includes the display of illegal or offensive, sexual material in the workplace and repeated unwelcome contacts with another user.
5. Any use of ITS systems that results in damage to other ITS systems or the welfare of the College.

III. Attempts to defeat system security

Users must not defeat or attempt to defeat any ITS system's security -- for example, by using another person's password, "cracking" or guessing and applying the identification or password of another user, or compromising room locks or alarm systems. (This provision, however, does not prohibit ITS staff from using security scan programs within the scope of their authority).

A. Unauthorized access or use. The College recognizes the importance of preserving the privacy of users and data stored in ITS systems. Users must honor this principle by neither seeking to obtain unauthorized access to ITS systems, nor permitting or assisting any others in doing the same. For example, individuals and organizations not affiliated with Lake Forest College may not use proprietary College systems without specific authorization. Privately owned computers may be used to provide public information resources, but such computers may not host sites or services non-affiliated individuals or organizations across the Lake Forest College network without specific authorization. Similarly, users are prohibited from accessing or attempting to access data on ITS systems that they are not authorized to access. Furthermore, users must not make or attempt to make any deliberate, unauthorized changes to data on an ITS system. Users must not intercept or attempt to intercept or access data communications not intended for that user.

B. Disguised use. Users must not conceal or attempt to conceal their identity when using ITS systems, except when the option of anonymous access is explicitly authorized. Users are also prohibited from masquerading as or impersonating others or otherwise using a false identity.

C. Distributing computer viruses. Users must not knowingly distribute or launch computer viruses, worms, or other rogue programs.

D. Modification or removal of data or equipment. Without specific authorization, Users may not remove or modify any College-owned or administered equipment or data from ITS systems.

E. Use of unauthorized devices. Without specific authorization, users must not physically or electrically attach personally owned devices to IT systems without receiving permissions from ITS to do so. Mobile devices such as smartphones or tablets, including personally owned mobile devices, may be attached to the College network, but must be used in a manner that is consistent with the Lake Forest College Mobile Computing Device Policy.

F. Use in violation of law. Illegal use of ITS systems -- that is, use in violation of civil or criminal law at the federal, state, or local levels -- is prohibited. Examples of such uses are: promoting a pyramid scheme; distributing illegal obscenity; receiving, transmitting, or possessing child pornography; infringing copyrights; and making bomb threats. Upon becoming aware of violation of law, the College is obligated to notify appropriate legal authorities.

G. Copyright. With respect to copyright infringement, Users should be aware that copyright law governs (among other activities) the copying, display, and use of software and other works in digital form (text, sound, images, and other multimedia). The law permits use of copyrighted material without authorization from the copyright holder for some educational purposes (protecting certain classroom practices and "fair use," for example), but an educational purpose does not necessarily mean that the use is permitted without authorization.

H. Use in violation of College contracts. All use of ITS systems must be consistent with the College's contractual obligations, including limitations defined in software and other licensing agreements.

I. Use in violation of College policy. Use of ITS systems that results in the violation of other College policies is also a violation of this policy. Relevant College policies include, but are not limited to, those regarding sexual harassment and racial and ethnic harassment.

J. Use in violation of external data network policies. Users must observe all applicable policies of external data networks when using such networks.

K. Personal Account Responsibility. Users are responsible for maintaining the security of their own accounts and passwords. Any user changes of password must follow published guidelines for passwords. Accounts and passwords are normally assigned to single users and are not to be shared with any other person. Users are presumed to be responsible for any activity carried out on their College accounts or posted on their personal web pages.

L. Responsibility for Content. Official College information may be published in a variety of electronic forms. Deans, directors, and department chairs under whose auspices the information is published are considered the certifying authority for such information and are responsible for the content of the published document. Users also are able to publish information on ITS Systems or over Lake Forest College's networks. Neither the College or the appropriate ITS staff can screen such privately published material nor can they ensure its accuracy or assume any responsibility for its content. The College will treat any electronic publication provided on or over ITS systems that lacks a certifying authority as the private speech of an individual user.

IV. Privacy and Conditions of College Access

The College places a high value on privacy and recognizes its critical importance in an academic setting. Nonetheless, authorized users of College technology resources should have no expectation of privacy, particularly with respect to any electronic communication and content created, viewed, or saved while using College owned technology and systems. There are circumstances in which, following carefully prescribed processes, the College may determine that certain broad concerns outweigh the value of a user's expectation of privacy and warrant College access to relevant ITS systems without the consent of the user. Those circumstances are discussed below, together with the procedural safeguards established to ensure access is gained only when appropriate.

A. Conditions. In accordance with state and federal law, the College may access all aspects of ITS Systems, without the consent of the user, in the following circumstances:

1. When necessary to identify or diagnose systems or security vulnerabilities and problems, or otherwise preserve the integrity of the ITS systems; or
2. When required by federal, state, local law, or College policy; or
3. When there are reasonable grounds to believe that a violation of law or a significant breach of College policy may have taken place and access and inspection or monitoring may produce evidence related to the misconduct; or
4. When such access to IT systems is required to carry out essential business functions of the College; or
5. When required to preserve public health and safety.

B. Accessing individual account information without the consent of the user will occur only with the approval of the Dean of the Faculty (for faculty users), the Vice President for Business (for staff users), the Dean of Students (for students), or their respective appointees, except when an emergency entry is urgently necessary to preserve the integrity of facilities or to preserve public health and safety or is required by federal, state, or local laws. The College, through the Chief Information Officer, will log all instances of access without consent. ITS staff will also log any emergency entry within their control for subsequent review by the Dean of the Faculty, the Vice President for Business, or the Dean of Students.

C. User access deactivations. In addition to accessing the ITS systems, the College may deactivate a user's ITS privileges, whether or not the user is suspected of any violation of this policy, when necessary to preserve the integrity of facilities, user services, or data, or protect the College from liability. LIT staff will attempt to notify the user of any such action.

V. Enforcement Procedures

A. Complaints of Alleged Violations. An individual who believes that he or she has been harmed by an alleged violation of this policy may file a complaint in accordance with established College procedures. The individual is also encouraged to report the alleged violation to the Chief Information Officer, who must investigate the allegation and (if appropriate) refer the matter to the appropriate College officials and/or law enforcement authorities.

B. Reporting Observed Violations. If an individual has observed or otherwise is aware of a violation of this policy, but has not been harmed by the alleged violation, he or she may report any evidence to the Chief Information Officer, who must investigate the allegation and (if appropriate) refer the matter to the appropriate College officials and/or law enforcement authorities.

C. Disciplinary Procedures. Alleged violations of this policy will be pursued in accordance with the appropriate disciplinary procedures for faculty, staff, and students, as outlined in the Faculty Handbook, the Staff Handbook, the Student Handbook, and other applicable materials. ITS staff may participate in the disciplinary proceedings as deemed appropriate by the relevant disciplinary authority. Moreover, at the direction of the appropriate disciplinary authority, ITS staff may be authorized to investigate alleged violations.

D. Penalties. Individuals found to have violated this policy may be subject to penalties provided for in other College policies dealing with the underlying conduct. Violators may also face ITS-specific penalties, including temporary or permanent reduction or elimination of some or all ITS privileges. The applicable disciplinary authority in consultation with the Chief Information Officer shall determine the appropriate penalties.

E. Legal liability for unlawful use. In addition to College discipline, users may be subject to criminal prosecution, civil liability, or both for unlawful use of any ITS system.

F. Appeals. Users found in violation of this policy may appeal or request reconsideration of any imposed disciplinary action in accordance with the appeals provisions of the relevant disciplinary procedures. Appeals should be directed to the appropriate Dean or Vice President.

VI. Social Media

Faculty and staff who use technology owned by Lake Forest College to engage in social media such as Facebook or Twitter are expected to observe this policy. Guidelines on using social media have been developed by the Office of Marketing and Communications. The guidelines are available at: <http://www.lakeforest.edu/offices/communications/socialmedia/>

VII. Policy Development

This Policy will be periodically reviewed and modified by the members of the ITS staff, the Dean of the Faculty, the Dean of Students, the Vice President for Business, and the LIT Advisory Committee, all of whom may consult with appropriate College committees, faculty, students, and staff. Reviewed and endorsed by the LIT Advisory Committee 9/27/2012, and updated 10/19/23.

Electronic Communications

Purpose

The purpose of the Electronic Communications Policy is to educate employees about the appropriate use of the College's electronic communication systems, including e-mail and voice mail, computer systems, fax machines, and other office equipment, and to minimize the likelihood of harm done to the College, its members, business associates and employees. These communications devices and methods are very useful and greatly enhance production. However, steps must be taken to ensure that the accuracy, security and control of the information is maintained and that communications are appropriate and professional. This policy covers both internal and external uses of the systems, such as e-mail and voicemail, including the use of the Internet to transmit external e-mail.

Control & Ownership

All electronic systems are owned by the College, and all the messages and other information created, stored or communicated on these systems are the property of the College. Employees may not use these systems to receive, transmit or store privately owned software programs.

The College may access and disclose data stored on its various networks, including stored voice mail and e-mail messages, and it reserves the right to and will monitor usage of its electronic systems, regardless of whether the information or message is business related or personal, in compliance with applicable laws.

Usage

Employees are allowed to use the College's electronic communications systems for some personal communication during the business day, provided that this communication does not interfere with the conducting of business, is occasional, of short duration, and it complies with the standards set forth in this policy.

The following use of the electronic communication systems and content is expressly forbidden:

- Transmission of offensive or harassing information or statements, including all forms of legally prohibited discrimination or harassment based on legally protected status such as age, race, sex, color, national origin, religion, disability, and sexual orientation
- Distribution of personal broadcast messages to groups
- Communications containing foul, improper, or offensive language, such as jokes, top ten lists, or chain letters
- Use of the mail systems for personal gain, job searching, soliciting money for religious or political causes.
- Transmission of sexual, pornographic, racist, or other offensive materials
- Use of the electronic systems to commit a violation of copyright, trademark, or trade secret rights or other rights of the College or third parties.
- Transmission of confidential or sensitive information
- Use of the mail systems to make statements that could be construed as defamatory
- Intentional accessing of information without authorization

Remember that electronic communications such as e-mail may be as permanent as hard-copy communications. No messages should be sent except those employees would be comfortable putting in a letter or memo for general distribution. Once a message leaves, there is no way to control the number of copies made. Many e-mail systems automatically save extra copies, and those copies can be easily searched. Send messages only to people who have a need to know.

Confidentiality

It is imperative that the College's confidential information and communications are not provided, directly or indirectly, to unauthorized individuals and/or organizations. Confidential and sensitive information may not be transmitted electronically or by other means to unauthorized individuals and/or

organizations. Examples of such communications are personnel information, financial records, planning, product, program and service documents; member, exhibitor and customer information and any other information not created for public distribution.

Security

Security issues are especially relevant in using the College's systems to communicate with those outside of the College. The Internet is not a secure system. Therefore, care should be taken in determining whether to transmit information or documents over the Internet and to prevent computer viruses and unlawful or offensive materials from being brought into the College's network from the Internet.

Copyright

Copyright violations are an increasing concern, as it becomes easier to make and distribute electronic copies of materials protected by a copyright. Distributing an article electronically is the same as copying it using a copy machine. Care must be taken not to copy protected material inadvertently. Users should pay attention to forwarding copyrighted materials to others or printing them for later distribution.

Users should be aware of the copyright status of messages they send and receive and should look for copyright notices on any document or program received. Employees should not ignore these notices. However, even if there are no copyright notices, the materials may still be protected by a copyright. Innocent violations are still violations. If employees are unsure as to the copyright status of a document, it should not be copied.

Disciplinary Action

An employee who uses the College's electronic communications systems in violation of any portion of this policy will be subject to disciplinary action up to and including immediate termination.

Controlled Substances and Alcohol in the Workplace

Because the College is committed to providing a safe workplace and a work environment free from the effects of alcohol and controlled substance abuse, the following conduct is strictly prohibited and will result in immediate disciplinary action up to and including discharge:

-
- Reporting to work and/or entering the College campus under the influence of alcohol or controlled substances; or
- The use, possession, sale, manufacture, purchase or transfer of alcohol or controlled substances on College property including parking lots, offices, desks and lockers or while conducting business-related activities off-site, and in personal items carried on and off of College property.

This policy does not apply to employees who are taking prescribed medications in an appropriate manner. Employees who are taking medications that have an adverse effect on performance or give rise

to safety concerns should advise their supervisor or the Human Resources. Reasonable accommodation will be provided as required by applicable law. Such communications will be treated as confidential.

Employees are encouraged to seek voluntary treatment for alcohol and/or substance abuse problems. If an employee wishes assistance or referral information, he or she should contact Human Resources for information. All such inquiries will be treated as confidential.

In addition, in compliance with federal law, the college adopts the following Drug-Free Workplace Policy and Drug and Alcohol Abuse Prevention Policy.

Drug-Free Workplace

(Updated March, 2015; Updated January 2020)

Lake Forest College is committed to maintaining a workplace free from the effects of alcohol and illegal drugs in compliance with applicable laws. 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. The unlawful possession, use, distribution, sale, or manufacture of controlled substances is prohibited on College premises and, if witnessed, should be reported to the Public Safety, Human Resources Director, department head, or direct supervisor. Note: In June of 2019, the Illinois legislature passed Public Act 101-0027, which legalized personal use and possession of cannabis in the state of Illinois in January of 2020. However, cannabis remains illegal under federal law. Lake Forest College complies with the federal Drug-Free Schools and Communities Act, which requires a drug-free campus community. Therefore, Lake Forest College prohibits the possession, use, manufacture, cultivation, dissemination, and storage of cannabis by students, faculty, staff, visitors on campus and properties and at College events.

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. 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

Drug and Alcohol Abuse Prevention

Pursuant to the requirement of Public Law 101-226, Lake Forest College issues the following statement regarding a drug-free school:

1. 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.

2. Applicable Legal Sanctions

- i. The Illinois Criminal Code classifies 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
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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 set forth in the Controlled Substances Act (21 U.S.C 959 et. seq.).

3. 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.

Employees with group health insurance coverage should refer to their plan booklets for coverage on drug and alcohol treatment.

4. 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.

5. 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.

Smoking

As a result of an ordinance passed by the Lake Forest City Council which took effect September 1, 2006, smoking is prohibited inside **any and every** building on campus. There are no exceptions. This includes the grounds shed; the carpentry shed, faculty offices, and in any and every enclosed space on the campus.

Smoking is prohibited inside all College-owned vehicles, including all Facilities Management and Public Safety vehicles.

Outdoor smoking on the 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.

Anyone who wishes 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.

Violations of the no-smoking policy are to be reported to an employee's immediate superior or the individual responsibility for the building or facility.

Proper disposal of smoking-related materials is expected.

Cigarettes will not be sold on the College campus.

Travel, Entertainment and Business Expense

(Revised effective February 25, 1999)

Lake Forest College will reimburse employees for all necessary and reasonable expenses incurred by employees performing business activities for the College. Such expenses should fall within applicable college and departmental operating scope and should be reported with adequate information documenting the business purpose.

General Policies

- A. College travel costs should always be kept in line with the mission of the College and the professional image of those of us representing it. The selection of lodging, transportation, restaurants,

etc. should fall within the range of costs associated with a fiscally conservative yet professional organization. Do bear in mind the publics to whom we must account i.e. donors, auditors, etc.

B. Airline tickets should be purchased through the use of a College purchase order, in advance, and with the usual approvals. The use of one of the two designated travel agencies, Lake Forest Travel or Best Travel, is expected. Exceptions based on lower fare obtained elsewhere should be documented. A copy of the plane ticket or e-ticket receipt must accompany all requests for payment or reimbursement. Requests for reimbursement for tickets purchased in advance of flight will be treated as an advance to the employee, and must be cleared after the flight through submission of an expense report with a copy of the ticket.

C. College airline, gas, phone or corporate credit cards are not to be used for personal expenses or for non-designated expenses without prior approval. This includes telephone credit cards. The College will furnish a phone credit card for your use from your home phone or other locations at no charge. Where receipts are required credit card slips alone are not acceptable; the detailed bills/receipts must be submitted.

D. Expense reports will be processed only when they receive departmental approval prior to their submission to the Business Office and when they follow the guidelines listed below under reimbursement procedures.

E. Entertainment of College Employees:

College business may occasionally be conducted over meals, when it is inappropriate or difficult to conduct the business on campus or during normal business hours. Purchase of meals to celebrate occasions, such as birthdays or secretary's day, should not be charged to the College. Limited purchase of food for the office for employee morale is considered appropriate if properly budgeted.

F. Entertainment of Non-College Employees

When on business travel, the employee should limit paying for other people unless there is a significant potential benefit to the College from such a meeting. The names of all people attending the meal and the purpose of the meeting must be included in the reimbursement request.

Expense Policies

A. Airline - An employee is required to travel using the lowest fare available including one-stop flights if no change of airlines is required, the total time does not add more than one and one-half hours to an employee's air travel time and the next most costly alternative is more than \$100 round trip higher at the time the reservation is made. Flights are to be booked as soon as possible to maximize rate discounts.

Booking flights for additional days in order to get a better rate is encouraged, if the discount is greater than the additional cost of hotel, meals, and car rental.

Frequent flyer or other credits earned while traveling on College business may be retained for personal use. Employees may not decline the lowest fare offered in order to earn frequent flyer program credits or otherwise arrange their travel to maximize such credits to the detriment of the College.

B. Rental car, train, or bus - It is recommended that alternative transportation i.e. train or bus be used for short trips, those under 150 miles, where the cost of these services does not exceed comparable air coach travel.

C. Airport transportation - Employees should use the least expensive and most practical transportation whenever possible. Whenever possible book shared limo service to O'Hare.

D. Auto rental - An automobile may be rented by authorized drivers when other public transportation is not available. In general, if an employee elects a more expensive hotel due to the convenience of the location, then local transportation should be used instead of renting a car. Also in general there must be a business necessity for the auto rental.

Care must be taken to obtain the best rate relative to such rentals. Special caution should be exercised relative to hourly, daily and weekly beneficial rates. Compact cars should be the primary request. It is understood intermediate size cars may be needed in instances when chauffeuring colleagues, recruits, donors, etc. Gasoline charge and drop off fee policies should be questioned to be sure that avoidable charges are kept to a minimum.

Collision insurance as an extra cost should be waived. Extra cost insurance for personal belongings or other liability will not be reimbursed by the College. Keep the car locked at all times for proper insurance protection.

Traffic and parking tickets are the expense of the employee.

E. Automobile Expense - Employees will be reimbursed for the use of their personal car used for College business at the IRS rate per mile established the January prior to the beginning of the fiscal year. In addition, costs of tolls and normal parking charges are reimbursable. The College deems the mileage reimbursement to be complete compensation for all operating costs including, but not limited to, gasoline, oil, repairs, tires, maintenance, insurance, license and depreciation. The College will not pay for losses resulting from insurance deductibles and/or insufficient insurance coverage.

The employee **is required** to have personal liability insurance with a minimum dollar amount of \$100,000/\$300,000 bodily injury and \$25,000 property damage insurance when using their personal car for College business. At least annually, each employee charging mileage must furnish proof of at least the minimum insurance coverage and by requesting mileage reimbursement assures the College that he/she is in possession of a valid driver's license and that the vehicle has been maintained with reasonable care.

F. Lodging - Careful attention should be exercised that discount rates are used when available. Travel agents should be aware of such discounts and can be used in this regard. Generally, when advance reservations are being made questions can be asked at that time relative to discounts and different hotels may be "shopped". Choice of a particular room or hotel for safety reasons may override decisions based on cost. See section above on auto rental for implications on selection of lodging.

G. Meals - The actual amount spent for meals, including gratuities, when on College business will be reimbursed. The costs of these meals and gratuity should be reasonable with the gratuity generally limited to a maximum of 15%. A receipt is necessary for meal charges exceeding \$25.

H. Ground transportation - When limo service is used shared rides should be selected whenever possible. Public transportation should also be considered as such rates are generally the lowest cost transportation. Receipts for trips exceeding \$25 must be submitted.

I. Other - Expenditures that are personal in nature are those of the employee. Examples are use of hotel health facilities at extra cost, in-room movies, general garment cleaning and laundry service, newspapers, magazines, etc. Employees traveling overnight on College business are permitted a daily call of reasonable length to home. Employees traveling internationally are asked to use appropriate judgment on how often to call home, preferably less than daily.

J. Travel expenses for another individual - If a spouse, dependent, or other individual goes with you (or your employee) on a business trip or to a business conference, you generally cannot deduct his or her travel expenses. You can only deduct for an accompanying individual if that individual is an employee of the College, has a bona fide business purpose for the travel, and would otherwise be allowed to deduct the travel expense. Always note on your reimbursement request when another individual is traveling with you.

K. Travel accident insurance for all employees of the College who are traveling on College business and 46% of full-time or greater is provided through the Associated Colleges of the Midwest generally in an amount two times your basic annual earnings exclusive of overtime, bonuses, etc. subject to a \$50,000 minimum and \$300,000 maximum. More information is available in the Business Office.

L. Extended international travel may require exceptions to some of the above policies, such as laundry reimbursement. Such exceptions need supervisor approval and are required to be budgeted into the program budget lines.

Expense Reimbursement Procedures

General Policy

The College through the Business Office provides College credit cards for approved employees for whom frequent business travel is required. Two types of cards are available: central bill/central pay for President's Staff members and others as approved by the President, and individual bill/individual pay for others. Credit cards, as stated earlier, are to be used only for College travel related purchases. They are not to be used to circumvent normal College purchasing procedures. Cash advances will be issued for employees that do not qualify for a College credit card and for employees with cards who need cash for miscellaneous expenses.

A. **Credit Cards** - Employees with central pay credit cards are required to submit a full expense report to account for charges received. The employee must review and approve the monthly charges, assign an account number for payment, attach the expense report to the bill and submit it to the Vice President of Business

Affairs or the Controller for review. The President's expenses will also be reviewed by a designated Trustee.

Employees with individual pay credit cards must submit a copy of their bill to the Business Office for reimbursement. The bill must be accompanied by all applicable receipts: the credit card statement does not replace the need for keeping and submitting receipts. A complete expense report for each trip must be submitted, approved by the department head or other authorized signer.

B. Cash Travel Advances - A check is requested under the normal check preparation rules, using a check requisition. This requisition must show the account to be charged as 00 7300 7350. The maximum outstanding allowed per employee is \$1,500, \$2,000 for coaches. Higher amounts will be permitted for extended international travel. The check requisition must be approved by the applicable department head.

In some cases, the College will assign an advance to the employee for the entire term of employment. These advances will be in the amount of \$250. The employee will submit expenses as they are incurred and be reimbursed, either through check or through petty cash, directly against the departmental expense account. The advance must be returned when the employee terminates employment or changes to a job within the College that does not require travel. Use of this procedure gives the College the right to deduct the advance from the last paycheck of terminated employees. Cash from the Cashier may be obtained only in the event of an emergency, as approved by the Controller or VP of Business Affairs. Depending on the size of the advance, the Cashier may need prenotification in order to arrange for funds from the bank.

C. Expense Reports - Expense reports must be prepared in a timely fashion, within one month after traveling. The expense report will include all required documentation unless the department head has made other provisions approved by the Vice President for Business or Controller. The Business Office will provide a standard report form, but the form is not required as long as all of the required information is included in the format used. Each report should have the following information:

1. Purpose, destination and date of trip. Names of people visited on College business.
2. Date of expense report submission
3. Department account number to which the expenses should be charged. If more than one account number is used, please clearly indicate how the charges should be distributed.
4. Expenses categorized by hotel, meals, transportation and other. Expenses shown as "other" should have a brief description. Purchase of any alcoholic beverages must be noted.
5. Receipts included for all expenses over \$25.00. If receipts are lost, the employee must submit a signed memo stating this fact and approximating the expense.
6. If the expenses are incurred for someone beside the traveler, then the names of all others should be included. If expenses are incurred for spouses or others, not related to College business, the employee should include proof of reimbursement to the College for the expense.
7. The amount taken as an advance, or carried forward from previous advances and the amount returned to the College.

8. The amount owed to the College after submission of expenses, or the amount owed to the employee for expenses exceeding the advance.

The report must be reviewed and approved by the appropriate department head. **The Department Head must assure and is responsible that:**

1. All expenditures are business related and the amounts are not excessive.
2. Original receipts (i.e., hotel statements, passenger coupons for airline tickets and rental car contracts) and other supporting documents have been attached and the amounts and receipts agree with those reported.
3. Expenditures have been charged within General Policy requirements.
4. The report is arithmetically accurate and the proper account number to be charged is used.
5. The report is submitted on a timely basis.

D. Reimbursement after Advances - Unexpended advance funds should be returned, by personal check or cash, to the College Cashier. The account to be credited is 00 7300 7350.

Amounts owed to the employee should be requested on a check request. The Business Office will not automatically reimburse employees based on submission of an expense report, since it is not evident if the employee has more requests for advances in process.

E. Denial of requests for reimbursement or advances - In the event an advance has not been completely accounted for within two months, further advances will be denied. In addition, any reimbursement for expenditures will be first applied against the unaccounted for advance balance before direct reimbursement is made to the employee. Excessive or extended advances may be deemed compensation and taxed accordingly.

Expense Advance

The purpose of the expense advance is to provide funds to an employee for College expenditures.

1. The advance should not exceed one (1) month's anticipated expenditures.
2. Expense reports must be submitted to the Business Office at least monthly.

Please refer to the procedures outlined in the "Lake Forest College Administrative Travel, Entertainment and Business Expense Policies and Procedures".

Use of College Facilities and Services

Library

Employees are permitted and encouraged to use all the College's library facilities and are subject to the rules applicable to all users.

Sports and Recreation Center

Faculty/staff, their spouses/partners, and any children they have under the age of 18 are encouraged to use all of the amenities the Sports and Recreation Center has to offer. Contract employees, volunteer and part-time coaches, as well as instructors will all receive an individual membership to the Sports and Recreation Center. Faculty/staff are also allowed 20 guest passes a year for family and friends, while contract employees, volunteer and part-time coaches, and instructors are allowed 3 guest passes a year. Families and individuals not employed by the College that are interested in joining our community membership program are encouraged to visit the Sports and Recreation website for any questions at:

http://www.goforesters.com/information/facilities/sports_recreation_center

Recreation and Entertainment

As an employee of Lake Forest College, you are encouraged to attend and participate in many functions and activities at the College. Throughout the year, employees will have the opportunity to attend athletic events, recitals, plays, film series, concerts and lectures. Your attendance and support of these functions is encouraged, excluding attendance during your normal work shift hours. Off duty employees are not allowed in the residence halls for the purpose of social fraternization with students unless the student is a relative or unless the employee is attending a College approved function. Violations may be cause for disciplinary action.

Bookstore

Employees are eligible to receive a 10% discount on most items at the College Book Store. The store is located on the lower level of the Commons building. Hours of operation are posted at the bookstore.

Mail Service

Mail Services is located on the lower level of the Commons building. Campus mail is delivered to respective departments twice each business day. Employees may utilize Mail Services for personal mailing needs during regular mailroom hours. Payment for services is accepted by cash or check.

Personal Telephone Use

The College recognizes the need for occasional personal phone calls. However, these calls should be kept to a minimum. Personal phone calls should be absolutely necessary and not interfere with an employee's work. Employees are expected to reimburse the College for personal long-distance telephone calls.

Workplace Threats and Violence

(Updated March 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.

Weapons

(Revised 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.

Campus Emergency/ Weather Closing

(Updated May, 2022)

Closing the Lake Forest College campus may occur under severe and extreme circumstances. Because Lake Forest College is a residential school, however, it cannot close completely; students expect and

must be provided necessary services. Therefore, every effort will be made to maintain classes and keep the campus open. However, severe weather conditions and/or a declared state of emergency due to a dangerous situation may result in a campus closure or a delay in opening.

Members of the college community must assume responsibility for their own safety as well as for their academic or employment obligations. Individuals must decide, for example, whether it is safe to travel to campus when severe weather or other emergency conditions are present.

The College will rely on the best available public and private information sources in making a decision to close or delay an opening. Every effort will be made to notify the campus community of the decision as early and effectively as possible.

All employees are expected to report to work on time to meet their job responsibilities unless a closure or delay is announced via Lake Forest College's emergency notification system. Employees who work in functions and positions that are essential during a campus emergency are expected to take safe and appropriate steps to report to work even in the event of a campus closure or delay in opening when they have been predesignated or notified by their department manager.

Employees in essential functions and positions are individuals who are critical to the operation of their work unit; whose skill or expertise is necessary to the success of that unit, particularly during an emergency or a partial or total shift to virtual/remote operations; and whose absence from duty could endanger the safety and well-being of the campus population and/or infrastructure. Each department or unit is responsible for determining which functions are essential, and how to staff those functions during an emergency or suspension of normal operations. Employee designations are determined and approved by vice presidents and department directors. Lists of designated essential functions and positions should be disseminated to appropriate department directors; individuals included on such lists should be notified by their supervisors. Additionally, based on the circumstances surrounding a campus closure, the College may need to require employees to work during the closure even though their functions and positions were not previously identified as essential. In that event, certain employees may be permitted to perform essential services virtually, if feasible. These individuals will be identified in advance and notified by their supervisors.

Procedures

If actual or anticipated emergency/weather conditions may require closing or delaying a campus opening, the following procedures will be followed:

- The President or designee will have the final authority to make the decision to cancel classes, close campus, or delay the opening of the campus.
- Every effort will be made to make the decision to close or delay the opening of campus by 6 a.m.
- When the decision to close or delay the opening of campus is made, the campus community will be notified via the emergency notification system.
- Telephone notification trees within each department should be developed as part of a business continuity plan to communicate with all faculty and staff regarding the status of operations during any emergency including inclement weather. This information should be reviewed and updated no later than November 1 of each academic year.
- Departments with operations involving external groups (contractors, food services, etc.) will communicate information regarding closures and delays to those groups.

- Faculty, exempt, and non-exempt staff will receive regular pay for time associated with a campus closure or delay in opening. Employees who perform essential duties during an emergency will receive regular pay unless the College provides otherwise in advance.
- Non-exempt staff, excluding student workers, who are not required to work during a closing, will receive regular pay for regular shift hours associated with the closing. Non-exempt staff who are eligible for overtime shall not count the period of closure as hours worked for the purposes of calculating overtime.
- Employees who are on leave when a general closing due to an emergency is designated will not have that leave time reinstated.

When the college is open, vacation time must be used by employees who choose to stay at home or feel unable to safely travel to their campus work location.

SECTION III WORKPLACE COMMITMENT

Non-Discrimination Statement

Lake Forest College does not discriminate on the basis of race, color, religion, national origin, ancestry, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, work authorization status, military or veteran status, unfavorable discharge from military service, order of protection status, arrest record, 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.

Any inquiries or concerns with respect to sex discrimination, sexual misconduct, Title IX, and the College's Title IX policies and procedures may be directed to:

LaShun McGhee
 Title IX Coordinator
 555 North Sheridan Road
 Lake Forest, IL 60045
 847-735-6009
TitleIX@lakeforest.edu

Any inquiries or concerns regarding Title VI (prohibiting discrimination based on race, color, or national origin), Section 504 of the Federal Rehabilitation Act of 1973 (prohibiting discrimination based on

disability), or the College's Non-Discrimination Policy and Complaint Resolution Procedures may be directed to:

Agnes Stepek
Director of Human Resources and Campus Coordinator for Section 504
555 North Sheridan Road
Lake Forest, IL 60045
847-735-5036
stepek@lakeforest.edu

Individuals may also contact the U.S. Department of Education's Office of Civil Rights for information.

Office for Civil Rights
U.S. Department of Education-Chicago Office
500 W Madison St., Suite 1475
Chicago, IL 60661-4544
(312) 730-1560
ocr@ed.gov

Review Process for a Student Claim of Staff Bias

(Enacted: August 2019; Revised: January 2020)

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, religious, cultural and racial 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.

Lake Forest College has a Bias Incident Response Process ("BIR Process") that is designed to respond to incidents 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 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 Bias Incident Response 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 and responsible 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.

I. Initial Inquiry

Any student, faculty or staff member who experiences or witnesses a potential bias incident should report the incident of bias using the linked [Bias Incident Report Form](#). Once the Bias Incident Report is filed the Director for the Office of Intercultural Relations (OIR) will begin to follow up on the bias incident within 72 hours of receiving the report. Please note that any bias incident emergencies should always be reported directly to Public Safety or 911.

If the potential bias incident involves faculty, then the Director for the Office of Intercultural Relations and Dean of Faculty will collaborate in response. If the incident involves staff then the Director for the Office of Intercultural Relations and the Director of Human Resources will collaborate in the response. In incidents involving non-members of the Lake Forest College community, the Director for the Office of Intercultural Relations will respond in collaboration with the President of the College.

The Director for the Office of Intercultural Relations will first contact the students affected by the reported bias incident and an initial inquiry will begin regarding the complaint (i.e., the Bias Incident Report). This will most frequently begin with an attempt to gain additional information from the complainant, preferably through an in-person meeting. The scope and timing of further action will depend upon a number of factors, including but not limited to, whether the identity of the complainant and/or respondent (the person complained about) is known; whether the complainant is willing to participate in an investigation; whether the complainant requests anonymity or confidentiality; whether the respondent is affiliated with the College and whether the College has an obligation to proceed with an investigation based on the nature of the conduct alleged, regardless of the complainant’s wishes. Students accused of incidents of bias are required to participate in the College’s process of investigation and resolution. In addition, students who provide evidence in bias investigations run no risk of penalty from the College if their evidence – in addition to bearing upon a bias claim – also reveals other activities prohibited by the Code of Student Conduct. Students providing evidence may be required to take advantage of educational or counseling opportunities, but no record of a conduct violation will be based on their evidence.

Following an Initial Inquiry, possible next steps include:

- **Formal Investigation:** The Director for the Office of Intercultural Relations may determine the complainant provided sufficient information to support a claim of bias and that the respondent may be responsible. In these cases, the complaint will proceed to full investigation. Prior to the conclusion of an investigation, the complainant may request to withdraw the complaint by contacting the Director for the Office of Intercultural Relations in writing. As noted above,

although the Director for the Office of Intercultural Relations weighs the wishes of the complainant heavily when deciding whether to pursue a full investigation, in some cases the College may have an obligation to proceed with a full investigation based on the nature of the allegations.

- **Informal Action:** Informal action involves action taken by the College in response to a situation or report of bias when the complainant does not desire a formal investigation or when there is not enough information to proceed with a full investigation. Examples of informal actions include, but are not limited to, a warning to cease current behaviors, no-contact directives and/or an educational conversation with the respondent or others. Informal action does not result in findings related to responsibility or in sanctions.
- **Close the Case:** In order for a case to be referred for a full investigation, there must be sufficient information to believe an incident of bias has occurred and the respondent may be responsible. The Director for the Office of Intercultural Relations may dismiss a case when insufficient information exists to move forward or when the alleged misconduct—even if substantiated—would not warrant future response. The Director for the Office of Intercultural Relations may, in its discretion, reopen a case in the future if additional information becomes available or a complainant who was unwilling to participate in an investigation changes their mind.

II. Formal Investigation

Investigation process

When a complaint proceeds to full investigation, the matter will be investigated in a prompt, thorough and impartial manner. Investigation will commence as soon as practicable following the initial inquiry process detailed above. Investigations will be conducted as expeditiously as possible and are usually completed within a reasonable period, typically 60 days, though this may vary based on the availability of parties and witnesses, breaks in the academic calendar, the scope of the investigation or unforeseen or exigent circumstances. In instances when an investigation will exceed 60 days, the investigator will notify both the complainant and respondent. Depending upon the circumstances, the investigator will likely be an OIR staff member, the College Title IX Coordinator, or a faculty or staff representative appointed by the Director for the Office of Intercultural Relations and the Dean of Faculty or the Director of Human Resources, as appropriate.

During an investigation, complainants will have the opportunity to describe their allegations and present supporting witnesses or other evidence. The respondent will have the opportunity to receive notice of each allegation, respond to each allegation and present their evidence supporting their position and propose relevant witnesses. The investigator will review evidence presented and will, as determined appropriate by the investigator, meet with additional witnesses identified by the complainant, the respondent or third parties. In some instances, the investigator may identify and communicate with witnesses who were not identified by the complainant, respondent or third parties.

Investigation meetings are not tape recorded by the College and may not be recorded by any participant. Parties and witnesses may take notes during investigation meetings. Generally, the

investigator will meet with each party and each witness separately. In some cases, the investigator may interview the parties and/or witnesses more than once. The parties may submit additional materials or information to the investigator following their interview(s). In all cases, both the complainant and respondent will have equal opportunities to share information and have their information considered.

There is no time limit for when a complainant must report an incident of bias; however, reports should be made as soon as possible after the incident, preferably within one year, because the passing of time makes a review of the evidence more difficult and the memories of involved parties may become less reliable.

All parties involved in the investigation are expected to cooperate and provide truthful information throughout the investigation process.

Support person

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

Advisors cannot be a witness or party in the matter or a related matter, a family member of the complainant or respondent or an attorney.

Privacy and sharing of information

The purpose of the Bias Incident Response is to provide the College community with a positive working and educational environment that is free of bias. Complaints of bias will be investigated in a manner that is consistent with this goal.

Lake Forest College cannot promise complete confidentiality or privacy in its handling of bias complaints. Lake Forest College makes every reasonable effort to handle inquiries, complaints and related proceedings in a manner that protects the privacy of all parties. Each situation is reviewed as discreetly as possible, with information shared only with those who need to know about it in order to investigate and resolve the matter.

All participants in an investigation of bias will be informed that confidentiality helps enhance the integrity of the investigation, protect the privacy interests of the parties and protect the participants from statements that might be interpreted to be retaliatory or defamatory. For these reasons, the complainant and respondent will be asked at the beginning of an investigation to keep the information related to the investigation private, to the extent consistent with applicable law. Witnesses and advisors will also be asked to maintain complete confidentiality to the investigation to the extent consistent with applicable law.

In certain circumstances, and upon explicit request, the College may be able to address bias concerns and stop problematic behavior without revealing to the alleged respondent the identity of the person who complained and/or the individuals involved in the investigation. However, this is not possible in the majority of matters, as situations typically require the disclosure of the complainant's identity in order to fully investigate the matter and/or to enable the respondent the ability to fully respond to the allegations against them. When complainants report allegations of bias to the College and do not consent to the disclosure of their names and/or do not disclose the identity of the alleged respondents or identifiable information about the alleged respondents, the College's ability to respond to the complaints may be limited.

Throughout its proceedings, Lake Forest College will be sensitive to the wishes of the complainant. Nevertheless, the College has a compelling interest to address allegations of bias brought to its attention. Lake Forest College reserves the right to take appropriate action in such circumstances, even in cases when the complainant is reluctant to proceed with an investigation or requests anonymity.

Honor Council

An Honor Council consisting of students, faculty and staff will be established to provide input on educational intervention and appropriate sanctioning in bias incidents, through consultation with the Director for the Office of Intercultural Relations on a case by case basis.

For the Spring 2020 semester, a provisional Honor Council will be appointed to (i) provide input in bias incidents, as described above, (ii) discuss and clarify the purposes and operating procedures to be followed by a permanent honor council, and (iii) formally recommend to College Council the approval of a permanent honor council with those purposes and procedures, to be in place by the start of Fall 2020. The Intercultural Advisory Group (IAG) will solicit student, faculty, and staff applications, and will select members of the provisional honor council.

Resolution

At the conclusion of an investigation, the investigator will determine whether the preponderance of the evidence indicates that the respondent is responsible for an incident of bias. The investigator(s) will provide their conclusions to the Director for the Office of Intercultural Relations and or Dean of Faculty or the Director of Human Resources, as appropriate. The complainant and the respondent will be notified, in writing, of the outcome of the investigation and the rationale of the outcome decision, upon its conclusion.

When a respondent is found responsible for an incident of bias, the College's response is based on several factors, including the severity of the conduct, and aims to prevent problems from recurring. In addition, the College may recommend steps to address the effects of the conduct on the complainant and others. Respondents will be subject to disciplinary action, including sanctions listed in Article III (c) of the Student Handbook.

For staff respondents, in the event a policy violation is found, The Director for the Office of Intercultural Relations will provide findings to the Office of Human Resources and the respondent's manager(s), who are responsible for deciding what sanctions or corrective actions should be imposed on the respondent, in accordance with the procedures set forth in the Staff Handbook.

For faculty respondents, in the event a policy violation is found, The Director for the Office of Intercultural Relations will provide findings to the Dean of Faculty. Any sanctions or corrective actions imposed will be determined in accordance with the Faculty Handbook.

For third party respondents, findings of a violation may be provided to the third party's employer (when applicable) and the appropriate College office for further action consistent with the findings.

Appeals

The complainant or respondent may appeal the resolution of a case in instances where they are dissatisfied with the outcome. The appeal must be made within five (5) calendar days of the date of the written notification of the findings, or, if sanctions are imposed, the determination of sanctions. An appeal must be in writing and specify the basis for the appeal. The original finding is presumed to be reasonable and appropriate based on a preponderance of the evidence. If the appealing party is a student, the appeal goes to the Dean of Students; if a faculty member, to the Dean of Faculty; and if a staff member, to the Vice President for Business. The only grounds for appeal are as follows:

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

The decision on an appeal will be issued as expeditiously as possible, usually within 45 days, though this may vary based on the scope of the appeal or unforeseen circumstances. The official reviewing the appeal may review the full case, beyond the aspects of the case outlined in the request for appeal. If the reviewer does not find that any of the three grounds for appeal are present in the case, the outcome will be upheld. If the reviewer finds that any of the grounds for appeal are present in the case, they may amend the outcome, may issue a new outcome or may refer the matter back to the investigator for further consideration. A final outcome on an appeal is not subject to further appeal.

In the event sanctions are imposed, it shall be in the discretion of the appellate reviewer whether the sanctions shall be implemented or stayed pending resolution of an appeal.

III. Retaliation

Lake Forest College strictly prohibits retaliation against anyone for making a complaint of bias for participating in an investigation of bias. Retaliation is any attempt to seek retribution against an individual or group of individuals who engaged in protected activities. Action in response to protected activities is retaliatory if (i) it has a materially adverse effect on the working, academic, or other College-controlled environment of an individual; and (ii) it would not have occurred in the absence of the protected activities.

Anyone experiencing any conduct that they believe to be retaliatory should report it to The Director for the Office of Intercultural Relations immediately.

IV. Conflicts of interest

Any participant in an investigation who has a complaint regarding the conduct of the investigator or who believes the investigator has a conflict of interest should contact one of the individuals listed under the Appeals section, above. If a participant has a concern regarding an individual responsible for hearing an appeal, the participant should contact the Vice President for Student Affairs.

Interim Sex Discrimination/Misconduct Policy and Complaint Resolution Procedures

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

Under this policy, 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, Title VII of the Civil Rights Act of 1964, and other applicable state and federal laws. Sexual misconduct, including sexual harassment, non-consensual sexual penetration and/or contact, sexual exploitation, stalking, dating violence and domestic violence, are forms of sex discrimination that may 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.

NONDISCRIMINATION STATEMENT

The College's non-discrimination statement pertaining to sex, sexual orientation, gender, gender identity and all other protected classes is located at: www.lakeforest.edu/about/working/non-discrimination-Policy/. Lake Forest College does not discriminate on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender, 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.

Any inquiries or concerns with respect to sex discrimination, sexual misconduct, or Title IX may be directed to LaShun McGhee, Title IX Coordinator; 555 North Sheridan Road, Lake Forest, IL 60045; 847-735-6009; TitleIX@lakeforest.edu.

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

The campus coordinator for Section 504 of the Federal Rehabilitation Act of 1973 (prohibiting discrimination based on disability) is Stephen D. Schutt, President; 555 North Sheridan Road; Lake Forest, IL 60045; 847-735-5100; president@lakeforest.edu.

Inquiries or concerns with respect to any other type of discrimination may be directed to Agnes Stepek, Director of Human Resources, 847-735-5036, stepek@lakeforest.edu.

This Policy has been updated to reflect the requirements of the 2020 Title IX Regulations ("Title IX"), which became effective on August 14, 2020.

STATEMENT OF COMMITMENT TO TRANSGENDER INDIVIDUALS

When a student or employee notifies the College that the student or employee's gender identity is different from previous representations or records, the College will begin treating that individual consistent with the individual's 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.

I. SCOPE AND APPLICABILITY OF POLICY

This Policy and the accompanying procedures (Process A and Process B) address sex discrimination and sexual misconduct, including sexual harassment as prohibited by the 2020 Title IX Regulations. Process A describes the procedures that apply to sexual misconduct other than sexual harassment as defined by the 2020 Title IX regulations ("*Title IX Sexual Harassment*"). Process B describes the procedures that apply to *Title IX Sexual Harassment*. Except where specifically noted, this Policy applies to misconduct addressed in Process A and Process B.

This Policy applies to all members of the College community, including students, faculty, staff, administrators, board members, contractors, vendors, applicants, volunteers, and visitors, regardless of their sex, sexual orientation, gender, or gender identity.

For allegations and complaints of sex discrimination and/or sexual misconduct other than *Title IX Sexual Harassment*, as defined in this Policy, 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. Complaint resolution procedures for allegations and complaints of sex discrimination and/or sexual misconduct other than *Title IX Sexual Harassment*, as defined in this Policy, are under separate cover. This includes sexual misconduct outside of the Title IX jurisdiction, sexual misconduct that does not reach the Title IX thresholds, and other types of Title VII discrimination outside of sex discrimination (which is covered under Title IX). ((FROM ABC: This was my attempt at placing the "more info forthcoming" language at the appropriate place in the policy.)

For allegations and complaints of *Title IX Sexual Harassment*, as defined in this Policy, the Policy applies only to sexual harassment against a person in the United States and the accompanying complaint resolution procedures for *Title IX Sexual Harassment* are as required by the 2020 Title IX regulations.

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 for sexual discrimination or misconduct that takes place from the time an individual applies for enrollment as a student, until such time as the student graduates or otherwise separates from the college. Additionally, the College may impose sanctions for sexual

discrimination or misconduct that takes place from the time an individual applies for employment, until such time as the employee ceases employment. In reports involving allegations against individuals who are not affiliated with the College at the time of the complaint, the College will assess whether the individual may pose a risk to 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 College's Title IX Coordinator as set forth in Section IV below and/or: :

The Office of Civil Rights
U.S. Department of Education, John C. Kluczynski Federal Building 230 S. Dearborn Street,
37th Floor Chicago, IL 60604
312-730-1560, OCRChicago@ed.gov

ROLE OF THE TITLE IX COORDINATOR AND DEPUTY 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 sex discrimination and sexual misconduct to manage the College's compliance with Title IX. Specifically, the Title IX Coordinator:

Responsible for coordinating the College's efforts to comply with applicable federal and state law;

Responsible for coordinating the effective implementation of supportive measures, and implementing remedies arising from this Policy and Procedures.

Oversees the investigation and/or resolution of all complaints of misconduct under this Policy, but does not serve as a decision-maker in the hearing or appeal processes;

Advises Complainants (individuals who are alleged to be the victim of misconduct), Respondents (individuals reported to be the perpetrator 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 sex discrimination and sexual 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 sex discrimination and sexual 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 sex discrimination and sexual misconduct education efforts for the campus community, including training in implementing this Policy and the corresponding Procedures.

The Deputy Title IX Coordinator assists the Title IX Coordinator in responding to reports of sex discrimination and sexual misconduct, investigating complaints, and providing educational programming for students. The Title IX Coordinator and Deputy Title IX Coordinator can be reached as follows:

Title IX Coordinator
LaShun McGhee
Rosemary House
Lake Forest College
555 N. Sheridan Rd.
Lake Forest, IL 60045
847-735-6009
titleix@lakeforest.edu

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, sexual orientation, gender, gender expression, or gender identity. 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.
- 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 Process A.

1. Sexual Harassment. *Title IX Sexual Harassment*, as defined by the 2020 Title IX Regulations, is conduct on the basis of sex that is:

- i. Taken against a person in the United States;
- i. Occurs in an education program or activity; and
- ii. Satisfies one or more of the following:
 - o Quid Pro Quo Harassment -- An employee conditioning the provision of an aid, benefit, or service on an individual's participation in unwelcome sexual conduct;
 - o Hostile Environment -- Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the College's education program or activity; or
 - o "Sexual assault," "dating violence," "domestic violence," or "stalking," as defined by this Policy.

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.

4. 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.

5. Sexual Assault. Sexual assault as defined in 20 U.S.C. 1092(f)(6)(A)(v), is an offense classified as a forcible or non-forcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation (FBI). This includes forcible rape and forcible fondling.

- a. Forcible rape is defined as any sexual penetration, no matter how slight, of the vagina or anus or any bodily opening with any body part or object, or

oral penetration by a sex organ of another person, without the consent of the victim and committed by force, threat, coercion or through exploitation of another's condition of which Respondent was aware or which a reasonable person would have been aware.

- b. Forcible fondling is defined as the touching of the private body parts of another person for the purpose of sexual gratification, forcibly and/or against that person's will or not forcibly or against the person's will in instances where the victim is incapable of giving consent because of their youth or because of their temporary or permanent mental or physical incapacity. For purposes of this Policy, sexual assault includes sexual battery, sexual abuse, and sexual coercion.

6. 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.

7. Dating Violence. Dating violence, as defined in 34 U.S.C. 12291(a)(10), 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. Sexual abuse includes sexual penetration without consent, sexual contact without consent, incest, and statutory rape.

Physical abuse includes physical violence, which is the intentional use of physical force (e.g., shoving, choking, shaking, slapping, punching, burning, or use of a weapon, restraints, or one's size and strength against another person) with the potential for causing death, disability, injury, or substantial physical harm. Dating violence may include psychological/emotional abuse (e.g., isolating the victim from friends and family or denying access to money or other basic resources) if it is preceded by, or done in conjunction with, physical violence or the threat thereof.

8. **Domestic Violence.** Domestic Violence for purposes of this policy may also be referred to as Intimate Partner Violence (IPV). Domestic violence, is as defined in 34 U.S.C. 12291(a)(8), is a felony or misdemeanor crime of violence or the threat of violence (including but not limited to sexual or physical abuse) committed by a current or former spouse or intimate 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, a person similarly situated to a spouse of the victim; or any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Illinois or the laws of the jurisdiction in which the crime was committed. Complaints of violence between cohabitating individuals who do not meet this definition are addressed under other applicable College policies. Sexual abuse includes sexual penetration without consent, sexual contact without consent, incest, and statutory rape. Physical abuse includes physical violence, which is the intentional use of physical force (e.g., shoving, choking, shaking, slapping, punching, burning, or use of a weapon, restraints, or one's size and strength against another person) with the potential for causing death, disability, injury, or substantial physical harm. Domestic violence may include psychological/emotional abuse (e.g., isolating the victim from friends and family or denying access to money or other basic resources) if it is preceded by, or done in conjunction with, physical violence or the threat thereof.
9. **Stalking.** Stalking is, as defined in 34 U.S.C. 12291(a)(30), 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. "Substantial emotional distress" means significant mental suffering or anguish that may, but does not necessarily, require medical treatment of professional counseling. **Cyberstalking.** This definition incorporates the concept of cyberstalking, which employs the use of the internet, social media, blogs, texts, cell phones, or other similar devices or forms of communication. 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).

ADDITIONAL DEFINITIONS

C. Consent. Lack of consent is a critical factor in determining whether sexual assault has occurred. Consent is informed, freely given, and a mutually understood agreement to sexual activity. 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 Illinois²), 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.

² 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 XII below.

A person's lack of verbal or physical resistance or submission resulting from the use or threat of force does not constitute consent, a person's manner of dress does not constitute consent, consent in prior situations does not constitute consent to future sexual activity, and a person's consent to engage in sexual activity with one person does not constitute consent to engage in sexual activity with another.

- B. Coercion.** When coercion exists, an individual's consent to sexual activity is not voluntary. 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. Means of coercion may include, but are not limited to, severe or persistent pressure, direct or implied threats of force, retribution, or significant harm, or emotional intimidation. 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, 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
- Combative 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 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.

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.

REPORTING OPTIONS AND AVAILABLE RESOURCES

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

- D. 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 supportive measures and accommodations upon request.

Confidential Advisor Contact Information:

Mary Grigar, PhD

Assistant Dean of Students and Director of Health and Wellness

Buchanan Hall, Room 137

847-735-5242

After hours number: 847-435-5300 mgrigar@lakeforest.edu

Edward Neumann, PsyD

Assistant Director of Counseling Services, Community Wellness Coordinator Buchanan Hall, Room 137

847-735-5241

After hours number: 847-435-5300 neumann@lakeforest.edu

Kasey Schultz-Saindon, PhD

Assistant Director of Counseling Services, Coordinator of Clinical Training

Buchanan Hall, Room 137

847-735-5241

After hours number 847-435-5300 schultzsaindon@lakeforest.edu

- E. 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 obligation to respond to 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:** 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).

*Both on-and off-campus confidential resources will provide to the Title IX Coordinator, aggregate number, with no self-identifying information of individuals they have supported.

- F. Reporting Prohibited Conduct to the College.** The College strongly encourages individuals, including third parties, to report incidents of sex discrimination/sexual 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 sex discrimination and/or sexual misconduct in the context of their employment are required to promptly report all known 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. Alleged violations of this Policy may be reported to:

- **The Title IX Coordinator** (contact information listed above)
- **The Deputy Title IX Coordinator** (contact information listed above)
- **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 nonemergency 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 reports may be made to the **Confidential and Independent Campus Conduct Hotline:** 866-943-5787.

The College will investigate and/or respond to anonymous reports made electronically, by phone, or otherwise to the extent possible based on the information provided. The College's ability to take disciplinary action against an accused may be limited in the case of anonymous reports, [or via the confidential anonymous reporting form](#).

2. Information for Complainants and Respondents. 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.

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

3. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a complaint or where no complaint has been filed. Such measures are designed to restore or preserve equal access to the College's education program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the college's educational environment, or deter discrimination or harassment. Supportive measures may include:

- Referral to the Health and Wellness Center (students) or the Employee Assistance Program (employees)
- Extensions of deadlines or other course-related adjustments
- Modifications of work or class schedules
- Campus escort services and/or changes to campus transportation arrangements
- Dining accommodations
- Mutual restrictions on contact between the parties,
- Changes in work or housing locations
- Campus "No-Trespass Orders" against employees, students, and third parties
- Assistance in obtaining and/or enforcing a court-issued Stalking No Contact or other Orders of Protection.
- Leaves of absence
- Increased security and monitoring of certain areas of the campus, and/or
- Other similar measures.

The College must maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the College to provide the supportive measures. Requests for supportive measures may be made to the Title IX Coordinator. The Title IX Coordinator is responsible for coordinating the effective implementation of supportive measures.

G. 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. The College's Title IX Coordinator, or his or her designee, will evaluate a request for confidentiality or no action on a complaint in the context of the College's obligations to provide a safe and nondiscriminatory environment for all community members, and to remain true to the principle of fundamental fairness which requires that a Respondent be provided with notice of the allegations and an opportunity to respond before any action is taken against a Respondent. The Title IX Coordinator, or his or her designee, will make this determination consistent with the following considerations: 1) the seriousness of the conduct; 2) the respective ages and roles of the Complainant and the Respondent; 3) whether there have been other complaints against the Respondent; and 4) the right of the Respondent to receive notice and relevant information before disciplinary action

is sought.

- H. 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 may 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, 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.

- I. **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 assault. 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)

- J. **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 assault 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.

- K. Amnesty for Sexual Misconduct Complainants and Witnesses.** The College encourages the reporting of sexual misconduct and seeks to remove 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.
- L. 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.

II. DISABILITY ACCOMMODATIONS

The College is committed to providing individuals with disabilities reasonable accommodations needed in order to have full and equal access to the procedures under this Policy. Requests for accommodations or support should be directed to the Title IX Coordinator, who will review the request with the Disability Services (for students) and Human Resources (for staff and faculty), to determine whether and what accommodations are appropriate.

PRIVACY

The privacy of all parties and participating witnesses involved in reports of misconduct under this Policy will be respected to the extent permitted under relevant law. Information related to a report 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 this Policy and the accompanying Complaint procedures.

The College will, to the extent permitted by law, keep confidential 1) the identity of any individual who has made a report or filed a complaint under this Policy, 2) any Complainant, 3) any individual who has been reported to be the perpetrator of a Policy violation, 4) any Respondent, 5) and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, to carry out the purposes of any arising investigation, hearing, or judicial proceeding. The College will also keep confidential any support measures provided to a Complainant or Respondent except as necessary to implement the support measure(s).

The College does not restrict the ability of either party to a complaint to discuss an investigation with other individuals.

RETALIATION

Retaliation against individuals engaging in protected activity under this Policy is prohibited. Retaliation is an adverse action taken by the College, a Respondent and/or the Complainant, another student, and/or friends, family and acquaintances against an individual for the purpose of interfering with any right or privilege secured by Title IX or other applicable state or federal law or this Policy or as reprisal for filing a complaint or report, supporting a Complainant, and/or otherwise participating or refusing to participate in a proceeding pursuant to this Policy. Retaliation may include intimidation threats, coercion or discrimination.

Protected activity includes, but is not limited to, making a good-faith complaint of sex discrimination or sexual 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.

Retaliation includes intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve discrimination or harassment, but arise out of the same facts or circumstances as a report or complaint of prohibited conduct, or a report or complaint of prohibited conduct, for the purpose of interfering with any right or privilege secured by Title IX or this Policy.

Retaliation does not include the exercise of rights protected under the First Amendment, or charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a proceeding under this Policy, provided that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.

Retaliation can be committed by or against any individual or group of individuals, including a Respondent or Complainant. Retaliation is still prohibited even when there is a finding of no responsibility for the allegation.

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 sex discrimination/sexual misconduct.

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>.

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

All College employees³ 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.

EDUCATIONAL PROGRAMMING AND TRAINING

The College provides educational programming and training relating to this Policy and the accompanying Procedures including:

A. Training for Officials Responsible for Investigation or Adjudication of Complaints. The

³ College volunteers having regular contact with minors are also Mandated Reporters.

College will ensure that all officials responsible for the investigation or adjudication of sex discrimination and sexual misconduct receive annual training as required by applicable state and federal laws. These individuals will include, but not be limited to, the College's Title IX Coordinator, Deputy Title IX Coordinator, investigators, hearing officers, appeal decision-makers, confidential advisors, and Informal Resolution facilitators. The training materials will not rely on sex stereotypes and will promote impartial investigations and adjudications of complaints of sexual harassment. The training materials will be posted on the College's website. The functions of the listed individuals may be performed by a College employee or other individual engaged by the College to provide a service.

- 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 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 supportive measures, and confidentiality.
- 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.

ANNUAL REPORTS

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 <http://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.

The Colleges also prepares an Annual Security and Fire Safety Report, which is located on the College's website.

POLICY APPROVAL AND POSTING

This Policy will be reviewed regularly for compliance with federal, state and local laws and best practices. This Policy is approved annually by the President of Lake Forest College. The Policy, along with its related materials, is available on the College's website at:

www.lakeforest.edu/sexualmisconduct. We reserve the right to revise and adjust the Policy to align with state or local statutes, as necessary.

Enacted: August 28, 2015

Last Amended: August 14, 2020

Policy Against Discrimination and Harassment and Complaint Resolution Procedures

(October 2023)

POLICY STATEMENT

Lake Forest College (the “College”) is committed to providing and maintaining a teaching, learning, and working environment free from all forms of discrimination and harassment as based on one more “Protected Categories” specified in this policy. The College prohibits students, employees, contractors, volunteers, and visitors (collectively, “community members”) from engaging in discrimination and harassment based on race, color, religion, national origin, ancestry, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, work authorization status, military or veteran status, unfavorable discharge from military service, order of protection status, arrest record, genetic information, or any other characteristic protected by federal, state, or local laws and regulations (“Protected Categories”).

This policy applies to all of the College’s educational programs and activities including admissions as well as to all employment actions, including but not limited to recruiting, hiring, promotion, demotion, compensation, benefits, termination, and all other terms and conditions of employment.

APPLICABILITY AND SCOPE

This policy applies to “Harassment” and “Discrimination” (as defined below) that occurs within the College’s employment and education programs or activities and that is committed by an employee, student, contractor, guest, or other member of the College community. This policy covers non-Title IX Sexual Harassment related acts.

Complaints alleging conduct that would constitute Title IX Sexual Harassment as defined in the College’s (“Title IX Policy”) Sex Discrimination and Sexual Misconduct Policy are not within the scope of this policy and will be addressed pursuant to procedures set forth in the College’s Interim Title IX Sexual Harassment Complaint Resolution Procedures. Complaints alleging all other forms of sex discrimination and sexual misconduct, as defined in the Sex Discrimination and Sexual Misconduct Policy, will be addressed pursuant to the procedures in this policy.

Complaints of Discrimination and Harassment based on disability will be processed pursuant to the procedures below, which constitute the College’s Section 504 grievance procedures.

Complaints alleging all other forms of Discrimination and Harassment will also be processed pursuant to the procedures set forth below.

Complaints alleging conduct of a discriminatory or harassing nature may also implicate other College policies. In addition, complaints alleging conduct that does not fall within the scope of this policy, including conduct that could not constitute Harassment or Discrimination as defined in this policy, may be referred for review and action under other applicable policies.

The following policies and procedures may be relevant to complaints of discrimination or harassment and used by the College to address the underlying allegations of misconduct:

Student Code of Conduct

Employee Standards of Conduct

Bias Incident Response Process

If more than one College policy or procedure may apply to some or all of the conduct at issue in a complaint, the College will determine in its discretion what policy and procedure to use in addressing and resolving the complaint.

KEY DEFINITIONS

Discrimination: Treating someone differently because of their membership in a Protected Category (or a perception that someone is a member of a Protected Category) in matters of admissions, employment, housing, services, or in the educational programs or activities the College operates. In determining whether discrimination occurred, the College examines whether there has been an adverse impact on the individual's work or educational environment, and whether individuals outside of the protected class received more favorable treatment. If so, the College considers whether there is no legitimate, non-discriminatory reason for the action.

Harassment: Unwelcome verbal or physical conduct (including conduct using technology) directed toward an individual because of their membership in a Protected Category (or a perception that someone is a member of a Protected Category) that has the purpose or effect of substantially interfering with the individual's educational or work performance, or creating an intimidating, hostile, or offensive working or academic environment. *Quid pro quo* harassment occurs where submission to or rejection of prohibited conduct is used, explicitly or implicitly, as the basis for decisions adversely affecting an individual's education, employment, or participation in a College program or activity.

A person's subjective belief that behavior is intimidating, hostile, or offensive does not make that behavior Harassment. The behavior must create a hostile environment from both a subjective and objective perspective and must be so severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives a member of the community of the ability to participate in or to receive benefits, services, or opportunities from the College's education or employment programs and/or activities. In determining whether a hostile environment exists, the College examines the context, nature, scope, frequency, duration, and location of incidents, as well as the relationships of the persons involved. Conduct that does not meet the definition of Harassment may still violate other policies or expectations for appropriate/professional conduct and may result in discipline.

Specific examples of conduct prohibited under this policy are presented below. These examples are provided to illustrate the kind of conduct prohibited by this policy where the conduct is based on membership in a Protected Category (or a perception that someone is a member of a Protected Category). This list is not exhaustive.

Verbal conduct such as slurs, epithets, ridicule, mockery, teasing, kidding, practical jokes, flirting, advances, comments about an individual's appearance or sexual activity, or lewd, vulgar, or obscene remarks.

Visual conduct such as leering, making sexual gestures, or circulating or displaying lewd, vulgar, or obscene written materials, posters, cartoons, or photographs; and

Physical conduct such as assault, touching or other unwelcome physical contact, or blocking normal movement.

Retaliation: Materially adverse action taken against a person because the person made a good faith report of Harassment or Discrimination or participated in the investigation or adjudication of a report of Harassment or Discrimination, such as by serving as a witness or support person.

Complainant: An individual who is reported or alleged to be the victim of conduct that could constitute Harassment or Discrimination in violation of this policy.

Respondent: An individual who has been reported or alleged to be the perpetrator of conduct that could constitute Harassment or Discrimination in violation of this policy.

REPORTING OPTIONS

Complaints alleging Discrimination or Harassment in violation of this policy, or questions regarding the policy and complaint resolution procedures, should be directed to the following offices and Designated College Officials.

Disability Complaints

Agnes Stepek, Director of Human Resources & Section 504 Coordinator

555 North Sheridan Rd.

Lake Forest, IL 60045

Phone: 847-735-5036

Email: stepek@lakeforest.edu

Sex Discrimination / Harassment Complaints

LaShun McGhee, Title IX Coordinator

Rosemary House

Lake Forest College

555 N. Sheridan Rd.

Lake Forest, IL 60045

Phone: 847-735-6009

Email: titleix@lakeforest.edu

All Other Discrimination / Harassment Complaints

Agnes Stepek, Director of Human Resources & Section 504 Coordinator

555 North Sheridan Rd.

Lake Forest, IL 60045

Phone: 847-735-5036

Email: stepek@lakeforest.edu

Complaints may be made orally or in writing. While there is no time limit for reporting, the College strongly encourages prompt reporting so that an investigation can be conducted, and appropriate action taken in a timely manner. Complaints will be kept confidential to the extent possible, and information will be shared only on a need-to-know basis. Anonymous complaints may be made via the Campus Conduct hotline, 866-943-5787 or the online anonymous report.

The College will conduct a prompt, fair, equitable, and impartial investigation of all complaints of Discrimination and Harassment. If an individual is found to have violated this policy, the College will take appropriate action to prevent recurrence of the Discrimination and/or Harassment and take steps to correct its discriminatory effects on the Complainant and others, if appropriate.

THIRD-PARTY REPORTING

Any individual may make a report of Discrimination or Harassment. The report may be made without disclosing the identities of the parties involved. However, the College's ability to respond to the third-party report may be limited by the amount of information provided.

EMPLOYEE REPORTING

All employees are strongly encouraged to report Discrimination or Harassment that could violate this policy when they receive a report of such conduct or witness such conduct. The report should be made to the appropriate office or Designated College Official listed in Section IV above and should include all known relevant details of the alleged Discrimination or Harassment.

Employees with supervisory authority over other employees are required to report Discrimination or Harassment that could violate this policy about which they have information, except mental health counselors or other employees with a professional license that requires confidentiality. Failure to report in accordance with this policy may be grounds for discipline, up to and including termination.

COMPLAINT RESOLUTION PROCEDURE

When the College receives a complaint of Harassment or Discrimination, the appropriate Designated College Official or their designee (who may either be a College employee or someone who is not employed by the College) will conduct a preliminary assessment to determine if the conduct, as alleged, falls within the scope of this policy or should be handled under a different policy or procedure. If the complaint falls within the scope of this policy, the Designated College Official or designee will commence, or assign it for investigation.

The Designated College Official (or designee) will strive to notify the Respondent within seven (7) business days of receiving a formal complaint and assigning it for investigation or as soon thereafter as is possible. Written notice to the Respondent will include a copy of this policy and sufficient details known at the time so that the Respondent may prepare for an initial interview with the investigator (who may either be a College employee or someone who is not employed by the College), to include the identities of the parties involved (if known), the conduct allegedly violating this policy, and the date and location of the alleged incident(s) (if known).

The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or have relevant knowledge. Both the Complainant and Respondent will have an equal opportunity to identify and have considered witnesses and other relevant evidence. The investigator may adapt and modify the investigatory procedure in the investigator's discretion, based on the nature of the complaint and the conduct at issue.

All individuals covered under this policy are required to cooperate with the College's investigation into suspected Discrimination or Harassment and are required to provide truthful and complete answers to any questions asked by the investigator.

The College will strive to conclude the investigation no later than 90 calendar days after the start of the investigation unless good cause exists to extend the period for investigation. Both parties will be provided periodic updates of the status of the investigation and will be notified if the period for investigation has been extended.

The College will use a preponderance of the evidence (i.e., more likely than not) standard in determining responsibility for Discrimination or Harassment.

At the conclusion of the investigation, the investigator will prepare a preliminary investigation report. The preliminary report will contain a summary of the conduct alleged to violate this policy; a summary of the response to the allegations; a summary of the scope of the investigation; a summary of the relevant exculpatory and inculpatory evidence; and a summary of material facts on which the parties agree and disagree. The report will include copies of all relevant evidence received and considered during the investigation. Both parties will be provided a copy of the preliminary report and have seven (7) business days to respond to it in writing.

If, after receiving the written responses regarding the preliminary investigation report, the investigator determines that no further inquiry is required, the investigation will be deemed complete and final. If, in the sole discretion of the investigator, further inquiry is necessary, the investigator will follow up on the

information and ask any clarifying questions of the parties and witnesses before finalizing and completing the investigation. Any additional relevant information received and/or answers to clarifying questions will be included in the final investigation report.

The investigator will issue a final investigation report simultaneously to both parties that includes a statement of, and rationale for, each allegation that constitutes a separate potential violation of this policy, including a determination regarding responsibility for each separate potential incident or alleged policy violation. The written decision shall articulate findings of fact, made under a preponderance of the evidence standard, that support the determination. The written decision shall also include notice of the procedures to file an appeal. The investigator will provide a copy of the final investigation report to the Designated College Official or designee.

When a preponderance of the evidence supports a finding that this policy has been violated, the matter will be referred for appropriate disciplinary and remedial action as outlined below.

When there is insufficient evidence to find a violation of this policy, the complaint will be closed.

CORRECTIVE AND DISCIPLINARY ACTION

If the investigation determines that a Respondent violated this policy, any sanctions will be determined by the following College sanctioning officials:

The Designee for the Vice President of Student Affairs and Dean of Students when the Respondent is a student.

The Designee for the Krebs Provost and Vice President for Academic Affairs when the Respondent is a faculty member.

The Director of Human Resources when the Respondent is a staff member.

The sanctioning official may impose such sanctions as the sanctioning official believes are fair and proportionate to the finding of violation. Possible sanctions may include:

Verbal or written warning;

Mandatory training, programming, or educational assignments;

Required psychological assessments;

Revocation of offer of employment or admission;

Community service;

Disciplinary hold on academic and/or financial records;

Probation;

Removal from housing or other campus programs/activities/leadership positions;

Restrictions regarding entering certain buildings or areas of campus;

Loss of privileges;

No-contact directive (with respect to individuals) or no-trespass order (with respect to campus locations);

Performance improvement/management process (employees only);

Transfer (of employment);

Demotion or loss of pay increase;

Loss of oversight, teaching, or supervisory responsibility;

Suspension from school or employment (with or without pay, in the case of employees);

Degree revocation; and/or

Termination, expulsion, or other separation from the College.

Other corrective action may also be taken, including any appropriate targeted or broad-based remedial action.

In determining appropriate sanctions, the sanctioning official may consider the Respondent's record of past violations of this policy or other College policies, as well as the nature and severity of such past violation(s) and any other aggravating or mitigating factors. The sanctioning official will also determine whether to implement the sanctions immediately or to stay the sanctions if a party appeals the determination.

If a third party with whom the College does business engages in prohibited Harassment or Discrimination, the College will take appropriate corrective action, up to and including termination of the business relationship.

APPEALS

Either party may appeal the finding on the following grounds:

A procedural irregularity that could have affected the outcome;

There is new evidence that was not reasonably available during the investigation that could have affected the outcome;

The investigator had a conflict of interest or bias against the appealing party that could have affected the outcome; or

The sanction is disproportionate to the finding.

In assessing whether any of the above grounds could have affected the outcome, the College will use the preponderance of the evidence standard.

Appeals must be filed in writing with the appropriate appellate officer] within ten (10) business days of receipt of the written determination. The appeal must include:

Name of the Complainant;

Name of the Respondent;

A detailed statement of the basis for the appeal including the specific facts, circumstances, and argument in support of it; and,

Requested action, if any.

Any appeal that is untimely or does not contain at least one permitted ground for appeal will be rejected unless good cause exists to extend the appeal deadline.

Appeals for faculty members will be heard by the Krebs Provost and Vice President for Academic Affairs.

Appeals for students will be heard by the Vice President of Student Affairs and Dean of Students.

Appeals for staff members will be heard by Vice President for Finance and Planning.

The appellate officer will provide written notice to the other party that an appeal has been filed and that the other party may submit a written response or opposition to the appeal within seven (7) business days. The [appellate officer] will also promptly obtain from the Designated College Official or designee all records from the investigation necessary to resolve the grounds raised in the appeal.

The appellate officer will strive to resolve the appeal within fifteen (15) business days of receiving the appeal and any written response or opposition to it, unless good cause exists to extend the period for resolving the appeal.

The appellate officer shall issue a written appeal decision that explains the outcome of the appeal and the rationale. The written appeal decision shall be provided to the complainant, the respondent, and the Designated College Official or designee. The [appellate officer] may take all actions that the [appellate officer] determines to be in the interest of a fair and just decision.

The determination of a complaint becomes final when the time for appeal has passed with no party filing an appeal or, if any appeal is filed, at the point when the [appellate officer] has resolved all appeals. No further review beyond the appeal is permitted.

ADVISORS

The Complainant and Respondent have the same opportunity to be accompanied to any related meeting by one advisor for support, guidance, and/or advice, provided that the advisor complies with the guidelines for advisors outlined in this policy. The advisor may not be an attorney or a witness and, in cases involving multiple complainants or respondents, the advisor cannot be another complainant or respondent.

The advisor's role is to provide support, guidance and/or advice only. The advisor may not participate in any manner during any related meeting or proceeding. This advisor may not: (1) address or question the

investigator, or other parties or witnesses; (2) present evidence or make arguments; or (3) have any role other than to accompany and communicate with the party requesting support and/or advice. The Complainant or the Respondent may request a break during any meeting and/or proceeding to allow the Complainant or the Respondent to confer with their respective advisor in private.

The College reserves the right to remove or dismiss an advisor who fails to follow this policy and applicable provisions of the complaint procedures, in which case the party will be allowed to select a different advisor.

The College may consider reasonable requests to reschedule a meeting or proceeding because an advisor cannot be present, however, the College is not required to do so and will not do so if it unreasonably delays the process.

RISK ASSESSMENT AND INTERIM PROTECTIVE MEASURES

When the Designated College Official (or designee) becomes aware of a potential violation of this policy, an initial risk assessment will be conducted, in consultation with other administrators as appropriate, to determine whether there is reasonable cause to believe that the Respondent poses a significant threat of harm to the health, safety, and welfare of others or to the College community, and whether interim measures are necessary to alleviate or mitigate that risk.

If the College determines that immediate action may be necessary to protect the rights, interests, or safety of the Complainant, Respondent, or the College community, it will implement protective measures, which may include course-related adjustments, modifications to work or class schedules, changes in work or housing locations, leaves of absence, directives to the parties regarding personal contact, and, in severe cases, the immediate suspension of the Respondent pending the completion of a formal investigation.

The College will maintain the confidentiality of Interim Protective Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the College's ability to provide the measures in question.

CONFLICTS OF INTEREST AND BIAS

All College officials participating in this process and designees of such officials who are not employed by the College will be free of any material conflicts of interest or material bias. Any party who believes an official or designee has a material conflict of interest or material bias must raise the concern promptly so that the College may evaluate the concern and find a substitute, if appropriate. The failure of a party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal.

RETALIATION PROHIBITED

The College prohibits retaliation against anyone for making a report or complaint of Harassment or Discrimination under this or any other College policy (or assisting someone on doing so) or for participating in an informal or formal resolution process. Anyone experiencing or witnessing any conduct believed to be retaliatory should immediately report it to any of the offices or Designated College Officials named in Section IV above.

FREE EXPRESSION AND ACADEMIC FREEDOM

The College values freedom of expression, academic freedom, and the open exchange of ideas; the expression of controversial ideas and differing views is vital to intellectual discourse. The College is equally committed to creating and maintaining a safe, healthy, and harassment-free environment for all members of its community, and firmly believes that these two legitimate interests can coexist. Discrimination, Harassment, and Retaliation against members of the College community are not protected expression or the proper exercise of academic freedom. The College will consider its commitment to free expression and academic freedom in the investigation of reports of Discrimination and Harassment that involve an individual's statements or speech.

CONFIDENTIALITY

The College is committed to protecting the privacy of all individuals involved in a report of Harassment, and Discrimination. Every effort will be made to protect the privacy interests of all individuals involved in a manner consistent with the need for a thorough review of the allegations. The privacy of the parties will always be respected and safeguarded. For purposes of this policy, privacy and confidentiality have distinct meanings.

Privacy means that information related to a report of Discrimination and Harassment will only be shared with a limited number of individuals who need to know to assist in the active review, investigation, or resolution of the report.

Confidentiality means that personally identifying information, such as names or information that directly or indirectly identifies the individuals involved in the incident cannot be revealed to another individual without express permission of the individual, unless there are circumstances posing an imminent risk of harm to self or others. Complete confidentiality is only available when information is disclosed to professionals who are mandated by law to protect the confidential disclosures.

The College will make reasonable and appropriate efforts to preserve an individual's privacy and protect the confidentiality of information when investigating and resolving a complaint. However, because of laws relating to reporting and other state and federal laws, the College cannot guarantee confidentiality to Complainants and Respondents.

In the event an individual requests confidentiality or asks that a complaint not be investigated, the College will take all reasonable steps to investigate and respond to the complaint consistent with the request for confidentiality or request not to pursue an investigation. If a Complainant insists that his or her name not be disclosed to the alleged perpetrator, the College's ability to respond may be limited. The College reserves the right to initiate and proceed with an investigation despite a Complainant's request for confidentiality in limited circumstances involving serious or repeated conduct or where the alleged perpetrator may pose a continuing threat to the College community.

The College must balance the Complainant's desire for confidentiality against the overall campus safety. Factors to consider include: (a) was a weapon involved in the incident; (b) is the accused a repeat offender; (c) does the incident create a risk of occurring again; (d) are there other sources of evidence that could be used to identify the accused (i.e., surveillance cameras); and (e) will the College be able to eliminate the hostile environment without disclosing the identity of the Complainant. If the College is

unable to honor the Complainant's request for confidentiality, the College will notify the Complainant before the Complainant's identity is disclosed to the accused.

RECORDKEEPING

The Human Resources and Title IX offices are responsible for maintaining documentation for employees regarding all relevant complaints filed under this policy and Title IX, including documentation of all investigations, resolutions (informal or formal), and appeals conducted under these complaint resolution procedures. The Student Affairs and Title IX office is responsible for maintaining documentation regarding all relevant complaints filed under this policy for students.

The complaint filed shall be retained for a minimum of seven (7) years and shall be stored in a manner reasonably designed to maintain their confidentiality. However, nothing in this policy shall limit the College's right to use the complaint files, or portions thereof, in connection with the College's business, the investigation or resolution of other complaints, in the course of litigation, or in connection with any investigation by any government agency.

Consensual Romantic or Sexual Relationship and Evaluative Authority

(February 7, 2018; last amended April 3, 2018)

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.

Minors on Campus

Lake Forest College is committed to providing a safe and secure environment for children, including minors who participate in camps, clinics, workshops, conferences, research, and activities sponsored by or affiliated with the College. This policy affirms that commitment by setting forth screening, training, and conduct requirements for faculty, academic or athletic appointees, staff, student employees, volunteers, independent contractors, and others who staff College programs that serve children. Under this policy a “child” or “minor” is any person under the age of 18, who are not matriculated college students at Lake Forest College or elsewhere. This policy provides the framework that College-sponsored and non-Lake Forest College programs are required to follow in order to host and facilitate successful and safe programs. It establishes standards, procedures for reporting suspected sexual abuse of minors, and obligations for the operation of Covered Programs, defined below, which also includes registration and background checks.

Who Is Affected By This Policy

This policy applies broadly to all College faculty, staff, students, volunteers, and independent contractors who interact with minors on campus or under a Covered Program. Some examples include, but are not limited to, private lessons or tutoring, athletic camps, research and educational internships, and campus tours or visits attended by prospective students who are minors.

I. Reporting of Known or Suspected Child Abuse or Neglect

For purposes of the Minors on Campus Policy, all faculty, staff, student employees, volunteers, independent contractors, and third-party operators participating in Covered Programs are mandated reporters based on the Illinois Abused and Neglected Child Reporting Act (ANCRA). If you learn of sexual abuse while working with minors you are required to report to the incident. You may report directly to the Department of Children and Family Services as outlined below or to designated Lake Forest College internal offices. The 2020 Amendment of the IL-ANCRA allows an organization’s designee to report sexual abuse on behalf of the organization.

Internal Campus Reporting: Questions regarding reporting obligations or the circumstance under which a report of sexual abuse is required may be addressed to Title IX Coordinator, titleix@mx.lakeforest.edu or 847-735-6009, prior to contacting external entities.

External Campus Reporting: The College requires all mandated reporters to report to the Illinois Department of Child and Family Services (DCFS: 1.800.252.2873 or 800.25.ABUSE) if they have reasonable cause to believe a child known to them in their official capacity may be abused or neglected. In addition, before making a report, any mandated reporter who intends to make such a report must promptly notify both the head of their academic unit or immediate supervisor (unless this person is unavailable), or head of sponsoring unit, and the Title IX Coordinator that a report has been made, as well as the underlying circumstances that caused the report, and document in writing that the report has been made.

The College prohibits retaliation against any person who in good faith makes or participates in making a report of child abuse or neglect under this policy. The College also prohibits the intentional filing of false reports of child abuse or neglect. Illinois law protects the identity of mandated reporters and gives them immunity from liability for making good faith reports, although reporters may be obligated to testify if a case becomes subject to legal or judicial action.

Beyond the Minors on Campus Policy, if you are a Lake Forest College employee (faculty, staff, student employee), volunteer or third-party contractor, please contact Human Resources for information about completing the requirements of the Illinois Abused and Neglected Child Reporting Act (ANCRA), which requires personnel at higher education institutions to report all forms of child abuse, including training and the Illinois Department of Children and Family Services (DCFS) *Acknowledgement of Mandated Reporter Status* form. Please contact Human Resources for more information on the full context of the ANCRA, as this is to be completed upon hire or engagement.

II. Definitions

- A. **Adult:** For purposes of this policy and corresponding requirements, an adult is an individual who is 18 years old or older, or a matriculated college student at Lake Forest College or elsewhere.
- B. **Care, Custody, and Control:** The responsibility level when an adult, who is not the parent/guardian, is present and has supervisory responsibility for one or more minors as well as the knowledge of the general location (particularly when leaving the building) of each minor at any given point throughout a Covered Program.
- C. **Chaperone:** An individual(s), such as a teacher during an academic program, who is not a Lake Forest College faculty or staff member, student, volunteer, or a parent/guardian, but is responsible for the care, custody and control of one or more minors. For additional information, please see the Roles and Responsibilities for Chaperones.
- D. **Covered Program:** Any program or activity operated or conducted by the College, whether on- or off-campus, including overnight or daytime stays, where the care, custody and control of minors is the responsibility of College faculty, staff, students or volunteers. Covered Programs include but are not limited to outreach and community service activities.
- E. **Non-Lake Forest College Program:** Any program or activity that involves minors and uses Lake Forest College facilities but it is not operated under the authority or direction. Non-Lake Forest College Programs are also Covered Programs (unless an exemption applies). *See Section II.E for additional requirements.*
- F. **Minor:** For purposes of this policy, a minor is defined as any individual under the age of 18 years old, who is not a matriculated college student at Lake Forest College or elsewhere (other Title IX policies apply to matriculated college students who are under the age of 18).
- G. **Program Staff:** College faculty, staff, students, student workers, volunteers, independent contractors who are responsible for, supervise or otherwise oversee the care, custody and control of minors in Covered Programs.
- H. **Research Facility:** Any facility used for conducting research and/or experiments. For the purposes of this policy, a research facility may include or be adjacent to hazardous operations, hazardous equipment and/or materials, machinery or field research.

- I. **Sponsoring Unit:** A Lake Forest College administrative or academic unit that either (i) offers a program involving minors or (ii) approves the use of College facilities in connection with a Non-Lake Forest College Program.

III. Requirements for College Programs and Programs Conducted on College Premises

In addition to the reporting obligations set forth above, this policy describes screening, training, and conduct expectations on College premises or with College resources, regardless of College affiliation.

A. It Must be a Covered Program

“Covered Programs” are those designed to serve children. “Covered Programs” include College programs, activities, workshops, preparatory experiences, including lessons, laboratories, open houses, and events whether for academic, athletic, recreational or other purposes and whether on or off College premises. By way of example, Covered Programs include but are not limited to: day or overnight camps of any nature for children, including camps conducted by academic personnel and College athletic coaches, programs operated by the College and creative or instructional activities involving children. Camps and programs conducted or operated by College athletic coaches and other employees in their personal capacities are considered Covered Programs where the coach’s employee College affiliation is identified and/or where such programs use the College’s name, premises, facilities, or resources (register programs for college knowledge and approval) with Director of Conferences and Facility Rental.

Programs or services that serve children conducted or provided on behalf of, by, or for the College or a Covered Program are also considered Covered Programs. Such entities/contractors must be required by contract to comply with this Policy, and to demonstrate that the appropriate screening and training in accordance with *Sections II.B and II.C* of this Policy have been conducted prior to commencing services.

See Section IV. for covered overnight stay programs.

Exclusions: Covered Programs *do not* include:

1. College undergraduate, graduate, and professional or continuing education academic programs to which minor students are admitted and enrolled for academic credit.
2. Regularly scheduled classes or activities designed for enrolled students or individuals accepted for College enrollment.
3. College faculty/staff residential properties.
4. Single instance visits by adolescents to meet with faculty academic appointees to discuss academic, intellectual or career interests, but the exclusion only applies when accompanied by parent or guardian.

5. Campus tours or visits attended by prospective students who are minors.
6. Single guest lecturers or one-time participation in academic or research activities by academic guests.
7. College performance of single events such as fairs, festivals, convocations, or other activities that are generally open to persons of all age groups and at or at which children may be present or participate.
8. College events at which children will be accompanied at all times by a parent or legal guardian, except for any such event that involves overnight stays or use of locker rooms.
 - a. *In those instances, the sponsoring unit may instead adopt measures designed to ensure the safety of participating children, including but not limited to: a requirement that volunteers must work in public places and not be alone with children; that, to the extent that supervision of minors occurs as part of the event, the supervisor first must have undergone a criminal and registered sex offender background checks, and that before the event, the program must record the names and address of the volunteers, check the names against the national sex offender registry, and exclude any volunteers with positive results.*

B. Registration

It is expected that 45 days prior to the start of the program, Program Staff shall register the Covered Program, when possible. In order for the College to know when and where minors are being hosted on or off campus, Program Staff must provide the information requested. All registered programs will be provided with additional information to help host a successful program. A description of the program, expected age range and estimated attendee count are examples of the types of information that the College requires at the time of registration. Registrations will be reviewed by the Director of Conferences and Facility Rental, Kristen Nolan, nolan@lakeforest.edu.

C. Screening Requirements

All persons, including faculty, academic appointees, employees, students and volunteers who supervise a Covered Program or have direct contact with children in a Covered Program are subject to the screening requirements described in this section. "Direct Contact" means to provide instruction, care, supervision, guidance to or oversight and/or control over children through a Covered Program. The screening normally will include, at a minimum, College student discipline records, criminal history, and registered sex offender checks, records of which must be created and maintained for a minimum of three years.

The Office of Human Resources will conduct the screening of all Program Staff working in College-run programs and will maintain records of completed background checks, and these

records will only be accessible through the Human Resources office consistent with established policies and protocols.

It is the responsibility of the director or supervisor of each Covered Program to ensure that Program Staff have background checks on file. It is recommended that background checks be updated every three years.

After completion of an initial background check, all Program Staff are expected to disclose any new arrests or convictions to their program director or supervisor within 72 hours of the occurrence, and to cooperate in providing information necessary to evaluate the circumstances of the arrest and/or conviction.

Program Staff working in non-Lake Forest College sponsored programs will not be permitted to work with minors in a Covered Programs unless and until the director or supervisor of the program certifies in writing to the sponsoring department that criminal background checks have been conducted. The director or supervisor must also undertake to conduct and evaluate criminal background checks on any future Program Staff before they are hired or engaged.

D. Training Requirements

Covered Programs will require all Program Staff to complete the Illinois DCFS online training for mandated reporters. If, in your role as an employee, you have completed the Child Abuse and Neglect Reporting Act training successfully, this satisfies the Minors on Campus Policy requirement, so long as the certificate of completion is submitted to the Title IX Office or designated monitoring Lake Forest College office. It is the responsibility of program directors and supervisors to oversee compliance with these minimum training requirements. *See Section VI.* for the on-demand training link.

1. *Training Expectations:* Review the Minors on Campus Policy, complete the DCFS training, and complete and submit the DCFS Form to the appropriate Lake Forest College office.
2. *Non-Lake Forest College Covered Programs.* Program Staff working in non-Lake Forest College programs may not work with minors in a Covered Program until the director of the program certifies in writing to the Sponsoring Unit that all Program Staff have successfully completed training. The director must also agree that any future Program Staff will successfully complete training prior to working with minors in a Covered Program.

E. Additional Requirements: Non-Lake Forest College Programs

Non-Lake Forest College Programs involving minors may be hosted on campus, but only if all of the following requirements (1, 2, and 3) have been satisfied before using College facilities:

1. *College sponsor.* The Non-Lake Forest College Covered Program must secure the written agreement of a Sponsoring Unit to host the program. A Sponsoring Unit is a Lake Forest College administrative or academic unit that either (i) offers a program involving minors or (ii) approves the use of College facilities in connection with a Non-Lake Forest College Program.
2. *Written agreement.* The Non-Lake Forest College Covered Program must enter into a written agreement with the Sponsoring Unit. The agreement must address (i) certification to the Sponsoring Unit that the screening and training requirements of this policy have been met; (ii) commitment to operate the program in accordance with this policy and applicable law; and (iii) assumption of full financial responsibility for any loss or liability arising from the program.
3. *Insurance.* The Non-Lake Forest College Program must submit to the Sponsoring Unit an additional insured endorsement and certificate of insurance, identifying Lake Forest College (and its trustees, officers, employees, and agents) as an “additional insured party” and conforming to the specifications listed in the College’s Independent Contractor Insurance Requirements.

IV. Conduct Requirements

Persons working for, participating in, or involved with a Covered Program should create an open, welcoming educational environment and ensure that the safety and welfare of participating children is a paramount and shared responsibility. Positive, appropriate interactions with youth support their personal and educational development, make them feel valued, and provide the safe, caring connections that serve as protective factors for youth. Conversely, inappropriate and harmful interactions can put youth at risk for adverse emotional and physical outcomes. In this regard, persons working for, participating in or involved with a Covered Program shall not, in connection with the program:

- A. Engage in abusive conduct of any kind toward, or in the presence of, any child.
- B. Administer force upon a child with or without an implement or tool for the purpose of discipline (i.e., corporal punishment).
- C. Touch a child in an inappropriate or illegal manner.
- D. Engage in the use or possession of alcohol, tobacco or illegal drugs in the presence or vicinity of children.
- E. Photograph any child without the expressed, written consent of the child’s parent or guardian. A release form is available for this purpose if needed.
- F. Possess, produce, access or make available to children any sexually-explicit or otherwise inappropriate images, material, or media.

The College recognizes that, except as may be authorized by a head of Covered Program based on legitimate pedagogical reasons, it is best practice for persons in a Covered Program to refrain from being alone with a child at any time in connection with the program. The director or head

of a Covered Program for which such one-on-one time is so authorized must at all times structure the program as to permit observation. Under no circumstances will persons be alone with a child in settings where they and the child are not directly observable at all times.

V. Overnight Visits (including unofficial or official visits, for Admissions or Athletics)

Covered Programs that include overnight stays or use of College housing by children shall have the following additional measures in place:

- A. Identification must be worn by faculty, academic appointees, staff, student employees and volunteers and, if appropriate, participants;
- B. Curfews will be enforced;
- C. Participants must comply with alcohol, drug and smoke-free campus policy as a condition of participation;
- D. Participants must comply with a code of conduct for participants;
- E. Full-time residential supervision; and
- F. Use of non-College registered vehicle is prohibited.

By participating in the program or activity, every participant, as well as the participant's parent or guardian, is deemed to have agreed to comply with this policy.

Any person who suspects or becomes aware of a violation of these or other applicable conduct requirements must immediately report it to, as appropriate, the head of his or her academic unit or immediate supervisor and provide the underlying circumstances that compelled the report. Under such circumstances, the head of the academic unit or supervisor must immediately report the matter to Public Safety and/or the Office of Title IX. Notifying the College does not necessarily satisfy reporting obligations, which require mandated reports to make an immediate report to DCFS or directly to Title IX Office. Upon receiving a report or others becoming aware of such violation, the College will take prompt steps to assure the safety of children and to comply with all applicable legal reporting requirements.

VI. Policy Violations and Compliance

All Covered Programs are subject to audit to determine compliance with this policy by the Human Resources, the Title IX Office, or Director of Conferences and Facility Rental. Where necessary, all reports involving a member of the Lake Forest College community will be addressed according to the current Title IX Policy and Procedures. Any faculty member, staff, student employee, student or volunteer who violates this policy will be subject to corrective action up to and including termination of employment or volunteer status and exclusion from the College's premises.

VII. Related Resources

Minors on Campus Program Registration Form

[Acknowledgment of Mandated Reporter Status-Fillable Form](#)

[DCFS Online Training for Mandated Reporters of Sexual Abuse](#)

VIII. Contacts

Policy inquires: LaShun McGhee, Title IX Coordinator, lmcghee@mx.lakeforest.edu or Agnes Stepek, Director of Human Resources, stepek@mx.lakeforest.edu.

Screenings: For information relating to criminal background screening, contact the Office of Human Resources at 847.735.5036.

Reporting: To report suspected child sexual abuse:

1. Mandated reporters should contact Illinois Department of Children and Family Services (DCFS), at 1.800.252.2873 or 800.25.ABUSE.
2. If the incident is an emergency, contact Public Safety, at 847.735.5555, or dial 911 for local police.
3. To provide notice of mandatory report of sexual abuse made to DCFS, contact the Title IX Coordinator.

Policy: Adopted September 1, 2020

Lactation and Breastfeeding

The Lake Forest College will make every effort to provide an acceptable, private area for nursing mothers.

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.

Whistleblower

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:

Subject Matter

Intake Officers

ADA Rules Violation	Provost & Dean of Faculty
	Vice President and Dean of Students
Discrimination	Provost & Dean of Faculty
	Director of Human Resources
Faculty/Staff Handbook Violation	Director of Human Resources
Hostile Workplace	Controller
Retaliation	Director of Human Resources
Wrongful Termination	Director of Human Resources
Waste of Institution Resources	Controller
Harassment	Director of Human Resources
Sexual Misconduct	Title IX Coordinator
Hate Messages	Vice President and Dean of Students
	Director of Public Safety
Financial Improprieties	VP for Finance and Planning
Fraudulent Accounting/Bookkeeping	Provost & Dean of Faculty
Illegal/Unethical Business Practices	VP of Finance and Planning
NCAA/Athletic Rules Violation	Director of Athletics
	Provost & Dean of Faculty
Safety/Security Issues	Director of Public Safety
Environmental Hazards	Director of Facilities Management
Unsafe Workplace Conditions	Director of Public Safety

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.

SECTION IV BENEFITS

Benefits Administration

The insurance benefit programs listed in this section are currently administered by the Human Resources Office. The College may add, delete or modify any of these benefits or the portion paid by the College at any time in its sole discretion. The information provided here is an overview of eligibility and benefits. Detailed information about coverage and provisions is in the appropriate Summary Plan Descriptions and plan documents. In the event of a conflict between the description of the benefits in this Handbook and the terms of the benefit plan document, the plan document will control. Human Resources will provide the employee with the necessary documents at the time the employee becomes

eligible for coverage. These documents detail specific plan provisions, schedule of benefits, eligibility, exclusions, conversion, and continuation rights for the plans.

With the exception of the College's retirement plan, this section describes the benefits for regular, twelve (12) month employees budgeted to work at least 80% of full time (1560 hours or greater for 1950 budgeted hour positions and 1664 hours or greater for 2080 budgeted hour positions) **only** except where noted.

Health Benefit

Regular 12-month employees budgeted to work at least 80% of full time are provided with group health insurance at a minimal monthly cost to the employee for employee coverage only. This cost is based on the employee's annual salary level. The cost for dependent group health insurance is shared between the employee and the College. The portion an employee pays towards dependent coverage is based on the employee's rate of pay. Coverage begins on the employee's first day of employment and cease on the last day of active employment with the College.

Employees may enroll at one of four (4) levels of coverage:

1. Employee Only
2. Employee + Spouse
3. Employee + Child(ren)
4. Family

Terminated employees who are not eligible for Medicare and/or dependents of insured employees ineligible for continued coverage due to age, divorce, or death may elect to continuation coverage under COBRA (see COBRA).

Plan documents which detail plan information, schedule of benefits, eligibility, and continuation/conversion rights are provided to employees upon eligibility. Employees with questions about the group health insurance plan and its features are encouraged to contact Human Resources or the College's Health Insurance Advisory Committee.

Dental Benefit

Regular 12-month employees budgeted to work at least 80% of full time are eligible to enroll in a voluntary dental insurance plan at **full cost** to the employee. Coverage begins on the employee's first day of employment.

Employees may enroll at one of four (4) levels of coverage:

1. Employee Only
2. Employee + Spouse
3. Employee + Child(ren)
4. Family

Open enrollment is held annually, at which time employees may add, drop or change coverage (the only exception would be the occurrence of a qualifying event). Rate information and enrollment packages are available from Human Resources.

Basic Life Insurance

Regular 12-month employees budgeted to work at least 80% of full time are provided with group term life and accidental death and dismemberment insurance at no cost to the employee. The amount of insurance is 1.5 times an employee's annual gross salary, rounded to the next highest \$1,000, to a maximum of \$300,000. Reduced amounts of coverage occur after age 70. Coverage begins on the employee's first day of employment and ceases on the last day of active employment with the College. Upon termination of employment from the College employees can convert group term life insurance to individual term life coverage.

Long Term Disability Insurance

(Amended November 21, 2017)

SCOPE: Full-time Staff and Faculty

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.

Flexible Spending Account (FSA)

Regular 12-month employees budgeted to work at least 80% of full time are eligible to participate in the Flexible Spending Account Plan (FSA). Participation in this plan is completely voluntary to eligible employees.

This plan enables you to pay certain health care and dependent care expenses with pre-tax dollars. The plan works by allowing you to redirect part of your earnings, on a pre-tax basis, into a special account to pay for dependent childcare and/or health care expenses that are not covered by insurance. You can then use this pretax money to pay yourself back for eligible health care or dependent care expenses.

The dollars you deposit in your FSA are before-tax dollars and thus you do not pay federal income tax, social security tax, or state income tax on that money.

Eligible employees may enroll in the FSA Plan on an annual basis during open enrollment, or within 30 days of a change in family status. Employees must re-enroll each year. The College contracts with a third party administrator to provide services for this benefit. Employees submit claims to the plan administrator. Reimbursement checks are issued directly to the employee from the plan administrator.

COBRA

The Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) requires that most employer-sponsored group health and/or dental plans offer certain employees and their dependents the opportunity to continue group health coverage under the plan after their coverage would otherwise have ceased. The employee is responsible for the cost of the continuation coverage, which is 102% of the College's current premium cost. Federal law and circumstances of eligibility determine the length of continuation coverage. The following highlights generally the rights and obligations under COBRA. Employees who have any questions concerning continuation coverage should contact the Human Resources Office.

Employees may continue coverage under the following circumstances:

- Reduction in the number of hours worked.
- Termination of employment for reasons other than gross misconduct.

A spouse or dependent children covered under the College's group medical and/or dental plans may continue coverage under the following circumstances:

- Death of the employee
- Termination of employment for reasons other than gross misconduct.
- Reduction in the numbers of hours worked by the covered employee.
- Divorce or legal separation of the covered employee.
- Employee's entitlement to Medicare.
- A dependent child ceases to meet the definition of a "dependent" child.

The maximum length of COBRA coverage generally is 18 months if the covered employee becomes eligible due to termination or reduction in hours and 36 months if eligibility occurs for other qualifying reasons.

Under the law, the employee or a family member has the responsibility to inform the College of a divorce, legal separation, termination of a domestic partnership, or a child losing dependent status under a group health plan. Notice must be given to Human Resources within 60 days of the event.

As required by law, the College provides each new covered employee with an Initial COBRA Notice, which explains an employee's COBRA rights in detail.

Retirement Plan

(Updated January 1, 2022)

Purpose

To outline the benefits available through the College 403(b) Retirement Plan administered by TIAA. The revised contribution levels for the 2021-22 academic 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 may be either pre-tax and/or Roth (after tax), and are subject to annual IRS limits. Participants can choose to invest their contributions in any of the available investment selections. To enroll, participants must complete an online Year Round Enrollment available via the ADP self-services 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 enrollment 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 calendar 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. If an eligible employee's salary is adjusted mid-year, then the rate of contribution may change prospectively if the new salary

causes the employee to become a member of a new contribution group. 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, qualified service for the Retirement Annuity Plan (RA) consists of teaching three or more courses per calendar 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 calendar year. The College will then contribute an eligible annual contribution based on the part-time faculty member's earnings in a one-time lump sum payment in December. However, if the part-time faculty member's teaching load in a calendar year is less than three courses, then a lump sum contribution will not be made by the College.

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.

Voluntary Separation Program for Administrative Staff and Non-Tenured Faculty

(Effective May 31, 2019)

Establishment of the Plan

Lake Forest College (hereinafter referred to as the "College") adopted the Lake Forest College Voluntary Separation Program for Administrative Staff and Non-Tenured Faculty (hereinafter the "Plan") effective May 31, 2019 for the benefit of Eligible Employees of the College.

It is the College's intention that the Plan be in compliance with the Employee Retirement Income Security Act of 1974, as amended, including any valid regulation or other applicable authorities promulgated thereunder ("ERISA"), the Internal Revenue Code of 1986, as amended, including any valid regulation or other applicable authorities promulgated thereunder (the "Code"), and other applicable provisions of law.

Purpose of the Plan

The purpose of the Plan is to provide administrative staff and non-tenured faculty who have been long-time employees of the College with separation-type benefits in recognition of their service.

Voluntariness of Participation in the Plan

Participation in the Plan will be on a strictly voluntary basis. The choice is entirely yours. No one at the College is suggesting or requesting that you accept or reject participation in the Program.

The existence of the Plan does not in any way change your relationship with the College. You are free to choose to participate or not to participate. You should understand that if you are eligible and decline to participate, you will not be treated any differently than any other employee with respect to future terms and conditions of employment. However, you should also understand that the Plan does not provide any right to future employment.

Eligible Employees

Only Eligible Employees are entitled to receive benefits under the Plan. An Eligible Employee is a full-time administrative staff member or non-tenured faculty at the College who meets the following requirements as of May 31, 2019: (1) attainment of age 50 or higher; (2) at least 15 years of service as a full-time employee with the College completed by the age of 62 and 65; and (3) annual compensation of at least \$50,000. Employees who meet the criteria set forth in the previous sentence as of a later date are not eligible for benefits under this plan.

Participation under the Plan is available to Eligible Employees who return all materials required for participation in the Plan to the College on a timely basis. See "Procedure for Participation in the Plan" section below for details on how to submit materials to participate in the Plan. All submissions are to be made to:

Lake Forest College

Attn: Human Resources

555 N Sheridan Rd

Lake Forest, IL 60045

Employees who are not full-time employees, including temporary employees, part time employees, employees employed for a specific period of time, grant employees, employees employed for a specific project, contracted employees, leased employees who are employed pursuant to an agreement between the College and a third party, and individuals classified or treated as independent contractors by the College are not eligible to participate in the Plan and receive benefits hereunder. An individual's status as an "employee" will be determined by the College, in its complete and sole discretion, and such determination will be conclusive and binding on all persons, notwithstanding any contrary determination of "employee" status by any court or governmental agency, including, without limitation, the Internal Revenue Service or the Department of Labor.

Exceptions to Eligibility

An Eligible Employee will not be entitled to benefits under the Plan if:

1. The Eligible Employee fails to complete all necessary documents required by the College to participate in the Plan, including but not limited to the General Release and Additional Terms by November 1 of the academic year (1) after which s/he intends to terminate his/her

employment with the College; and (2) in which the Eligible Employee attains an age between 62 and 65. Benefits under this Plan are only available to Eligible Employees who elect to leave their employment at the end of a school year in which they attained an age between 62 and 65.

2. The occurrence of any of the following: (i) the Eligible Employee's conviction of a felony under state or federal criminal law; (ii) inability of the Eligible Employee to perform the essential functions of his/her position for 90 consecutive calendar days as a result of illness or disability which the College cannot reasonably accommodate without undue hardship; (iii) the Eligible Employee's gross negligence or willful misconduct in connection with the performance of the Eligible Employee's duties or the business affairs of the College; (iv) conduct by the Eligible Employee which may have an adverse impact on the College's reputation or standing; (v) the Eligible Employee's conviction of a crime involving dishonesty or moral turpitude, including but not limited to, fraud, perjury, theft, embezzlement, or plagiarism; (vi) any fraudulent or dishonest conduct by the Eligible Employee in connection with the performance of the Eligible Employee's duties or the business affairs of the College; (vii) material breach of any material terms or provisions of the Eligible Employee's employment agreement, if any; (viii) failure by the Eligible Employee to follow the College's reasonable policies, practices, procedures, directives, or instructions; (ix) if the Eligible Employee's job performance does not meet the legitimate expectations of the College; or (x) any conduct by the Eligible Employee which causes a pending or threatened enforcement action against the College, or otherwise threatens or negatively impacts the good standing of the College.
3. The Eligible Employee leaves employment with the College prior to becoming entitled to receive benefits under the Plan.
4. The Eligible Employee refuses to return or relinquish possession of College property as of his/her last day of employment, or earlier, if requested by the College.
5. The Eligible Employee's involuntary discharge from employment with the College prior to the Eligible Employee becoming eligible to receive benefits under the Plan.
6. The Eligible Employee enters into a separation package, severance agreement, early retirement, or other agreement providing separation-type benefits with the College.
7. The Plan is terminated.

Procedure for Participation in the Plan

To receive benefits under the Plan, an Eligible Employee must complete, to the College's satisfaction, all necessary documents required by the College to participate in the Plan, including but not limited the General Release and Additional Terms no later than November 1 of the academic year after which (1) s/he intends to leave his/her employment with the College; and (2) s/he attains an age between 62 and 65. All submissions should be made to the Director of Human Resources, or the Vice President for Finance and Planning as follows:

Lake Forest College
Attn: Director of Human Resources 555 N
Sheridan Rd
Lake Forest, IL 60045

Benefits are available under this Plan if Eligible Employees elect to voluntarily terminate their employment at the end of any academic years in which they attained an age between 62 and 65.

Last Day of Employment

For an Eligible Employee who timely elects to participate in the Plan, the College will determine, at its discretion and based on the College's economic needs, the Eligible Employee's last day of employment, which will generally be the last day of the academic year in which the Eligible Employee elected to leave his/her employment with the College.

Cash Incentive Payments

An Eligible Employee who timely elects to participate in the Plan is entitled to receive as Cash Incentive an amount calculated as follows: 25% of base salary plus 1% base salary for each year of the Eligible Employee's full-time service with the College.

For purposes of calculating an Eligible Employee's Cash Incentive payment, an Eligible Employee's salary and years of service will both be determined as of the last day of the academic year in which s/he elects to leave his/her employment with the College.

Timing and Method of Payments

An Eligible Employee who has otherwise satisfied the requirements to receive benefits under the Plan will be paid the Cash Incentive either (1) as a lump sum at the time of the regularly-scheduled pay period coinciding with the Eligible Employee's last day of employment; or (2) in twelve equal installments every month following the Eligible Employee's final day of employment with the College, until paid in full. Any and all payments under the Plan shall be made in compliance with the requirements of, or pursuant to an exemption under Code § 409A, and the regulations thereunder, if applicable, and all other applicable law. All legally required taxes, deductions and any sums the employee owes to the College will be deducted or withheld from the payments.

In no event shall payment be made unless and until the Eligible Employee has (1) executed and has not revoked the General Release and Additional Terms, and any other documents required by the College to receive benefits under the Plan, and (2) the time for revocation of the General Release and Additional Terms has expired.

Health Coverage Continuation

An Eligible Employee who has otherwise satisfied the requirements to receive benefits under the Plan who was a participant in the Lake Forest College Choice Plus PPO Plan (the "Group Health Plan") immediately prior to the last day of employment is eligible for health coverage under the Group Health Plan for the Employee and his/her spouse (or domestic partner, as defined under the Group Health Plan) and dependent children after leaving employment until (1) the Eligible Employee attains age 65; or (2)

the Eligible Employee becomes eligible for another group health plan, such as an employer-sponsored or state or federal government-sponsored plan (regardless of whether the Eligible Employee actually enrolls in the other group health plan). The cost of coverage for Eligible Employees and spouses and dependents will be the same as that for full-time employees of the College and must be paid monthly by the participant. Coverage for spouses and domestic partners under the Group Health Plan will terminate when the Eligible Employee's coverage terminates, subject to the terms of the Group Health Plan.

Health coverage provided under the Group Health Plan is subject to the terms of the Group Health Plan. In the event of a conflict between this Plan and the terms of the Group Health Plan, the terms of the Group Health Plan will control. There is no vested right to post-employment health coverage provided under this Plan. The College reserves the right, in its sole discretion, to amend, modify, or terminate the Group Health Plan or the terms thereof at any time. In no event will the College be obligated to provide or arrange for alternate health coverage in the event that an Eligible Employee's coverage under the Group Health Plan is terminated for any reason, including by the College's action.

Payout of Accrued Vacation Time

An Eligible Employee who timely elects to participate in the Plan will be paid out his/her accrued vacation time pursuant to the College's policies and procedures, if such Eligible Employee would otherwise have been eligible to receive such payouts upon the termination of his/her employment with the College.

Adjustment of Dollar Amounts

Any and all dollar amounts communicated to an Eligible Employee by the College, or one of its agents, or otherwise represented to an Eligible Employee prior to his/her final day of employment are for illustration purposes only, and in no way bind the College to pay any benefits in a manner inconsistent with the terms of this Plan. Any dollar amounts paid under the Plan are subject to adjustment based on the Eligible Employee's changed benefit eligibility, including but not limited to, years of service and weekly wage rate.

Eligible Employee's Death

If an Eligible Employee dies before his/her full allotment of benefits under the Plan have been paid out, any Cash Incentive amounts that remain payable to the Eligible Employee will be paid to the Eligible Employee's estate or designated death beneficiary.

Waiver and Release Agreements

To receive benefits under the Plan, an Eligible Employee must submit (and not later revoke) a signed General Release and Additional Terms to the Plan Administrator, and the time period for revocation of those Agreements must have expired. The General Release and Additional Terms must be in a form acceptable to the College. The General Release and Additional Terms must be submitted by the Eligible Employee to the College within 45 days after receipt.

Representations Contrary to Plan Terms

No employee, officer, or director of the College has the authority to alter, vary, or modify the terms of the Plan except by means of an authorized written amendment to the Plan. No verbal or written representations contrary to the terms of the Plan and its written amendments shall be binding upon the Plan, the Plan Administrator, or the College. In the event of a conflict between the terms of this Plan and any other documents or communications provided to you by the College regarding the benefits provided herein, the terms of this Plan shall control.

Plan Administration

The College will serve as the “Plan Administrator” of the Plan and the “named fiduciary” as defined in ERISA. The Plan Administrator has the discretionary authority to determine eligibility for plan benefits and to construe the terms of the Plan. The Plan Administrator’s decisions are final and conclusive with respect to all questions regarding administration and interpretation of the Plan. The Plan Administrator may delegate to other persons responsibilities for performing certain other duties of the Plan Administrator under the terms of the Plan and may seek such expert advice as the Plan Administrator deems reasonably necessary with respect to the Plan. The Plan Administrator is entitled to rely upon information and advice provided by such delegates and experts.

Making and Appealing Claims for Plan Benefits

Any claim for benefits under the Plan must be in writing and filed with the Plan Administrator. Within ninety (90) days after receiving a claim (or within 180 days if special circumstances require an extension of time and written notice was provided to you before the expiration of the initial ninety (90) day period), the Plan Administrator will:

- (a) either accept or deny the claim completely or partially; and
- (b) notify you of acceptance or denial of the claim.

If the claim is completely or partially denied, the Plan Administrator will provide a written notice to you containing the following information:

- (a) specific reasons for the denial;
- (b) specific references to the Plan provisions on which any denial is based;
- (c) a description of any additional material or information that you must provide in order to support the claim; and
- (d) an explanation of the Plan’s appeal procedures.

You may appeal the denial of your claim and have the Plan Administrator reconsider the decision. You or your authorized representative has the right to:

- (a) request an appeal by written request to the Plan Administrator not later than one hundred and eighty (180) days after receipt of notice from the Plan Administrator denying your claim;
- (b) review pertinent Plan documents; and
- (c) submit issues and comments regarding the claim in writing to the Plan Administrator.

The Plan Administrator will make a decision with respect to an appeal within sixty (60) days after receiving the appeal (this sixty (60) day period can be extended for an additional sixty (60) days if special circumstances require an extension of time and written notice is provided to you or your authorized representative before the extension commences). You or your authorized representative will be advised of the Plan Administrator's decision in writing. The notice will set forth the specific reasons for the decision and make specific reference to Plan provisions upon which the decision on the appeal is based.

In no event will you or any other person be entitled to challenge a decision of the Plan Administrator in court or in any other administrative proceeding unless and until the claim and appeal procedures described above have been complied with and exhausted.

Limitation on Legal Actions

The Plan contains a one-year statute of limitations. Notwithstanding any other state or federal law, any and all legal actions against the Plan or the College or must be filed within one (1) year of the action or inaction complained of. This includes but is not limited to actions to recover benefits that must be filed within one (1) year of the final decision on your claim. The situs of the Plan is in Lake County, Illinois. Legal actions must be brought in the appropriate state or federal court located in or closest to Lake County, Illinois.

You may not bring a legal action or administrative proceeding until you have exhausted the Plan's claims and appeals procedures.

Amendment, Termination, and Vesting

No person has any vested right to any of the benefits under the Plan and the College reserves the right, in its sole discretion, to amend, modify, or terminate the Plan at any time, retroactively or otherwise.

No Assignment

Benefits payable under the Plan will not be subject to anticipation, alienation, pledge, sale, transfer, assignment, garnishment, attachment, execution, encumbrance, levy, lien, or charge, and any attempt to cause such severance pay to be so subjected will not be recognized, except to the extent required by law.

Recovery of Payments Made by Mistake

An Eligible Employee or other individual is required to return to the College any payment made by mistake of fact or law within thirty (30) days of receipt or notice from the College that the payment was made in error.

Representations Contrary to the Plan

No employee, officer, or director of the College or any affiliated entity has the authority to alter, vary, or modify the terms of the Plan except by means of an authorized written amendment to the Plan. No verbal or written representations contrary to the terms of the Plan and its written amendments will be binding on the Plan, the Plan Administrator, or the College.

Plan Funding

No Eligible Employee or other individual will acquire, by reason of the Plan, any right in or title to any assets, funds, or property of the College or any affiliated entity. Any benefits that become payable under the Plan are unfunded obligations of the College and will be paid from the general assets of the College. No employee, officer, director or agent of the College or any affiliated entity guarantees in any manner the payment of benefits under the Plan.

Applicable Law

The Plan will be governed and construed in accordance with ERISA, and in the event that any reference will be made to state law, the laws of the State of Illinois will apply.

Severability

If any provision of the Plan is found, held, or deemed by a court of competent jurisdiction to be void, unlawful, or unenforceable under any applicable statute or other controlling law, the remainder of the Plan will continue in full force and effect.

Plan Year

The plan year for purposes of ERISA is the calendar year.

Miscellaneous Provisions

All the College property (e.g., keys, credit cards, documents and records, identification cards, equipment, mobile phones, etc.) must be returned by each Eligible Employee as of his/her last day of employment, or earlier, if requested by the College, in order for the Eligible Employee to receive benefits under the Plan.

All pay and other benefits (except benefits under the Plan) payable to an Eligible Employee as of his/her date of termination of employment with the College according to established policies, plans, and procedures of the College will be paid in accordance with the terms of those established policies, plans, and procedures. In addition, any benefit continuation or conversion rights which an Eligible Employee has as of his/her date of termination of employment with the College according to the established policies, plans, and procedures of the College will be made available to him/her.

Equal Employment Opportunity

The College is strongly committed to creating and preserving equal opportunity for all employees and applicants. The College makes all employment decisions – including recruitment, hiring, compensation, training, promotion, transfer, discipline, termination and other personnel matters – without regard to race, color, ancestry, religion, sex, national origin, age, disability, military status, marital status, sexual orientation, genetic information, citizenship, gender identity, parental status, or other legally protected characteristics or conduct. The College's strong commitment to equal opportunity requires a commitment by each individual employee. Compliance with the letter and spirit of this policy is required of all employees.

Statement of ERISA Rights

Plan participants are entitled to certain rights and protections under ERISA. ERISA provides that Plan participants will be entitled to:

Receive Information About Your Plan and Benefits

- Examine, without charge, in the College's human resources department, all documents governing the plan, including any insurance contracts and collective bargaining agreements governing their employment, and a copy of the latest annual report (Form 5500 Series) (if any) filed by the Plan with the U.S. Department of Labor and available at the Public Disclosure Room of the Employee Benefits Security Administration ("EBSA").
- Obtain, upon written request to the College, copies of documents governing the operation of the Plan, including any insurance contracts, certificates of coverage, copies of the latest annual report if applicable (Form 5500 Series), and an updated summary plan description. The College may make a reasonable charge for the copies.
- Receive a summary of the Plan's annual financial report. The College is required by law to furnish each participant with a copy of the summary annual report for a plan year.

Prudent Actions by Plan Fiduciaries

In addition to creating rights for Plan participants, ERISA imposes duties upon the people who are responsible for the operation of the employee benefit plan. The people who operate the Plan, called "fiduciaries" of the Plan, have a duty to do so prudently and in the interest of you and other Plan participants and beneficiaries. No one, including your College, your union, or any other person, may fire you or otherwise discriminate against you in any way to prevent you from obtaining a benefit or exercising your rights under ERISA.

Enforce Your Rights

If your claim for benefits is denied or ignored, in whole or in part, you have a right to know why this was done, to obtain copies of documents relating to the decision without charge, and to appeal any denial, all within certain timeschedules.

Under ERISA, there are steps you can take to enforce the above rights. For instance, if you request, in writing, a copy of Plan documents or the latest annual report from the College and do not receive them within 30 days, you may file suit in federal court. In such a case, the court may require the College to provide the materials and pay you up to \$110 a day until you receive the materials, unless the requested materials were not sent because of reasons beyond the control of the College.

If you have a claim for benefits that is denied or ignored, in whole or in part, you may file suit in a state or federal court. No action at law or in equity may be brought to recover under the Plan until the appeal rights herein provided have been exercised and the benefits requested in such appeal have been denied in whole or in part. If it should happen that Plan fiduciaries misuse the Plan's money, or if you are discriminated against for asserting your rights, you may seek assistance from the U.S. Department of Labor, or you may file suit in a federal court. The court will decide who should pay court costs and legal fees. If you are successful, the court may order the person you have sued to pay these costs and fees. If

you lose, the court may order you to pay these costs and fees, for example, if it finds your claim is frivolous.

Assistance with Your Questions

If you have any questions about the Plan, you should contact the Director of Human Resources. If you have any questions about this statement or about your rights under ERISA, or if you need assistance in obtaining documents from the College, you should contact the nearest office of EBSA, formerly known as the Pension and Welfare Benefits Administration, U.S. Department of Labor, listed in your telephone directory, or the Division of Technical Assistance and Inquires, Employee Benefits Security Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, D.C., 20210. You may also obtain certain publications about your rights and responsibilities under ERISA by calling the publications hotline of EBSA.

Moving Expenses Reimbursement

(Approved by Board of Trustees, December 13, 1986; Revised October 2018)

SCOPE: Full time administrative staff

POLICY

Relocation decisions are made in conjunction with the hiring manager and Human Resources Director. The College will financially assist in the relocation of full-time administrative staff so long as the move is completed within one year from the date of appointment.

Lake Forest College will reimburse all costs incurred during the move (other than lodging, meals, and storage) up to a maximum amount. The maximum reimbursement for administrative staff, including 10-month positions, below director level is \$750. The maximums for faculty and director level (and above) staff are as follows:

<u>Miles⁴</u>	<u>Maximum Benefit</u>
Less than 500	\$1,500
750	\$2,000
1,000	\$2,500
1,500	\$3,500
Over 1,500	\$4,000

⁴ For purposes of this policy, "Miles" refers to the distance between the location moved from and Lake Forest College. It does not necessarily refer to the distance actually traveled in the course of the move.

Employees who wish to use their personal vehicle will be reimbursed for mileage. The College will not otherwise reimburse employees for travel and lodging expenses for themselves or any member of their family during the move or for any storage costs.

PROCEDURE

The employee must pay for the expenses and submit all original receipts for reimbursement to the Office of Human Resources. Reimbursement for moving expenses is processed through payroll. The College's policy on reporting taxable income will follow all appropriate IRS regulations at the time the relocation expenses are paid.

Business Travel Accident Insurance

Business travel accident insurance is provided for all active full and part-time (working at least 17.5 hours per week) officers, department heads, professional and managerial staff members through the Associated Colleges of the Midwest (ACM) group policy. It 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. The benefit level is two times base salary, with a minimum coverage of \$50,000 and a maximum coverage of \$300,000. The benefit level is reduced beginning at age 70.

Computer Loans

The College offers interest-free loans to members of the faculty and administrative staff for the purchase of computers, computer equipment, and software for their College related use. Taxes and shipping charges may be included, but not the cost of supplies. Loans are offered twice each fiscal year; once during the fall and spring semesters.

Regular full-time faculty and staff who have not had a computer loan, or who have not had one in at least four years, may apply for a loan of up to \$2,500, to be repaid by salary deduction during one or two years. Within a four-year period, but after the repayment of this first loan has been completed, a second loan of up to \$1,000 can be made available for relevant additional purchases and upgrading. The \$1,000 loan must be repaid in one year, also by salary deduction.

Regular part-time faculty and staff who are at least half time are eligible for this program, provided that their appointments are for one year. The repayment period for part-time employees will correspond to their salary payment schedules (8-12 months). Inasmuch as State of Illinois regulations prohibit deductions of more than 15% of salary, the permissible maximum loan for a part-time faculty member may prove to be lower than \$2,500.

Loans are not interest-free and non-exempt staff will be taxed on the interest portion of the loan. The interest rate is a minimum of 3% since that is the minimum the College is charged for use of its line of credit. Any non-exempt staff member who has an IRS lien against their paycheck is not eligible for this program.

Since there may be an upper limit to the total funds available for this program and should the College receive requests for funds greater than the total funds available, loans will be awarded based on the College related use of the request. Preference will be given to first time users of the loan program.

It is a fundamental understanding of this loan program that the equipment so purchased will be used for business of the College and that specific purpose must be so stated.

Educational Benefit for Administrative Staff

(Amended May 12, 1989; March 1, 1996; June 1, 2010)

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

Lake Forest College will contribute toward the costs of college tuition, at colleges and universities other than Lake Forest College, for dependent children of eligible full-time, twelve-month **Professional** staff, and full-time non-teaching faculty, provided professional staff and non-teaching faculty have worked full-time at the College for at least three consecutive years immediately prior to their year of application for the educational benefit. The contribution is the actual cost of tuition up to a maximum of 30% of the College's tuition per fiscal year. This benefit is subject to a three-year review. 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.

Upon completion of three years' full-time continuous employment, full-time twelve-month **Professional** staff, **Managerial** staff, and full-time non-teaching faculty, their spouses and dependent children will be eligible for 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.

All use of 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 will not be subsidized for a dependent. At Lake Forest College the dependent will be charged the admission application fee and all other fees charged to full time students. If the dependent elects to be a resident student, room and board will be charged, as with all such students.

Appropriate deposits will also 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.

All benefit users will need to consider carefully whether or not they wish to use this benefit for 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 one course will mean the student's tuition benefit for the next academic year will be 7/8 the academic year benefit.)

Employees will be permitted on occasion to enroll in one class during scheduled working hours, but only at times which do not conflict with job responsibilities, subject to department head approval. Employees who audit classes **must** advise the Business Office of their intentions. All time taken off during scheduled working hours must be made-up. To encourage staff 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 classes. Private lessons, workshops, tutorials, and independent study are not included, nor is any course work leading to an M.L.S. degree.

The tuition benefit as described above ceases upon retirement of the staff member or upon death, termination, or total disability of the staff 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 staff member has served the College for seven full years as a full-time staff member, children who were claimed as his/her dependents in the taxable year preceding death or total disability and who were in grade 7 or higher at the time of the death or total disability will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit to living faculty and Professional staff. In the same way if the staff member has served the College for twenty full years as a full-time staff member, dependent children who were in grade 7 or higher at the time of retirement will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit for faculty and staff who are not retired.

Applicants for the Lake Forest College Tuition benefit must apply for all federal and state grant assistance. This is done by completing the Free Application for Federal Student Aid (FAFSA). This application can be obtained from the Financial Aid Office.

If a student is eligible for any federal, state or private foundation grant or scholarship assistance, the amount of this assistance will be subtracted from the tuition benefit. If a student is eligible for a Lake Forest College scholarship, the amount of this scholarship will be subtracted from the benefit. In no case can the total amount of aid a student receives from all grant and scholarship sources exceed the total amount of Lake Forest College tuition and fees. **Exceptions to this policy are rare and are only in the case of outside scholarships whose benefactor mandates other terms.**

The staff 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 will be asked to submit the appropriate 1040 form for verification of eligibility.

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

Educational Benefit for Support Staff

(Amended June 1, 2010)

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

Upon completion of three years' full-time continuous employment at Lake Forest College, full-time, twelve-month employees, their spouses and dependent children will be eligible for 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. **Under no circumstances will the tuition benefit be available beyond the equivalent of four academic years of study.**

The regular admissions requirements of the College must be satisfied as a prerequisite to the utilization of this benefit. Graduate or professional study will not be subsidized. At Lake Forest College the dependent will be charged the admission application fee and all other fees charged to full-time students. If the dependent elects to be a resident student, room and board will be charged, as with all such students. Appropriate deposits will be required.

Biweekly employees need to consider carefully whether or not they wish to use this benefit for a dependent's attendance in summer school. If the dependent attends summer school, the tuition benefit afforded the attending student will be counted against the total tuition benefit.

To encourage biweekly employees 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. Employees who audit classes **must** advise the Business Office of their intentions and make up all time away from their jobs for their classes. Private lessons, workshops, tutorials, and independent study are not included, nor is any course work leading to an M.L.S. degree.

Employees will be permitted on occasion to enroll in one class during scheduled working hours, but only at times which do not conflict with job responsibilities, subject to department head approval. All time taken off during scheduled working hours must be made up.

The tuition benefit as described above ceases upon termination, retirement, death or total disability of the employee before retirement. However, if death or total disability occurs during a fiscal year, the benefit will continue for the remainder of the fiscal year.

If the employee has served the College for seven full years as a full-time employee, children who were claimed as his or her dependents in the taxable year preceding death or total disability and who were in grade seven or higher at the time of the death or total disability will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit to living employees.

If the employee has served the College for twenty full years as a full-time staff member, dependent children who were in grade seven or higher at the time of retirement will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit for employees who are not retired.

Applicants for the Lake Forest College Tuition Benefit must apply for all federal and state grant assistance. This is done by completing the Free Application for Federal Student Aid (FAFSA). This application can be obtained from the Financial Aid Office.

If a student is eligible for any federal, state or private foundation grant or scholarship assistance, the amount of this assistance will be subtracted from the tuition benefit. If a student is eligible for a Lake Forest College scholarship, the amount of this scholarship will be subtracted from the benefit. In no case can the total amount of aid a student receives from all grant and scholarship sources exceed the total amount of Lake Forest College tuition and fees. Exceptions to this policy are rare and are only in the case of outside scholarships whose benefactor mandates other terms.

The employee 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 will be asked to submit the appropriate 1040 tax form for verification of eligibility. The education benefit will not be applied to the student account until these steps are completed.

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

Tuition Exchange Program (CIC-TEP)

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.

Tuition Remission Exchange Program (TREP)

Upon completion of three years' full-time continuous employment, a full-time professional staff, managerial staff, or non-teaching faculty member dependent children will be eligible to participate in the ACM TREP Program. 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 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 is guaranteed. See the Vice President for Finance and Planning for further information.

This three-year waiting period does not apply to professional staff, managerial staff or non-teaching faculty hired prior to June 1, 2010.

College Housing

(Amended September 1, 1987; September 1988; December 1989; September 1992; May 2019)

1. 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 (see #9 below); 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.
2. 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.

3. Full-time members of the non-teaching faculty (see page 3 for definition of 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.
4. 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.
5. A faculty or staff member living in a College-owned housing unit may apply to the Director of Human Resources to remain in the unit one year past the applicable deadline for vacating it. If approved, the faculty or staff member would agree to pay the market rental rate for that extra year instead of the College-subsidized rate. An application will be granted or denied at the discretion of the College President.
6. 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.
7. A person seeking College housing or desiring a change in housing shall fill out the standard housing request form and submit it to the Director of Human Resources, 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.
8. Housing Assignments
 - a) 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;
 - b) 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;
 - c) 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;
 - d) Neither seniority nor base salary will be a factor in the committee's decisions;
 - e) Applications will not remain in the active file after August 31. Applications for the next year are accepted on or after September 1.
9. 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 (some Professional and all Managerial staff) 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.

10. 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).
11. The normal term of the lease is from June 1 through May 31. Tenants who elect to vacate their housing prior to the end of the term are responsible for the rent through the end date of the lease. However, 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 Director of Human Resources as soon as possible, but not later than thirty days prior to the desired date for terminating the lease.
12. 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.
13. At least once a year, a meeting will be scheduled between residents of College housing and the administration to consider topics of mutual interest.

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

Lake Forest College employees must meet the following criteria:

1. Is a full-time 12-month staff member or a full-time member of the teaching faculty.
2. Has completed **one year** of satisfactory service with the College.
3. Is a first-time home buyer.
4. 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.
5. Is purchasing a home within 15 miles of the College.
6. 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.
7. Is able and willing to contribute at least \$1,000 from their own savings.
8. 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.
9. 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. The application 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.

Second Mortgage

(Board of Trustees, May 22, 1980; May 11, 1984; May 12, 1989; September 22, 1989; May 8, 1992; December 3, 1994; October 1996; May 7, 1999; January 31, 2001; February 18, 2005)

In 1980 the Board of Trustees approved a Second Mortgage Policy that, through 2003, helped nearly 60 faculty and staff purchase homes. Over its lifetime the Policy was amended on several occasions to expand the boundaries of the approved purchase area, to extend eligibility to larger numbers of faculty and staff, to raise the dollar ceiling on individual mortgages, to increase the total funds invested by the College in second mortgages, and for other purposes. During the 2003-2004 academic year, the exhaustion of available College funds for second mortgages became a likely prospect. As a result, the Faculty Personnel Policies Committee undertook a review of the Policy. That review continued through the fall of 2004 and led the Committee to recommend several changes in the Policy to the President, which he then conveyed to the Board. Based on these recommendations, the Board approved the terms below, effective February 1, 2005, to replace the original Policy in its entirety, and to be substituted in the Faculty Handbook.

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 – Eligibility for full-time teaching faculty will accrue upon receipt of tenure. 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 lien holder.

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.

Leave of Absence

Family and Medical Leaves of Absences

(Updated March 2015)

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 3 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 parent⁵ 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 service member’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 service member’s office, grade, rank or rating. Next-of-kin of a covered service member may be a blood relative whom the service member 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 service member is the next nearest blood relative other than the covered service member’s spouse, parent, son or daughter. An employee is also eligible for this type of leave when the service member 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.

⁵ 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.

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 service member, 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 service member leave and other family leave, the College must first count leave against service member leave. Any portion of the 26 workweeks of service member 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 service member, the husband and wife may only take a combined total of 26 workweeks of leave.

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.

Parental Leave

(Revised November 2007; May 2019)

Committed to a diverse staff, Lake Forest College has adopted the newborn child leave policy to enable the College to hire and retain qualified personnel on the staff. A regular employee with an FTE of 80% or greater and having at least one year of continuous full time service will be entitled to a paid leave in the case of the birth or adoption of a newborn child, where the staff member is the primary caretaker of the child. Two married members of the eligible faculty or staff are each entitled to the leave benefit in the same way they would be entitled if unmarried. The College may require appropriate documentation to support the leave request.

Upon the birth of a child, or the guardianship of an adopted child, the employee may take a leave of absence for a full thirteen weeks and receive full salary for the first six weeks and half salary for the next seven weeks with full medical benefits plus all other benefits for which the employee qualified, pro-rated accordingly.

If an employee decides to terminate employment while on or at the end of a Newborn Child Leave, any remaining vacation days the employee has will be used to offset the Newborn Child Leave taken.

The Newborn Child Leave policy would be used in place of the paid sick leave policy, and not in combination with paid vacation or other unpaid leave to extend the leave period. Its use is intended for routine, normal pregnancies. Use of parental leave constitutes leave under the Family Medical Leave Act

An employee requesting a medical leave prior to the birth must provide documentation from her physician that the leave is a medical necessity. Such leave would be considered sick leave. Sick leave is limited to 90 calendar days each fiscal year.

An employee wishing to apply for Newborn Child Leave must do so in writing to the department head and Human Resources, indicating the expected date of delivery, the intended departure date, and the intent to return to the position at the end of the thirteen-week period. Due to the nature of pregnancy, it is understood that the leave dates may need to be changed.

Employees do not accrue vacation or sick days during a paid Parental leave.

If an employee decides to terminate employment while on or at the end of a Parental leave, any remaining vacation days the employee has will be used to offset the Parental leave taken.

Bereavement Absence/Family Bereavement Leave Act (FBLA)

(Revised March 2017; Updated December 2022)

In the event of a death of a family member, a leave of absence is provided as follows to benefits-eligible employees:

- Ten days bereavement
 - Spouse or Domestic Partner/Civil Union Partner
 - Child, Stepchild, Foster Child, Adopted Child, Child of a Civil Union
 - Parent(s) / Parent(s)-In-Law
 - Sibling
 - Grandparent(s)
 - Grandchild(ren)

The first five days are paid. For the second five days, the staff member can use vacation time or can take the days unpaid.

- One day bereavement for the death of other close family members
 - Son(s)-In-Law or Daughter(s)-In-Law
 - Brother(s)-In-Law / Sister(s)-In-Law
 - Grandparent(s)-In-Law
 - Aunt(s) / Uncle(s)
- Up to 12 weeks of unpaid extended bereavement leave for parents who lose a child to suicide or homicide
- Up to 12 weeks of unpaid extended bereavement leave for family members of those killed in a crime of violence (VESSA leave)

The FBLA is also available for absent from work due to (i) a miscarriage; (ii) an unsuccessful round of intrauterine insemination or of an assisted reproductive technology procedure; (iii) a failed adoption match or an adoption that is not finalized because it is contested by another party; (iv) a failed surrogacy agreement; (v) a diagnosis that negatively impacts pregnancy or fertility; or (vi) a stillbirth.

Use of bereavement leave constitutes leave under the Family Medical Leave Act ("FMLA"). Employees are only eligible to take leave under the FBLA if they are also an eligible employee under the Federal Family and Medical Leave Act. Eligibility under the FMLA requires 12 months of employment, at least 1,250 hours over the past 12 months.

If necessary, employees may delay the use of their bereavement leave for up to 60 days following the death of their family member.

Employees are expected to provide as much notice as possible to their manager in the event that a bereavement leave is required. Time in excess of the allowed days of bereavement per the schedule above can be taken from an employee's vacation time balances, upon approval of the manager.

In cases where a grandparent, aunt, uncle, etc. has raised a child in lieu of the parent, and employee may be granted more bereavement leave if approved by Human Resources Director.

While part-time and temporary employees are not eligible for this paid benefit, these employees will be allowed up to ten unpaid days for bereavement leave.

Illinois Victim's Economic Security and Safety Act (VESSA) Leave

(March 2015, last updated January, 2024)

Employees who are victims of a crime of violence, which can include gender violence, domestic violence, sex offenses, sexual assault, harassment and obscene communication, armed violence, or other crimes or whose family or household member is a victim of such 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; to attend the funeral or alternative to funeral or wake of a family or household member who was killed in a crime of violence; or to make arrangements necessitated by the death of a family or household member who was killed in a crime of violence; or to grieve the death of a family or household member who was killed in a crime of violence; 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.

For the expanded leave available to employee grieving a family member's death arising from a crime of violence, employees can take up to two workweeks (10 workdays) of unpaid leave, within 60 days after the employee receives notice of the death of the victim.

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. The employee may choose the type of documentation to submit to support the request for this leave. 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 Violence Policy for more information.

Voting Time

Employees are encouraged to vote before or after working hours. However, in its discretion, the College may grant employees entitled to vote at general, special, or single-issue elections up to two hours of **unpaid** leave in order to vote.

To be eligible for time off, employees must (1) be qualified to vote, and (2) apply for such absence prior to Election Day. The application must be made to the employee's supervisor.

Unpaid Personal Leave of Absence

Full-time employees with a year or more of continuous active service may request an unpaid leave of absence for up to one (1) month for reasons other than situations covered under the Family and Medical Leave Act.

Requesting Personal Leave of Absence

Staff members are required to submit a formal request for a personal leave of absence to the appropriate Department Head or Vice President at least one (1) month in advance of the beginning date. The effective

date of the leave should be included. All leaves of absence are subject to the approval of the Department Head and/or Vice President as appropriate.

Employees applying for the personal leave should also contact Human Resources. Health insurance may be continued under COBRA while on leave of absence. The total cost of the insurance must be paid by the employee. The employee has sixty (60) days to apply for continuation coverage following termination of group insurance.

Reinstatement to Position Following Personal Leave of Absence

The College will make an effort to reinstate an employee to the same or equivalent position following a personal leave of absence. However, the College cannot guarantee that the same position or a similar position will be available at the time an employee desires to return to work. Outside employment while on personal leave or failure to return to work upon scheduled expiration of approved personal leave will result in termination.

PAID TIME AWAY FROM WORK

College Scheduled Holidays

Paid holidays for regular, full-time 12-month employees are:

New Year's Day

Memorial Day

Juneteenth

Independence Day

Thanksgiving Day

Friday after Thanksgiving

Christmas Eve Day

Christmas Day

Winter Recess

New Year's Eve Day

Labor Day is not a paid holiday. It is, however, the College's intention to give the day off to as many staff as possible. Staff required to work on Labor Day may elect an alternative day off **with pay**. This alternative day off must be taken by the end of the fiscal year.

All Administrative offices are closed on Thanksgiving Day. Some departments may operate with reduced staff on the Friday after Thanksgiving. All other Administrative offices are closed. Employees required to work on the Friday after Thanksgiving may select another day off as their paid holiday. This alternative day off must be taken by the end of the fiscal year.

Employees who are budgeted to work at least 1200 hours per fiscal year receive the regular paid holidays off where those holidays fall within their monthly period of employment. Employees who are budgeted to work less than 1200 hours per fiscal year are not eligible for paid holidays.

Paid holidays that fall on a Saturday are observed on the preceding Friday. Paid holidays that fall on a Sunday are observed on the following Monday.

The College reserves the right to adjust the holiday schedule to fit its academic needs.

Winter Recess

Unless otherwise announced, Lake Forest College offers Winter Recess time off for the three work days between Christmas and New Year's Eve Day for those who are not required to provide essential services during these days.

Vacation Time

(Revised November 6, 2015; last amended April 1, 2021)

SCOPE: Staff at above 0.33 FTE

PURPOSE

To identify paid time off and how it is administered.

POLICY

The College provides the following paid time off to its full-time and part-time staff at and above 0.33 FTE:

Vacation days: Employees earn vacation time for each month they work, based upon their length of service. All vacation days must be used within the time period of September 1 to August 31, except as provided below. The following chart outlines the amount of time earned each month and the maximum per year:

	Length of Service	Amount of Time Earned Per Month	Maximum Number of PTO per Year

Full Time Staff	At the start of employment	1.25 days	15 days (prorated from date of hire to end of fiscal year)
	After 3 completed years	1.83 days	22 days
Part-Time Staff	At the start of employment	*1.25 days (prorated based upon percentage of time appointed)	Prorated from date of hire to end of fiscal year
	After 3 completed year	*1.83 days (prorated based upon percentage of time appointed)	

Part-time Staff: Paid time off is prorated based upon percentage of time appointed (percent full time equivalent).

*Examples:

1. Full-time 83% employee earns 12 vacation days per year during the first three years of employment ($15 \times .83 = 12$) and 18 days ($22 \times .83$) after completing three years of service.
2. Part-time 33% employee earns 5 vacation days per year during the first three years of employment ($15 \times .33 = 5$) and 7 days ($22 \times .33$) after completing three years of service.

Eligible employees begin earning paid vacation time at the start of employment, based on the chart above. These days must be used prior to September 1 following their hire date. Employees are allowed to use unearned vacation if approved by their supervisor and if the total paid time off does not exceed the eligible amount through September 1. Earned vacation will be tracked on the College's payroll system and use of unearned vacation will be indicated by a negative days calculation.

Paid vacation days that are not used during the current year are forfeited. However, up to five (5) unused vacation days may be carried over into the next academic year. The days carried over must be used by January 31st of the following calendar year.

Unused paid time off will not be compensated except in the cases of separation (resignation or termination) from the College. The number of days compensated at the time of separation is based on the number of days earned, but not used at the time of the separation from the College.

It is the responsibility of the employee and manager to maintain an accurate record of the vacation days used.

PROCEDURE FOR VACATION DAYS

1. Eligible time may be taken throughout the year, subject to manager approval. Paid time off may be used for vacation, personal time, and for use with the Family and Medical Leave Act. The time requested must be approved and accepted based on the request and the needs of the department.
2. Part-time employees budgeted to work below the 0.33 FTE are not eligible for paid vacation days.
3. Unpaid time off may be granted upon request if approved in advance by the supervisor and the Director of Human Resources. All paid time off (excluding sick days) must be exhausted prior to receiving unpaid time off unless extenuating circumstances arise and are approved by the Director of Human Resources. Unauthorized unpaid time off may be subject to disciplinary action up to and including termination.

CHANGE IN EMPLOYMENT CLASSIFICATION

1. Upon a change from a staff member to a faculty member, eligible employees shall receive payment for any earned, unused vacation days on the next scheduled pay period after the effective date.
2. Upon a change from a full-time employee to part-time employee, the employee's rate of accrual will be proportionately reduced.
3. Upon a change from a faculty member to a staff member, eligible employees shall accrue vacation days per the paid time off schedule based on their length of service.

TERMINATION FROM EMPLOYMENT

1. Upon termination for any reason, eligible employees shall receive payment for any earned unused paid time off days on or after the date of the employee's last paycheck. If an employee terminates and has used paid time off not earned, (carrying a negative paid time off balance), a deduction for the time taken but not earned will be reflected in the employee's last paycheck.

Paid time off cannot be used as an employee's "last day worked". The last day worked must be the last physical day that the employee reported to work.

Sick Days

(Effective January 2019; Updated May 2022)

SCOPE: Full time staff

PURPOSE

To identify the accrual and use of sick time.

POLICY

Full-time employees accrue sick time from the date of hire and can use sick time after (3) months of employment for any of the following:

- a personal illness or injury
- physical and/or mental health issues
- required medical care, treatment, diagnosis, or preventive medical care
- illness, injury, or medical care, treatment or diagnosis required by a qualifying family member
- domestic or sexual violence suffered by the employee or a qualifying family member
- College closure by order of a public official due to a public health emergency
- the need to care for a child whose school or place of care is closed by order of a public health official due to a public health emergency

Visits to licensed/certified caregivers for treatment or checkups qualify for use of sick time, must be scheduled at a time least disruptive to department operations, and require advance supervisory approval.

Qualifying family members are defined as a spouse, domestic partner/civil union partner, child, stepchild, child of a civil union or domestic partner, parent, stepparent, grandparent, grandchild or sibling and those bearing the same relationship to the staff member's spouse or domestic partner/civil union partner.

Full-time employees are eligible to earn up to 12 paid sick days annually. Full-time employees accrue at the rate of 1 day per month they work. Prorated sick days are available to employees who regularly work 30 or more hours each workweek.

Employees who work fewer than 30 hours per week are not eligible for paid sick time.

Pay for sick time will be at the employee's regular base rate of pay when sick leave is used. Other compensation is not included in calculating sick leave pay. Sick leave hours are not considered "hours worked" in calculating overtime.

At the end of each fiscal year, any unused sick time will be carried over to the next fiscal year, up to a maximum of 70 days. Upon separation of employment from the College, sick days will not be paid out. An eligible staff employee's accrued sick leave balance expires upon termination of employment, unless the employee is rehired within thirty (30) days.

If the employee is on leave under the Family and Medical Leave Act (FMLA), paid sick days and/or paid vacation days must be used initially as part of the FMLA leave.

PROCEDURE FOR SICK DAYS

The employee is required at all times to contact his/her supervisor if they are going to be absent due to any of the reasons stated above. The employee's supervisor is responsible for notifying the Office of Human Resources when the employee is absent for **three or more consecutive days**. The Office of Human Resources will contact the employee to discuss their options and furnish the necessary forms if applicable. The employee is responsible for maintaining communication with his/her supervisor during any extended absence.

If an employee is absent due to illness for five or more consecutive days, a medical release from a health care provider must be submitted to the Office of Human Resources before the employee will be permitted to return to work. Failure to provide a medical release will result in the employee being sent home until the release is obtained by the Office of Human Resources.

Upon a change from a faculty member to a staff member, eligible employees shall receive sick days using a formula of five (5) sick days per each full year of service up to a maximum of 70 days.

Workers' Compensation

Workers' compensation is a system of benefits provided by law to most workers who have job-related injuries or illnesses. The amount of the benefit is limited by law and is paid regardless of fault. All employees of the College are covered under the Illinois Workers' Compensation and Workers' Occupational Diseases Acts for work-related injuries and/or occupational diseases.

Reporting and Documentation Requirements

All accidents or injuries must be reported **IMMEDIATELY** to the employee's supervisor and to Human Resources. The employee must complete the Lake Forest College Employee Accident Report within forty-eight (48) hours, as claims must be filed with the insurance company within seventy-two (72) hours of the occurrence. It is the employee's responsibility to present Human Resources with all medical bills related to the incident. Any employee temporarily disabled and sent home from work by his/her doctor must provide written verification of such **and** secure a doctor's release prior to returning to work.

For some claims, the College may request the employee to submit to a medical examination for purposes of determining the nature, extent and probable duration of the injury, or whether the treatment is adequate and proper. The employee may request that his/her doctor be present during the examination.

Workers' Compensation from the College and the Carrier

During the first 90 days of a work-related injury or illness, the employee may use paid sick leave to supplement the employee's loss of pay for days not worked. It is the employee's responsibility to track the time incurred during the 90 days.

If the lost time exceeds 90 calendar days, the use of paid sick leave will cease and the worker's compensation carrier will pay the employee 66 2/3% of the employee's gross average weekly pay. Because compensation paid by the Workers' Compensation carrier is not taxable, the carrier does not issue any type of tax forms to the employee.

Time Off for School Visitation

(November 6, 2015)

PURPOSE

To provide time off from work for school visitation.

POLICY

Lake Forest College recognizes that it benefits employees, their children and the community when a parent is able to take time off from work to attend functions and meetings related to his/her children's education. Therefore, the College allows employees to take leave from work for this purpose if the conference or classroom activities cannot be scheduled during non-work hours.

Employees may take school visitation time off from work to visit their child's school for conferences or classroom activities for a total of eight hours in a school year, but no more than four hours on any given day. The employee must have been employed at least six (6) months and have been employed at least half-time. Staff members must request this time off in advance and may be required to provide documentation regarding the need to take time off. Supervisors or departments/units may allow additional time depending on departmental/unit operations. Paid time off may be used, if available, for school visitation. If no paid time off is available for a non-exempt (hourly) staff member, an unpaid excused absence may be used for the school visits.

Jury Duty

(Updated November 6, 2015)

The Lake Forest College recognizes the civic responsibility of both employees and the College when an employee is called for jury duty. When summoned for jury duty, employees will be given the necessary time off with regular pay by the College.

This policy is not applicable to private suits in which the employee is a plaintiff or defendant.

PROCEDURE FOR JURY DUTY

1. Employees are responsible for immediately notifying their supervisor upon receipt of a summons to appear for jury duty so that arrangements can be made to ensure continuation of College operations. A photocopy of the summons should be forwarded to Human Resources. In addition, if the employee is selected for jury duty, a copy of the check for each day at jury duty should be submitted to the Human Resources Director as verification.
2. Employees should note any time spent out of the office for jury duty on his or her timecard.

SECTION V WORK HOURS AND PAYROLL

Hours of Work

Administrative Offices:

Regular Hours: 8:30 a.m. to 5:00 p.m. Monday through Friday (37.5 hours per week).

Reduced Hours: 8:30 a.m. to 4:30 p.m. Monday through Friday (35 hours per week)

Reduced hours are available during summer, winter, and spring breaks. Reduced summer hours is a benefit for full-time twelve (12) month employees only who work 37.5 hours per week. Summer hours are subject to redistribution.

All employees who work 37.5 hours per week are allowed one (1) hour unpaid break for or lunch. Individual departments may only adjust the lunch hour period for compelling office circumstances as required by the department head.

Variations on Administrative Office working hours are required in certain departments in order to provide working hour coverage, i.e., Library. Employees must check with their individual department head for their specific working hours.

Flexible working hours not required by departmental hours of operation but primarily for the convenience of the employee are permitted with the approval of the supervisor provided there is significant benefit to the department (e.g. computer access) from such an arrangement with no disruption to routine office work, phone coverage or accessibility.

Times and days of the workweek are defined by the department head and job requirements. Therefore, days off and holidays off will have to be coordinated with the department head. Substitution of holidays off on a normal workday may be made.

Public Safety Staff:

Full-time staff hours: 40 hours per week.

Part-time staff hours: 21-27 hours per week.

As a 7-day, 24-hour per day operation, all public safety staff hours are dependent on the needs of the department and the College.

Public Safety staff is on-call for the duration of their shifts.

Facilities Management Staff:

The work schedules of Facilities Management staff may be altered by the department as necessary to accommodate workload and staffing needs.

Facilities Management staff may be required to work overtime as considered necessary by the department.

Vacation scheduling is at the discretion of the department. No more than two (2) employees from the same group (Mechanical, Carpentry or Grounds) may schedule their vacations at the same time.

Trades Staff:

Full-time staff hours: 40 hours per week

Two (2) thirty (30) minute periods whenever designated during the shift except no later than five (5) hours after the beginning of work.

Rest Days

In accordance with the One Day Rest In Seven Act (ODRISA), non-exempt employees who are scheduled to work more than five days, will receive one 24-hour day of rest in every consecutive seven-day period regardless of where these days fall within the calendar week.

Administrative Staff Pay Periods

Salaries of full-time members of the Administrative Staff are generally paid in twelve (12) equal installments, on the first business day of each month beginning with the first month following employment. Salaries of Administrative Staff are paid in arrears. Part-time staff are generally paid in equal installments with months corresponding to position.

Partial month salaries for full-time employees are prorated based on the number of days worked during the month. The daily rate is determined by dividing the total annual salary by 260 days (52 weeks times 5 days a week).

Salary checks are either delivered or placed in campus mailboxes unless the Business Office is instructed otherwise. Salary checks can be left with the cashier if desired. Electronic direct deposit of paychecks to the employee's financial institution is available and encouraged.

It is never the assumption of the Business Office to mail salary checks unless so notified. Staff desiring to have salary checks or stubs mailed to them need to supply the Business Office with sufficient self-addressed stamped envelopes.

Support Staff Pay Periods

All non-academic, non-exempt staff are paid biweekly. The fiscal year for employees on the biweekly payroll generally consists of twenty-six (26) pay periods.

The workweek begins each Sunday at 12:01 a.m. and ends at 11:59 p.m. Saturday. No variations to these days are allowed.

Employees complete timecards on a daily basis and turn them into their supervisors for approval on the Friday of the end of the two-week pay period.

The scheduled payday is Friday. In the event that a payday falls on a College holiday, the payday is on the day immediately preceding the regularly scheduled payday. If the scheduled payday falls on a banking holiday, payday is the next business day. The calendar year pay schedule is posted on the College's web site.

Employee Absenteeism/Tardiness Policy

Employees are expected to report for work on time, on a regular basis. Unnecessary absenteeism and tardiness is disruptive and places an unfair burden on other employees and the supervisor.

Unsatisfactory attendance will result in disciplinary action, including warnings and discharge. It will also have an adverse effect on any promotional considerations. In addition, employees may be docked for tardiness and/or leaving early without authorization.

If you are going to be late or absent for any reason, telephone as far in advance of your starting time as possible. Explain why you are going to be absent and when you expect to return to work.

Note: It is your responsibility to ensure proper notification is given. Asking another employee, friend or relative to give this notification is improper, except under emergency conditions.

Any employee who fails to give such notification will be charged with an unexcused absence. Upon returning to work from an unexcused absence, the employee must report to his/her supervisor, and disclose the reason for the absence.

- If the supervisor accepts the reason as valid, no disciplinary action will be imposed. (A valid reason would be of an emergency nature and documentation may be requested.)

- If the supervisor does not accept the reason, the employee will be subject to disciplinary action.

Unexcused Absences:

If an employee is absent for three (3) consecutive days without notifying his or her supervisor, he or she is assumed to have quit without notice and therefore will be discharged.

While the College acknowledges that some personal time is necessary, employees who are excessively absent or tardy will be subject to disciplinary action, up to and including termination. Excessive absenteeism and/or tardiness are determined by the department head, who will take into consideration the reason for the absence, past work history, length of service, amount of advance notice, and departmental workload during the absence.

Notification of Change of Status

Human Resources should be notified immediately of change in an employee's name, address, telephone number, marital status, dependents, emergency contact information, educational accomplishments or other personnel information. If the number of persons in the family changes, or if births or deaths occur, the amount of income tax withheld or health insurance coverage may be affected.

Death of an Employee

If an employee dies while actively employed, the employee's salary will be paid through the last day worked, and for any portion of unused as well as accrued vacation **plus one month's salary**.

Beneficiaries of employees covered by the group health, life and long-term disability insurance plans should contact the Director of Human Resources.

Overtime

(Revised August 3, 2014)

In compliance with the State of Illinois Labor Laws and the Fair Labor Standards Act, all non-exempt (hourly) employees are to record all hours worked.

Overtime will be paid to all hourly staff employees at the rate of 1.5 times their regular rate of pay for any hours worked in excess of 40 hours per week. Overtime will be paid at the rate of 2 times regular pay for any hours worked in excess of 48 per week. The workweek is defined from Sunday morning 12:00 a.m. through Saturday night 11:59 p.m.

Overtime must be scheduled at the supervisor's request. Hourly employees are not to work overtime unless approved by their supervisor.

Overtime will be calculated on actual hours worked. For overtime calculations, hours actually worked does not include vacation, holiday, sick, personal or any other hours not physically worked. Any hours worked in excess of those regularly scheduled, up to 40 hours per week, will be paid as straight time.

The reduced summer hours schedule will not impact how overtime is calculated. During the summer, staff who work 35 hours per week, but are paid for 37.5 hours per week will be paid straight time for the 35th to 40th hour actually worked. Staff who work 37.5 hours per week, but are paid for 40 hours per week will be paid straight time for the 37.5 to 40th hour. Overtime will be calculated on actual work hours in excess of 40 per week.

If an hourly staff employee's work schedule requires the employee to work on a college-authorized holiday, the employee will receive an alternate day off with pay, to be taken within the same fiscal year.

If an hourly staff employee's work schedule does not require the employee to work on a college authorized holiday, but the employee is called in, the employee will be paid at two (2) times your regular rate of pay for actual hours worked. The minimum amount of double time hours paid for call-in on a holiday will be three (3) hours.

The Fair Labor Standards Act does not permit private institutions to give compensatory time-off in lieu of overtime pay, so employee overtime may only be compensated with pay and may not be compensated with additional time off.

Pay Increases

Employees are reviewed annually for pay increases prior to the beginning of each fiscal year (June 1). Increases are based on merit, but inflationary trends may be considered. Pay increases are effective the first day of the first pay period of each fiscal year. Employees hired mid-year are ineligible for full consideration in the annual merit review for that year.

Payroll Deductions

The College is required by law to withhold federal and state income taxes, Social Security and Medicare taxes from employees' paychecks.

As authorized by the employee, additional deductions may be made for other purposes such as insurance and benefits.

Social Security

All employees are automatically covered by the Federal Insurance Contributions Act (FICA). An employee's social security number must be given to Human Resources at the time of employment.

The contribution by the College and the deduction from the employee's paycheck are determined by law.

Benefits include disability, survivor, and retirement pay. More detailed information may be obtained from your local Social Security Office.

Salary Advance

Salary advances must be approved by the Director of Human Resources with the following policy:

1. Not to exceed one (1) month's net pay;
2. Request with reason for salary advance must be in writing with at least one (1) day notice for cash advances of \$200.00 or less. Larger amounts are paid by check and dependent upon accounts payable cycle.
3. Must be for sufficient cause as judged by the Director of Human Resources.
4. Must be repaid no later than the sixth (6) regularly scheduled paycheck following the advance through salary deduction only.
4. An individual employee is limited to one (1) salary advance during a calendar year.

SECTION V WORK/LIFE RESOURCES

Flexible Work Options

(April 2017; Updated May 2022)

SCOPE: Full-time, part-time staff

PURPOSE

To establish guidelines for the creation, approval and implementation of flexible work options.

POLICY

Lake Forest College is committed to maintaining a high standard of administrative service, while supporting the desire of staff employees to perform their job functions in a variety of flexible work settings, as far as possible. The COVID-19 pandemic precipitated fundamental changes in the way we

teach, learn, and collaborate with each other. Moreover, the extended period of virtual work has provided valuable insights into the potential benefits of thoughtful use of Flexible Work Options for our staff and for our campus. To that end, Lake Forest College authorizes employees and supervisors to suggest flexible alternative work arrangements in order to enhance their productivity and availability to students and other constituents.

Flexible work options may be suggested by either an employee or supervisor, and can act as an incentive to provide additional departmental availability during peak hours. It is the responsibility of the supervisor to ensure adequate and appropriate departmental coverage prior to initiating or approving any flexible work options. To maintain the vibrancy that characterizes our campus, the College expects that most employees will continue to work on campus for a majority of their workweek. Departments must remain open during regular business hours, which may not vary based on having someone on a flex schedule. At no time will a supervisor be permitted to request or hire a temporary employee in order to cover hours vacated by an approved flexible work arrangement. This Policy will be assessed regularly and refined as needed.

Available flexible work options include the following:

Flextime

Flextime is defined as a schedule of a regular workday to start and end at times other than the typical hours of operation for the employee's department. A flexible schedule will still include five 7.5-hour days per workweek.

Compressed Workweek

A compressed work week is a full-time work schedule (37.5 to 40 hours per week) compressed into less than the traditional five-day work week. Common compressed work schedules for the traditional workweeks include: four 10-hour days for a 40-hour week; and three 10-hour days and one 7.5-hour day for a 37.5-hour workweek. Keep in mind that an employee paid for 37.5 hours (7.5 hours per day) of work five days a week is actually scheduled for 40 hours (8 hours per day), due to the state law requiring that an unpaid meal period of at least 30 minutes must be provided daily. A consistent schedule should be established for each employee. To avoid complications during pay periods that include holidays, days off for each employee should not fluctuate from week to week.

Remote Work

Remote work is defined as a regularly scheduled day that an employee will work from home or another location than a workspace onsite at Lake Forest College. In general, remote work is permitted for a maximum of 40% of an employee's two-week schedule (two days per week). However, some positions may be appropriate for telecommuting 100% in any given weeks. It is not the responsibility of the College to incur any expense so that an employee may have a remote opportunity.

Seasonal Arrangements

A work arrangement in which the employee uses a flexible work arrangement during a certain season such as during the summer or during breaks between academic terms

PROCEDURE

Employees who have received Corrective Action within the past six months may not apply for a flexible work arrangement. Additionally, employees on any type of Intermittent Leave of Absence are not eligible to apply for a flexible work arrangement until such leave has ended. Employees and supervisors are equally expected to consider any impact to student or customer service, the operational needs of the department, the employee's performance history, other flexible work arrangements in place and, if all other factors are equal, seniority. Some positions, including but not limited to non-exempt (i.e., hourly) positions, may be ineligible to participate in certain Flexible Work Options depending on the nature of the position, the work required, or the academic, business, and/or operational needs of the department.

Issues Which Need To Be Considered Prior To Approval

- Core hours of the department cannot be altered
- A high standard of service(s) to students, customers and/or departments must be maintained
- Impact on job responsibilities and morale of the department must be positive
- Any flexible arrangement must enhance, not reduce coverage during peak workload periods
- No arrangement may create additional work for others in the department
- Impact on department synergy, teamwork and/or collaboration must be positive
- Employees must be reachable while working remote, and/or ready to come to campus when called upon
- Influence on department work flow/processes must be positive

An employee should complete the Flexible Work Option Request form and submit it to his or her supervisor for consideration. Upon receipt of an application, the supervisor has 10 business days to consider, request additional information to support the proposed arrangement or suggest an alternative to the requested arrangement. The supervisor and Vice President of respective area should then meet to discuss the flexible work option application and approve or deny the request.

Supervisors are expected to make decisions equitably, while recognizing that equitable decision-making does not guarantee identical results in every instance. All flexible work arrangements should be job appropriate, operationally viable, and legally compliant.

Once approved by the supervisor and Vice President, the application will then be sent to the Director of Human Resources for final approval. Once an employee's flexible work option schedule is implemented, that schedule becomes the employee's regular schedule and cannot be modified without written approval. Flexible work arrangements are issued for a maximum of one year, at which point the employee must apply to renew the arrangement, apply for a new arrangement or return to a standard work schedule.

At no point can a flexible work arrangement supersede the provisions of the Lake Forest College Hours of Work policy, and all time worked must be recorded accurately. *Flexible work arrangements are*

offered at the discretion of Lake Forest College and are not an entitlement. The business needs of the College shall remain first priority in consideration of any request for a flexible work arrangement. An employee may only utilize one flexible work option at a time, unless otherwise approved by the supervisor and Vice President.

It is the responsibility of the employee utilizing a flexible work arrangement to ensure that their level of productivity is maintained. If, at any time, an employee's work performance begins to suffer, a flexible work arrangement can be suspended or terminated immediately. Managers should clearly communicate and document expectations for work assignments, check-ins, and other parameters related to supporting the utilization of Flexible Work Options. Should the needs of the College require a flexible work arrangement to be suspended, it can be done so in writing by an employee's supervisor, outlining the period of time during which the agreement is suspended.

Work Based Outside of the State of Illinois, Wisconsin, Iowa, Minnesota, and Massachusetts.

Managers must contact and obtain approval from the Office of Human Resources prior to extending an employment offer to or authorizing a Flexible Work Option for an individual whose assigned workplace is outside of the states listed above to ensure the College and employees' compliance with tax and employment laws and regulations.

Equipment

The College will maintain, service, and repair College-owned equipment. Employees who use College-owned equipment at home or in other remote locations must bring the equipment to campus for service or repair. Departments will generally not purchase duplicate office furniture (e.g., desk, chair, file cabinets, etc.) or computing equipment for home offices.

Security and Confidentiality

Access to the College's network by any equipment or means is at all times subject to the Information Technology Services policies.

Employees must protect College information from unauthorized access, disclosure, or damage and comply with federal, state, and College rules, policies, and procedures regarding access, disclosure, and/or destruction of official College records. Under a remote work arrangement, the employee is responsible for ensuring that all forms of information (e.g., paper, electronic, conversations) are kept secure and confidential to at least the same degree as when the employee was/is working at a traditional College worksite.

Property Insurance

College insurance will not cover any personal property that is used at home and will only cover College equipment brought to an authorized off-site location.

SECTION VI SAFETY AND HEALTH

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 (<http://www.lakeforest.edu/about/administration/campusconduct.asp>) 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.

College Safety Policy

The Lake Forest College Mission Statement declares, "We maintain a secure residential campus of great beauty". We interpret "secure" in its broadest sense. Webster defines secure as follows: to relieve from exposure to danger; to make safe against adverse contingencies.

As such the college has developed the Lake Forest College Safety Manual as a guide for developing sound, safe working habits in our work environment. The objective of this manual is to provide each employee with a framework of basic information to develop safety-conscious attitudes and behavior. Copies of this manual may be found in the offices of Public Safety, Facilities Management, and the Business Office.

Occupational safety and health, whether in the laboratory, residence hall or office, is of paramount importance to Lake Forest College. How we perform our jobs and our personal perspectives regarding safety and health are critical to the success of an outstanding safety effort. Safety is everybody's responsibility; therefore, we ask for your commitment to this college goal.

The Lake Forest College Safety Program is directed by the Director of Public Safety, who works closely with an appointed Safety Committee comprised of persons representing each organization element. Each employee is encouraged to work with this committee and to assist in formulating and complying with the Safety Manual and other applicable procedures.

Your cooperation is appreciated.

Public Safety

The Department of Public Safety is responsible for the protection and welfare of the College community. Any criminal activity and/or observation of criminal activity should be reported to the Public Safety Department without delay.

Safety and Health

It is the basic policy of the College to provide a safe working environment. All efforts will be made to assure safe and efficient work operations. Employees are urged to cooperate by:

- Being careful
- Reporting dangerous working conditions (slippery floors, turned up carpeting, improper wiring, holes in sidewalks, etc.)
- Reporting accidents through supervisors (forms available from Human Resources)
- Attending safety and health seminars and films when announced
- Understanding safety regulations in respective departments
- Reporting unusual odors
- Being familiar with the use and handling of chemicals where pertinent

An employee wishing to report an accident or unsafe condition should contact the Director of Public Safety who is also the Safety and Health Officer.

College Property

Care of College Property

Employees are expected to exercise due care in their use of College property and to utilize such property only for authorized purposes.

Unauthorized removal of College property from the premises or its conversion to personal use will be considered cause for dismissal.

Return of College Property

College property, including keys and uniforms issued to an employee, must be returned to the College at the time employment is terminated.

Personal Property

The College assumes no responsibility for loss or damage to the personal property of an employee.

Driver's License

Only employees with valid driver's licenses may drive College owned or hired vehicles. Certain positions in Public Safety and Facilities Management require a valid driver's license as a condition of employment. Employees must complete the online driving test and the road safety test. The College reserves the right to annually verify the validity of employee driver's licenses. Violations of this policy may be grounds for disciplinary action.

Emergency Procedures

FIRE

If you discover a fire or smell smoke, immediately pull the closest fire alarm, and report such conditions immediately to the Department of Public Safety, extension 5555. Fire extinguishers are available in all hallways.

When the fire alarm sounds:

1. Evacuate the building by using the closest exit.
2. Go to a safe distance from the building to be clear of smoke, fire or explosion. Stand by until the all clear is given or you are dismissed by the Fire Department.
3. After evacuating, employees should check in with their immediate supervisor if possible. In the absence of a supervisor, report to the Dispatcher in Public Safety.
4. If you are aware of a handicap or other persons who are unable to evacuate, you should notify the security office immediately.

TORNADO WARNING

If sighted:

1. Go directly to the lowest level of the building you are in at the time of the warning.
2. DO NOT attempt to leave this building.
3. Stay away from:
 - Windows (particularly south and west windows)
 - Long span rooms
 - High chimneys
 - Upper floors of buildings

BOMB THREAT

If evacuation is ordered:

1. You will be notified.
2. Go to a safe distance from the building to be clear of smoke, fire or explosions. Stand by until the all clear is given or you are dismissed by the Fire Department.
3. After evacuation, employees should check in with their immediate supervisor if possible. In the absence of a supervisor, report to the Dispatcher in Public Safety.
4. If a foreign object is noticed, report its exact location to Public Safety or the Fire or Police Department immediately.

MEDICAL AND OTHER EMERGENCIES

Lake Forest Public Safety	ext. 5555
Lake Forest Police Department	911
Lake Forest Fire Department	911
Ambulance	911
Lake Forest Hospital	1-847-234-5600

Hazardous Materials

(Effective May 6, 2009)

Other than for educational and College-approved 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.

Injury Procedures

An employee injured on the job must seek medical attention immediately at the Lake Forest Hospital Occupational Health Services for examination and first aid. **ALL ACCIDENTS MUST BE REPORTED.** An accident report form is available from your supervisor or from Human Resources. This form is to be completed immediately and given to your supervisor. Your supervisor and the Director of Public Safety will investigate and return the report to Human Resources, who will file the report with the State of Illinois and/or the Worker's Compensation insurance carrier.

Parking

All employees must display a registration sticker on their cars, preferably on the left rear window, behind the driver. Stickers are issued through the College's Public Safety office as part of the new employee orientation process.

In the interests of fairness and the parking situation, the following policy is in effect:

- Faculty and staff are liable for fines incurred due to violations of campus traffic and parking regulations.
- Penalties are \$20 each per violation, payable to the Department of Public Safety.
- Appeals: There will be a seven-day period in which to appeal the ticket to the Director of Public Safety.
- Fines for violations not paid or appealed within seven days of the date of issuance will double.

Pets on Campus

Dogs and other pets are not permitted inside campus buildings, unless authorized by a designated campus authority. If a student, faculty, or staff member brings pets onto outdoor areas of campus, they must always consider the safety, health and potential fears others may have in the presence of animals. Dogs must be leashed and/or under an owner's physical control at all times, and may not be permitted to run at large, i.e., to run or roam outside the owner's control.

Public Safety may ask a student, faculty, or staff member to remove a pet from campus if the pet is violating these rules, creating a nuisance or otherwise disturbing a member of the campus community.

Pet owners are responsible for cleaning up waste left by their pet on campus, and failure to do so will result in the pet no longer being allowed on campus. Pets must also be licensed and wearing identification tags.

SECTION VI COLLEGE COMMITTEES

College Council

The purpose of College Council is to provide a forum for the College's constituencies to discuss and deliberate about matters of importance to the College community. College Council 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.

College Council 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. College Council serves as the organ of governance that promotes and monitors on-going planning at the College.

College Council considers specific problems and concerns brought to the Council, or to any of its members, by a student, faculty or staff member of the College.

College Council supervises and promotes the effective operation of all organs of College Grievance, acting as a court of appeals in cases in which a substantial number of students, faculty or staff contend that an organ of College Governance has exceeded, violated or not fulfilled its role.

College Council acts on amendments to the Governance Constitution and forwards them to the President.

College Council is composed of three faculty members, three students, three staff members and the President. Of the three staff members, at least one must be an administrative employee. The administrative staff member will be elected by full-time administrative staff in rotation for staggered three-year terms.

Grievance Committee

The Grievance Committee consists of three (3) elected administrative staff members and one (1) alternate member. The election is conducted by ballot annually. All administrative staff employees vote, but only those who are full-time with at least one year of service are included on the ballot.

For Grievance procedures, please refer to Section VII, College Policies.

Group Health Insurance Advisory Committee

The Group Health Insurance Advisory Committee evaluates the group health insurance programs offered at Lake Forest College. The Committee reviews the impact of changes to the group health insurance plan and plan features including employee-college cost sharing, plan administration, both internal and external.

The Committee is not charged with any administrative duties nor are they to serve an ombudsman function for claim grievances.

The Committee is composed of one faculty representative, one exempt staff representative, one non-exempt staff representative, the Vice President for Business, and the Director of Human Resources. Members of the committee are appointed by the President. Participants in the group health insurance plan are encouraged to give their input and general (not specific) complaints to their representative.

Employee Advisory Representatives (E.A.R.)

The Employee Advisory Representatives (E.A.R.) is an advisory committee elected by their fellow non-exempt employees. The purpose of the committee is to serve as a communication link for the non-exempt employees with the Administration and to provide a forum for employee input pertaining to general personnel policies and procedures. The committee is an advisory committee only; the committee does not formulate policy or handle grievances or arbitration.

The committee consists of six (6) elected representatives. Membership is limited to two part-time employee members. Elections will be held at the Annual Fall Meeting for two (2) year terms. In the event of a tie, the E.A.R. committee will vote and designate the newly elected member. Runner-ups may be called upon to serve in the event of vacancies, at the discretion of the E.A.R committee. Mid-term elections for representatives will be held as necessary. Each January the committee will elect a chairperson and secretary for a one (1) year term.

E.A.R. representatives will meet a minimum of once a month on a regularly scheduled basis. A designated representative of the Administration will be an ex officio member of the committee. If an E.A.R. representative is unable to attend any meeting, the representative should notify the committee Secretary. The Secretary will seek alternate members to attend, beginning with the alternative from the same representative category.

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 increases 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.

Source: "What Works: Schools Without Drugs" (1989), U.S. Department of Education

APPENDIX D



PREGNANCY and your RIGHTS in the WORKPLACE

Are you pregnant, recovering from childbirth, or do you have a medical or common condition related to pregnancy?

If so, you have the right to:

- Ask your employer for a reasonable accommodation for your pregnancy, such as more frequent bathroom breaks, assistance with heavy work, a private space for expressing milk, or time off to recover from your pregnancy.
- Reject an accommodation offered by your employer for your pregnancy that you do not desire.
- Continue working during your pregnancy if a reasonable accommodation is available which would allow you to continue performing your job.

Your employer cannot:

- Discriminate against you because of your pregnancy.
- Retaliate against you because you requested a reasonable accommodation.

It is illegal for your employer to fire you, refuse to hire you or to refuse to provide you with a reasonable accommodation because of your pregnancy. For more information regarding your rights, download the Illinois Department of Human Rights fact sheet from our website at www.illinois.gov/dhr

Es ilegal que su empleador la despidan, se niegue a contratarla o a proporcionarle una adaptación razonable a causa de su embarazo. Para obtener información sobre el embarazo y sus derechos en el lugar de trabajo en español, visite: www.illinois.gov/dhr

