## Contents

MISSION STATEMENT .................................................................................................................. 6

FOREWORD .................................................................................................................................. 6

**SECTION I EMPLOYMENT** ........................................................................................................ 7

Recruiting and Selection .............................................................................................................. 7

Appointment Procedure ............................................................................................................. 10

Background Check ..................................................................................................................... 11

Employment Eligibility Requirement ......................................................................................... 11

Definition of Administrative Personnel .................................................................................... 12

Employment Classification for Non-Exempt Staff ..................................................................... 14

Introductory Periods .................................................................................................................. 15

Promotions and Transfers .......................................................................................................... 16

Employment or Evaluation of Relatives ..................................................................................... 16

Additional Employment ............................................................................................................ 17

Appointment Reduction ........................................................................................................... 18

Disciplinary Actions and Policy Violations ................................................................................. 18

Grievance ..................................................................................................................................... 21

Personnel Files and Access ........................................................................................................ 23

Resignation and Termination Notification .................................................................................. 23

**SECTION II REQUIREMENTS IN THE WORKPLACE** .............................................................. 23

Standards of Conduct ................................................................................................................ 23

Statement of Respect and Responsibility ................................................................................... 25

Conflict of Interest ..................................................................................................................... 26

Fraud and Standards of Conduct ............................................................................................... 28

Identification Cards .................................................................................................................... 33

Acceptable Use of Information Technology Resources ............................................................ 33

Electronic Communications ....................................................................................................... 38

Controlled Substances and Alcohol in the Workplace ................................................................. 40

Drug-Free Workplace ................................................................................................................ 41
Drug and Alcohol Abuse Prevention ......................................................................................... 42
Smoking ..................................................................................................................................... 43
Travel, Entertainment and Business Expense ............................................................................. 44
Expense Advance ....................................................................................................................... 49
Use of College Facilities and Services ..................................................................................... 49
Workplace Threats and Violence ............................................................................................... 51
Weapons .................................................................................................................................... 52
Emergency Weather Closing ....................................................................................................... 53
SECTION III WORKPLACE COMMITMENT .............................................................................. 54
Non-Discrimination Statement ................................................................................................... 54
Review Process for a Student Claim of Staff Bias ...................................................................... 55
Sex Discrimination/Misconduct Policy and Complaint Resolution Procedures ....................... 57
Consensual Romantic or Sexual Relationship and Evaluative Authority ..................................... 72
Lactation and Breastfeeding ....................................................................................................... 73
Whistleblower ............................................................................................................................. 74
SECTION IV BENEFITS ............................................................................................................. 78
Benefits Administration ............................................................................................................. 78
Health Benefit ............................................................................................................................. 78
Dental Benefit .............................................................................................................................. 79
Basic Life Insurance ................................................................................................................... 79
Long Term Disability Insurance ................................................................................................ 80
Flexible Spending Account (FSA) ............................................................................................. 82
COBRA ...................................................................................................................................... 82
Retirement Plan .......................................................................................................................... 83
Voluntary Separation Program for Administrative Staff and Non-Tenured Faculty .................. 84
Moving Expenses Reimbursement ............................................................................................ 93
Business Travel Accident Insurance ......................................................................................... 94
Computer Loans ......................................................................................................................... 95
Educational Benefit for Administrative Staff ............................................................................. 95
Educational Benefit for Support Staff........................................................................................................... 97
Tuition Exchange Program (CIC-TEP)............................................................................................................. 99
Tuition Remission Exchange Program (TREP).................................................................................................. 100
College Housing .............................................................................................................................................. 101
Employer-Assisted Housing (EAH) Program .................................................................................................. 103
Second Mortgage ........................................................................................................................................... 106

Leave of Absence .......................................................................................................................................... 108
Family and Medical Leaves of Absences ........................................................................................................ 108
Parental Leave ................................................................................................................................................ 114
Child Bereavement Leave ............................................................................................................................... 115
Voting Time .................................................................................................................................................... 117
Unpaid Personal Leave of Absence for Administrative Staff ............................................................................ 117
Unpaid Personal Leave for Support Staff .......................................................................................................... 118

PAID TIME AWAY FROM WORK .................................................................................................................. 119
College Scheduled Holidays ........................................................................................................................... 119
Vacation Time ................................................................................................................................................ 120
Sick Days ......................................................................................................................................................... 123
Workers’ Compensation ................................................................................................................................. 124
Time Off for School Visitation ......................................................................................................................... 124
Bereavement Absence ..................................................................................................................................... 125
Jury Duty ......................................................................................................................................................... 126

SECTION V WORK HOURS AND PAYROLL ............................................................................................... 126
Hours of Work ................................................................................................................................................ 126
Administrative Staff Pay Periods ...................................................................................................................... 128
Support Staff Pay Periods ............................................................................................................................... 128
Employee Absenteeism/Tardiness Policy ......................................................................................................... 129
Notification of Change of Status .................................................................................................................... 129
Death of an Employee ................................................................................................................................... 129
Overtime ............................................................................................................................................. 130
Pay Increases ....................................................................................................................................... 131
Payroll Deductions ............................................................................................................................ 131
Social Security ..................................................................................................................................... 131
Salary Advance ................................................................................................................................... 131
SECTION V WORK/LIFE RESOURCES ............................................................................................ 132
Flexible Work Options ....................................................................................................................... 132
SECTION VI SAFETY AND HEALTH ................................................................................................. 134
College Safety Policy .......................................................................................................................... 135
Public Safety ...................................................................................................................................... 135
Safety and Health ............................................................................................................................... 135
College Property ................................................................................................................................. 136
Driver’s License ................................................................................................................................. 136
Emergency Procedures ....................................................................................................................... 136
Hazardous Materials ........................................................................................................................... 138
Parking ................................................................................................................................................ 139
Pets on Campus .................................................................................................................................. 139
SECTION VI COLLEGE COMMITTEES .............................................................................................. 139
College Council ................................................................................................................................. 139
Grievance Committee ......................................................................................................................... 140
Group Health Insurance Advisory Committee .................................................................................. 140
Employee Advisory Representatives (E.A.R.) .................................................................................. 141
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)

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 College staff members shall take priority. 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. The Search Committee may include a staff or faculty member from the Intercultural Advisory Group (IAG), appointed by chairperson of that Committee.
• 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. **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.

8. **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.

9. **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.

10. **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.

**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 and Career Services
- Dean of Students
- Provost and Dean of the Faculty

**Department Heads:**

- Director of Athletics
- Director of Facilities Management
- Director of Financial Aid
- Director of Library and Information Technology
- Registrar

**Non-Teaching Faculty:**

- President
- Deans
- Associate and Assistant Deans
- Registrar
- Director of Library and Information Technology
- Associate Librarians
- Academic Technology Specialists
• Vice President for Admissions and Career Services
• 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
• Controller
• 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 \textit{Paid Leave Time} and \textit{Paid Leave Schedule} in Section V for eligibility.

\textbf{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.

\textbf{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.

\textbf{Employment or Evaluation of Relatives}
\textit{(February 7, 2018)}

\textbf{PURPOSE}

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

POLICY

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

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

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

Any member of the College community who has a family relationship with a current or prospective employee, student, or volunteer of the College over whom they have or might reasonably be expected to have supervisory or evaluative authority must promptly and fully disclose the relationship to their department chair or immediate supervisor – or to the Director of Human Resources or Dean of Faculty.

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

CONSEQUENCES OF VIOLATION OF THIS POLICY

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

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 insure 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.

¹ Please refer to the Workplace Threats and Violence policy for a full description of the College's zero tolerance policy.
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, located at http://www.lakeforest.edu/live/files/1350-sexual-misconduct-policy.

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 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 (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.

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 of 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 IT policies are provided online at the following address: http://www.lakeforest.edu/offices/it/policies.php.

Information technology plays an integral role in supporting Lake Forest College’s core academic mission. Users of Lake Forest College’s IT resources have a responsibility not to abuse those resources. This appropriate use policy provides guidelines for the use of Lake Forest College’s IT 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 Library and Information Technology (LIT).

II. Appropriate Use of IT 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 IT systems, users are entitled to access only those elements of IT 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 IT 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 IT 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 IT systems that results in damage to other IT systems or the welfare of the College.

III. Attempts to defeat system security

Users must not defeat or attempt to defeat any LIT 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 LIT 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 IT systems. Users must honor this principle by neither seeking to obtain unauthorized access to LIT 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 LIT 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 LIT 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 LIT 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 LIT 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 LIT 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 IT 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 IT 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 IT 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 IT Systems or over Lake Forest College’s networks. Neither the College or the appropriate LIT 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 IT 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 IT 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 IT 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 IT 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 Director of LIT, will log all instances of access without consent. LIT 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 IT systems, the College may deactivate a user's IT 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 Director of LIT, 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 Director of LIT, 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 Administrative Handbook, the Non-Academic, Non-Exempt Staff Handbook, the Student Handbook, and other applicable materials. LIT staff may participate in the disciplinary proceedings as deemed appropriate by the relevant disciplinary authority. Moreover, at the direction of the appropriate disciplinary authority, LIT 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 IT-specific penalties, including temporary or permanent reduction or elimination of some or all IT privileges. The applicable disciplinary authority in consultation with the Director of LIT 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 IT 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 LIT 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.

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)

Lake Forest College is committed to maintaining a workplace free from the effects of alcohol and illegal drugs. Illegal drugs, as referred to in this policy, include drugs that are not legally obtainable, as well as drugs that are legally obtainable but used for illegal or unauthorized purposes. We expect all employees to report for work free from these effects and to be able to fully perform their job duties.

While on Lake Forest College premises and while conducting business-related activities off Lake Forest College premises, you may not be under the influence of illegal drugs or alcohol. Nor may you be in any condition that impairs your work performance due to drug or alcohol use or abuse. You may not engage in the unlawful manufacture, distribution, dispensation, possession, or use of illegal drugs. Violations of this policy may lead to disciplinary action, up to and including immediate termination of employment. Such violations may also have legal consequences.

The legal use of prescribed drugs is permitted on the job only if it does not impair your ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals in the workplace. If you are taking prescribed drugs which may affect your attentiveness, cause drowsiness, or otherwise impair your abilities, please notify your supervisor or Human Resources of this fact so modifications to job duties can be made if appropriate.

If Lake Forest College has a reasonable suspicion that an employee has violated this policy, it will conduct an investigation, which may include an unannounced search of Lake Forest College premises or property and/or the employee’s personal property. Lake Forest College may also order any employee reasonably suspected of having used or being under the influence of alcohol or illegal drugs while on duty to take a test for the presence of drugs or alcohol. Such test will be conducted by an independent laboratory at Lake Forest College’s expenses. Any employee asked to undergo a test will be suspended with pay from work until test results are available and a further determination is made.

Failure to abide by this policy or refusal to consent to testing when requested will result in disciplinary action, up to and including immediate termination, even for a first offense.

If you have a drug or alcohol problem that has not resulted in and is not the immediate subject of disciplinary action, you may request approval to take unpaid time off to participate in a rehabilitation or treatment program. Leave may be granted if you agree to abstain from use of the problem substance,
you abide by all Lake Forest College policies, rules, and prohibitions relating to conduct in the workplace, and if granting leave will not cause Lake Forest College undue hardship. Employees with questions or concerns about substance dependency or abuse are encouraged to discuss these matters with their supervisor or the Human Resources Director to receive assistance or referrals to appropriate resources in the community.

If you have questions on this policy or issues related to drug or alcohol use in the workplace you may discuss them with the Human Resources Director without fear of reprisal.

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:

<table>
<thead>
<tr>
<th>Category of Offense</th>
<th>Monetary Fines</th>
<th>Imprisonment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class A Misdemeanor</td>
<td>$ 1,000</td>
<td>Up to 1 year</td>
</tr>
<tr>
<td>Class 4 Felony</td>
<td>Up to $15,000</td>
<td>1 to 3 years</td>
</tr>
<tr>
<td>Class 3 Felony</td>
<td>Up to $150,000</td>
<td>2 to 4 years</td>
</tr>
<tr>
<td>Class 2 Felony</td>
<td>Up to $200,000</td>
<td>3 to 7 years</td>
</tr>
<tr>
<td>Class 1 Felony</td>
<td>Up to $250,000</td>
<td>4 to 15 years</td>
</tr>
<tr>
<td>Class X Felony</td>
<td>Up to $500,000</td>
<td>6 to 60 years</td>
</tr>
</tbody>
</table>
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
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.

Spring Break Service Trip

Lake Forest College encourages members of the staff to participate in the Spring Break Service Trip. Each spring, the Office of Leadership and Community Involvement coordinates a trip for students over spring break to do community service work (i.e., Habitat for Humanity). Volunteers are needed to be a travel companion for the students, to be an adult presence, and to drive the students in the College’s vans.
All full and part time staff are encouraged to volunteer. Prior approval is needed by the employee’s departmental supervisor. Generally, volunteers are taken on a first-come, first-serve basis. However, preference will be given to those who have not previously served. All volunteers must be able to drive the vans. Volunteers must register with Facilities Management for insurance purposes.

Generally, most meals and costs are covered as funded by the College. Staff members who participate in the program will receive their regular hours of pay for the week (no overtime) and will not be charged paid leave or personal time (time is recorded as regular hours).

**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.
Emergency Weather Closing
(Updated September 30, 2019)

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 minimum 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. Essential employees are expected 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.

Essential employees 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, and whose absence from duty could endanger the safety and well-being of the campus population and/or infrastructure. Essential Employee designations are determined and approved by vice presidents and department directors. Lists of designated essential services and personnel should be disseminated to appropriate department directors; individuals included on such lists should be notified by their supervisors.

Procedures

If actual or anticipated 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 and exempt staff will receive regular pay for time associated with a campus closure or delay in opening. Essential Employees who work during a campus closure or delay in opening will receive no additional compensation.

• 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. Regular employees who are eligible for overtime (non-exempt) shall not count the period of closure as hours worked for the purposes of calculating overtime.

• Essential employees designated to work by unit managers will be expected to come to work in the event of a campus closing or delay in opening.

• Employees who are on leave when a general closing 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 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, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

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

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

Any inquires or concerns with respect to sex discrimination, sexual misconduct, or Title IX may be directed to the 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.

Inquires 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.
You can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment. Other matters including inappropriate, dangerous, threatening, illegal or unethical behavior can be reported by calling anonymous Campus Conduct Hotline at 1-866-943-5787.

Lake Forest College offers reasonable accommodations to qualified individuals with physical or mental disabilities to the extent the accommodation will enable them to perform the essential functions of the job and will not create an undue hardship. Your rights in the workplace related to your pregnancy are listed on the attached Appendix D. Further information relating to reasonable accommodations is available from the Human Resources Department. If you believe that you need reasonable accommodation because of disability, please speak with your supervisor or Director of Human Resources.

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.

Review Process for a Student Claim of Staff Bias
(Enacted: August 2019)

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

The College also has a Bias Incident Response Process (BIR Process) that is designed to address claims by students who believe they have experienced biased treatment by another student, faculty or staff member, whether or not intended to cause harm, that do not rise to the level of 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.
• If a student believes a staff member has exhibited bias toward the student, then the student may raise a complaint with the staff member’s supervisor, the Dean of Students, or the Director of Human Resources. The student may make the complaint in person or by directing a confidential email to the supervisor, Dean of Students, or Director of Human Resources.

• Staff members should report such conduct or incidents to their supervisor or the Director of Human Resources.

• Visitors and vendors should report such conduct or incidents to a College administrator or Public Safety office, which will refer the report to the appropriate office.

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

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

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

Upon receipt of a report, the Director of Human Resources will conduct an initial assessment, which will consider the nature of the claim; the safety of the Complainant, any other individual and of the broad campus community; the Complainant’s expressed preference for resolution; and the necessity for any interim remedies or accommodations to protect the safety of the Complainant or the community.

Following the initial assessment, the Director of Human Resources will pursue an informal resolution that educates the Staff Respondent about the impact of their bias on the Student Complainant and others sharing an identity, and on the College community. This educational intervention can take many forms based upon the individualized approach needed, including but not limited to: learning assignments such as readings or workshops, coaching, or mediation (if appropriate and voluntary).

If the initial assessment leads the Director of Human Resources to conclude that the complaint reveals more than an incident of bias, and that a violation of the College’s policies against discrimination and/or harassment may have occurred, then the matter will be adjudicated. If a policy violation is found to have occurred, then appropriate sanctions may be levied against the Staff Respondent.

Each resolution process will be prompt, thorough, and unbiased, and resources will be available to provide support and guidance for all involved parties. Reasonable interim measures may also be provided, at the College’s discretion, if and when necessary.
CAMPUS RESOURCES AND SUPPORT

The College is committed to treating all individuals with dignity, care and respect. A Complainant, Respondent, or any other individual impacted by a report of Bias Incident will have equal access to support, resources and counseling services throughout the College. The Office of Human Resources can provide guidance in making decisions, obtaining information about available resources, and assisting any party in the event that an official report and/or resolution is pursued.

CONFIDENTIAL RESOURCES

- Lake Forest College Health and Wellness Center
  847-735-5240 (after hours: 224-501-1621)
- Employee Assistance Program, United Healthcare
  888-887-4114

STATEMENT AGAINST RETALIATION

Retaliation in any form will not be tolerated against an individual who makes a good faith report alleging an incident of bias, participating in the report or investigation process, or otherwise providing information regarding allegations of misconduct. Anyone found to have engaged in retaliation will be subject to discipline.

AT WILL EMPLOYMENT

Neither the existence, nor the contents, of this BIR Process policy is intended, or shall be interpreted, to affect the at-will nature of employment at Lake Forest College.

While the BIR Process does not apply to incidents of bias that do not involve students, any members of the College community who believe they have witnessed or experienced biased treatment by staff members or faculty may report the matter to the Dean of the Faculty, Dean of Students, or Director of Human Resources, as appropriate.

Sex Discrimination/Misconduct Policy and Complaint Resolution Procedures

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

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

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

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

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

Local medical assistance can be obtained at:

- **Advocate Condell Medical Center Emergency Room**, 801 S. Milwaukee Ave., Libertyville, 847-990-5300 (Sexual Assault Nurse Examiners are available 24/7 to assist victims and collect physical evidence)
- **Highland Park Hospital Emergency Room**, 777 Park Avenue West, Highland Park, IL, 60035; 847-432-8000. (Sexual Assault Nurse Examiners are available to assist victims and collect physical evidence)
I. Evidence Preservation. Even if an individual has not been physically hurt, a timely medical examination is recommended so that forensic evidence can be collected and preserved. An individual may choose to allow the collection of evidence by medical personnel even if they choose not to make a report to the police. In order to best preserve forensic evidence, it is suggested that an individual who has been sexually assaulted and wishes to preserve evidence should, if possible, not shower, bathe, douche, smoke, brush teeth, use the bathroom, eat, drink, or change clothes or bedding before seeking medical attention, and that medical attention be sought as soon as possible. Unwashed clothes worn during the incident can be transported to the hospital or medical facility in a paper bag. If an individual suspects that they may have been drugged, they should inform the hospital or law enforcement as soon as possible so that they can attempt to collect evidence.

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

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

J. Amnesty for Sexual Misconduct Complainants and Witnesses. The College encourages the reporting of sexual misconduct and seeks to remove barriers to an individual making a report. The College recognizes that a student who has been drinking or using drugs at the time of the incident may be hesitant to make a report because of the potential disciplinary consequences. Therefore, a student who reports sexual misconduct, either as a complainant or witness, will not be subject to disciplinary action by the College for their own personal consumption of alcohol or drugs at or near the time of the incident, provided that such consumption did not or does not place the health or safety of any other person at risk.

K. False Reporting or Testimony. Reports of sexual misconduct that are found to be intentionally false or made maliciously without regard for truth shall constitute a violation of this policy. This provision does not apply to reports made in good faith, even if the allegations in the report are not substantiated through an investigation. Likewise, a party or witness who intentionally provides false or misleading testimony may be subject to disciplinary action under this or other relevant College policy.
VIII. RETALIATION

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

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

IX. INSTITUTIONAL CRIME REPORTING

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

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

X. MANDATORY REPORTING OF CHILD ABUSE, CHILD SEXUAL ABUSE AND CHILD NEGLECT
All College employees\(^2\) are mandated reporters under the *Illinois Abused and Neglected Children’s Reporting Act*. Mandated reporters are required to immediately report to the Illinois Department of Children and Family Services (DCFS) suspected child abuse and/or neglect when they have “reasonable cause to believe” that a child known to them in their professional or official capacity may be an abused or neglected child. This is done by calling the DCFS Hotline at 1-800-252-2873 or 1-800-25ABUSE.

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

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

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

**XI. EDUCATIONAL PROGRAMMING AND TRAINING**

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

**A. Training for Officials Responsible for Investigation or Adjudication of Sexual Misconduct.** The College provides officials responsible for the investigation or adjudication of misconduct with annual training on issues related to sexual misconduct,

---

\(^2\)College volunteers having regular contact with minors are also Mandated Reporters.
including: federal and state laws regarding sexual misconduct; College policy; how to conduct the College’s Sexual Misconduct Complaint Resolution Process in a fair and equitable manner that protects the rights of all parties; the role of the College, medical providers, law enforcement and community agencies in creating a coordinated response to a reported incidence of sexual misconduct; consent and the role of drug and alcohol use can have on the ability to consent; and cultural sensitivity and trauma-informed response skills.

B. **Primary Prevention and Awareness Programs.** The College provides annual primary prevention and awareness programs for all students and training programs for all employees that include information on the definitions of sexual misconduct offenses, College policy, consent, bystander 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. For a list of programs held in the prior calendar year, please see the College’s Annual Security and Fire Safety Report or the Illinois Preventing Sexual Violence in Higher Education Act Compliance Report located on the College’s website.

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

**XII. ANNUAL REPORT**

The College prepares an annual report on the previous calendar year’s sexual violence complaints, responsive actions, and prevention education in accordance with the *Illinois Preventing Sexual Violence in Higher Education Act*. The report does not mention the name of any individuals or identify details of any complaint. The report is posted on the College’s website at [http://www.lakeforest.edu/sexualmisconduct/learn/reports.php](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.

**XIII. POLICY APPROVAL AND POSTING**

This policy is approved by the President of the College and reviewed regularly for compliance with federal, state and local laws and best practices. It, along with its related materials, is available on the College’s website at: [www.lakeforest.edu/sexualmisconduct](http://www.lakeforest.edu/sexualmisconduct).
Sexual Misconduct Complaint Resolution Procedures

The College provides a prompt and impartial resolution of alleged violations of the College’s Sexual Discrimination and Misconduct Policy ("the Policy") in accordance with the procedures below.

1. **Resolution Time Frame.** The College will make a good faith effort to resolve all sexual misconduct reports and appeals (where applicable) as expeditiously as possible. Most matters are resolved within sixty (60) calendar days, though this may vary based on factors including availability of parties and witnesses, complexity of the case, and any simultaneous law enforcement investigation. The Title IX Coordinator or designee will regularly update the parties on the status of the proceedings throughout their duration.

2. **Relevant Definitions.** For purposes of these complaint resolution procedures, the Complainant is the party alleging sexual misconduct or to whom sexual misconduct was directed. The Respondent is the party accused of sexual misconduct. An individual who reports sexual misconduct occurring between other individuals is referred to as a Reporting Party.

3. **Title IX Initial Review and Assessment.** Upon receipt of a report of sexual misconduct, the Title IX Coordinator will assess the nature of the allegations, the safety of the involved individuals and the College community, the Complainant’s expressed preference for resolution and/or request for confidentiality, and the necessity for any protective measures to maintain the safety of the Complainant or the College community. During the initial review, the Title IX Coordinator will provide the Complainant with a written statement of rights and options under the College’s Policy, information about these complaint resolution procedures, and information relating to support resources.

   If, during this assessment, it is determined that there is insufficient information to move forward or that the alleged conduct, even if true, would not constitute sexual misconduct under the College’s Policy, the Title IX Coordinator may refer the matter to the appropriate campus office for resolution, close the matter with no further action, or take other action in support of the goals of the Policy, including targeted and/or broad-based training and educational programming for relevant individuals and groups.

   Where there is reasonable cause to believe sexual misconduct may have occurred, the College will proceed, in consultation with the Complainant, as set forth below.

4. **Supportive Measures.** Where there is reasonable cause to believe sexual misconduct may have occurred, the Title IX Coordinator or designee will, upon request, provide prompt, appropriate, and reasonably available measures to support and protect the parties and prevent any further acts of
misconduct, harassment, or retaliation prior to the final resolution of the allegations. Supportive measures may be available regardless of whether formal resolution is sought by the Complainant, may be provided on an interim basis pending resolution, and may also be available to respondents. Supportive measures may include, but are not limited to:

- Referral to the Health and Wellness Center (students) or the Employee Assistance Program (employees);
- Alteration of housing (students);
- Modification of work arrangements and/or scheduling;
- Dining accommodations;
- Campus escorts and/or changes to campus transportation arrangements;
- College “No Contact Orders” between the parties;
- Campus “No-Trespass Orders” against employees, students, and third parties;
- Academic programming or scheduling adjustments; and/or
- Assistance in obtaining and/or enforcing a court-issued Stalking No Contact or other Orders of Protection.

In cases where the Respondent is a student or student organization and considered a threat to persons or property, the Dean of Students may impose interim measures such as suspension and/or loss/cancellation of other privileges prior to or during the resolution of sexual misconduct allegations. In cases where the alleged Respondent is an employee and considered a threat to persons or property, the Director of Human Resources and/or the Dean of the Faculty may impose interim measures such as suspension (with or without pay) during the resolution of sexual misconduct allegations. The College will keep supportive measures private and will share information only with those needed in order to implement the measures.

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.

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

5. **Party Support Persons.** The Complainant and Respondent are both permitted to bring a support person of their choice, at their expense, to any meeting or interview in connection with a report of sexual misconduct. The support person may be a friend, professor, mentor, family member, attorney, or any other person a party chooses, except that an individual who will be serving as a witness in the matter may not also serve as support person in the same matter without express prior permission from the Title IX Coordinator. Both parties will be provided with timely written notification of meetings or interviews at which they may/must be present. The College reserves the right to proceed with a pre-arranged meeting or interview regardless of a support person’s availability.

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

Support persons are expected to maintain the privacy of any information shared during the sexual misconduct complaint resolution process. Such information may not be shared with third parties, disclosed publicly, or used for purposes not explicitly authorized by the College. The College may restrict the role of any support person who fails to abide by these privacy expectations.

6. **Privacy.** The College treats sexual misconduct complaints as private matters and only shares information with persons who have a need to know in order for the College to respond. The College will request that, in order to protect the privacy interests of the parties and the integrity of the complaint resolution process, the parties keep information related to the investigation and resolution private. Witnesses and support persons are expected to maintain the privacy of the investigation and resolution, and, unless prohibited by law, may face disciplinary action for disclosure of information from the investigation.

7. **Disability Accommodation in Complaint Resolution Process.** The College is committed to providing individuals with disabilities reasonable accommodations needed in order to have full and equal access to the complaint resolution process. 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.

8. **Informal Resolution.** Where appropriate, the College may work to informally resolve sexual misconduct allegations by taking action to stop the alleged misconduct, address its effects, and prevent recurrence without a formal investigation and determination of a College policy violation. Informal resolution may include the range of supportive measures in Section 4 above, advisory conversations, voluntary resolution agreements, as well as targeted and/or broad-based training and educational programming for relevant individuals and groups and/or any other action that will achieve the goals of the College’s Policy. Participation in informal resolution is voluntary and either party can request to end an informal resolution process and request formal resolution at any time prior to the conclusion of informal resolution. When appropriate, parties will be asked to sign a document acknowledging a mutually agreed upon informal resolution and closing the matter. Pursuing an informal resolution does not preclude later use of formal resolution if the informal resolution fails to achieve a resolution acceptable to the parties and the College, if additional alleged sexual misconduct occurs after informal resolution, if the terms of an informal resolution agreement are violated, or if the College obtains new information necessitating further action on the matter.

9. **Formal Resolution.**

   a. **Investigation.** When informal resolution is not requested or inappropriate, or when a report of sexual misconduct cannot be informally resolved, a formal resolution process will be initiated. Formal resolution includes a prompt, thorough, and impartial investigation into the allegations of sexual misconduct. Parties shall have equitable procedural rights during the investigation process.
i. **Participation of Parties.** In most cases, the Complainant will need to participate in an investigation and the Complainant’s identity will need to be disclosed to the Respondent in order for the College to conduct the formal resolution process. Respondents are expected to participate in the investigation. If a Respondent declines to participate, the College will proceed with the resolution process without the Respondent’s participation. All parties are expected to be truthful and to cooperate with the process.

ii. **Notice to Respondent.** In cases to be resolved through formal resolution, the Title IX Coordinator will provide the Respondent with written notification of the investigation, including a brief description of the alleged sexual misconduct and College policies allegedly violated, as well as a written statement of the Respondent’s rights and options under the Policy and these complaint resolution procedures, as well as information about support resources.

iii. **Investigator.** Investigations will be conducted by the Title IX Coordinator and/or other internal or external investigator(s) designated by the Title IX Coordinator. All investigators will receive at least eight hours of training annually regarding how to conduct a prompt, equitable, and thorough investigation of sexual misconduct allegations in a way that protects the rights of all parties and complies with state and federal law.

iv. **Interviews and Evidence.** Investigations may include one or more interviews with the Complainant, Respondent, and fact witnesses. Character witnesses and expert witnesses without factual information about the allegations are generally not relevant or permitted. Interviews may take place in person, by phone, or through electronic means. Timely notice will be provided to Complainants and Respondents of all interviews or meetings at which they may/must be present, and both parties will be provided with timely and equitable access to information. Interviews are not electronically recorded by the College and may not be recorded by any participant. Investigations may also include the gathering and analysis of physical, documentary, and/or other relevant evidence.

Complainants and Respondents may provide written statements, identify fact witnesses, or submit other evidence to the investigator. The parties may also provide the investigator with questions they request that the investigator ask the other party or witnesses. It is in the investigator’s discretion whether to interview all witnesses identified by the parties, whether to interview additional witnesses not identified by the parties, and whether to ask the parties and witnesses the questions requested by the parties.

v. **Prior Sexual History.** In general, a Complainant’s prior sexual history is not relevant and will not be admitted as evidence during an investigation. However, where there is a current or past relationship between the Complainant and the Respondent and the Respondent alleges that consent for sexual activity was given, the prior sexual history between the parties may be relevant to assess the manner and nature of communications between the parties. The mere fact of a current or previous dating or sexual relationship, by itself, is insufficient to constitute consent. Any prior sexual
history of the Complainant with other individuals is typically not relevant and will not generally be considered. The investigator may consider prior or subsequent allegations of, or findings of responsibility for, similar conduct by the Respondent to the extent such information is relevant to the existence of a pattern of perpetration.

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

vii. **Consolidation of Claims.** The College may consolidate for investigation and resolution multiple complaints alleging sexual misconduct against the same respondent, as well as cases where parties have made sexual misconduct claims against each other.

viii. **Concurrent Criminal Investigations.** Some instances of sexual misconduct may also constitute criminal conduct. In such instances, the complainant is also encouraged to file a report with the appropriate law enforcement authorities and, if requested, the College will assist the complainant in doing so. The pendency of a criminal investigation, however, does not relieve the College of its responsibilities under Title IX. Therefore, to the extent doing so does not interfere with any criminal investigation, the College will not delay, and will proceed with its own investigation and resolution of the complaint as provided in these procedures.

ix. **Dismissal of Complaint During Investigation.** If at any point during the investigation it is determined that there is no reasonable cause to believe that sexual misconduct may have occurred, the Title IX Coordinator may conclude the investigation and refer the matter to the appropriate campus office for resolution, close the matter with no further action, or take other actions in support of the goals of the Policy, including targeted and/or broad-based training and educational programming for relevant individuals and groups. At any time during the investigation, the Complainant may submit a written request to withdraw the complaint to the Title IX Coordinator, who will weigh such request against the College’s need to ensure a safe, non-discriminatory environment.

x. **Admission of Wrongdoing.** If at any time during the formal process, a respondent wishes to admit responsibility for a policy violation, the Title IX Coordinator may conclude the investigation and refer the matter to the appropriate sanctioning official, as identified below.

b. **Investigative Report.** After the investigation has been completed, the investigator will prepare a Preliminary Report generally containing: procedural background, summaries of testimony and evidence (e.g., a description of other relevant information collected, such as written statements, photographs, physical evidence, electronic records, and/or forensic evidence and supporting documentation, where appropriate); and a statement of material facts. The Preliminary Report will not contain findings or a determination. The investigator
will provide this Preliminary Report to both parties for review. The parties may submit comments, additional evidence, or suggested corrections to the investigator within seven (7) calendar days of receiving the Preliminary Report. Any written response should be reasonable in length.

The investigator will then make any needed revisions, incorporate any additional relevant information into the report, and will prepare findings of fact and a determination as to whether or not there is sufficient information to establish, by a preponderance of the evidence, that a violation of the College’s Policy occurred, and the rationale for such determination. The investigator will issue the Final Report to the Complainant and Respondent simultaneously upon its completion. If a finding of a policy violation is made, the report will also be provided to the designated sanctioning official, as set forth below, for possible sanctions.

c. Sanctions and Remedies. If the investigator finds, based on a preponderance of the evidence, that the Respondent violated the Policy, the final report will be provided to the appropriate sanctioning official for a determination of sanctions.

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

Each sanctioning official receives at least eight hours of training annually regarding issues related to sexual misconduct and how to conduct the complaint resolution process in a fair and equitable way that protects the rights of all parties and complies with state and federal law. Disciplinary sanctions for violation of the College’s Policy 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;
- Termination of contract (contractors) or revocation of tenure (faculty) with the College; and/or
- Termination, expulsion, or other separation from the College.

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

Not all acts of sexual misconduct are equally serious offenses. Therefore, the designated sanctioning official may impose such sanctions as the sanctioning official believes are fair and proportionate to the finding of violation. The sanctioning official may consider the Respondent’s record of past violations of the College’s Policy or other policies, as well as the nature and severity of such past violation(s) and any other aggravating or mitigating factors in determining the appropriate sanctions. The sanctioning official will also determine whether to implement the sanctions immediately or to stay the sanctions if a party appeals the determination.

Within ten (10) calendar days after receiving the investigator’s report, the sanctioning official will notify both parties simultaneously, in writing, of the sanctions issued, the date the sanctions will be implemented, and relevant information regarding the appeals process. The sanctioning official will also provide a copy of this written notice to the Title IX Coordinator. The time periods referenced in this section can be extended as necessary by the sanctioning official with notice to the parties.

d. **Student-Respondent Withdrawal While Complaints Are Pending.** Student-Respondents with pending sexual misconduct matters may not withdraw from the College. Should a student-Respondent decide to leave and not participate in the investigation and other portions of the procedures set forth herein, the process will nonetheless proceed to a reasonable resolution in the student-Respondent’s absence. The student-Respondent will not be permitted to return to the College until any sanctions issued have been satisfied. Consistent with Section 11 below, sanctions of suspension or separation from the College will be permanently recorded on a student’s transcript.

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

f. **Appeals.** Either party may appeal the investigator’s determination and/or any sanctions issued by submitting a written request for appeal to the Chair of the Sexual Misconduct Appellate Board, within five (5) calendar days of the date of receipt of the investigator’s final report or the written notice of sanctions, whichever is later. The appeal must be in writing and contain a detailed statement of the basis for the appeal including the specific facts, circumstances, and argument in support of the appeal.

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

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

Mere disagreement with the decision is not grounds for appeal.

ii. **Appointment of Appellate Panel.** Within five (5) calendar days of receiving a request for appeal, the Chair of the Sexual Misconduct Appellate Board will appoint three (3) members of the Sexual Misconduct Appellate Board to sit as an appellate panel to decide the appeal based on majority rule. The Sexual Misconduct Appellate Board is a standing committee of eight (8) voting members and a non-voting Sexual Misconduct Appellate Board Chair, drawn from the College’s faculty and/or full-time staff members. The College President appoints members of the Sexual Misconduct Appellate Board for three-year terms, which can be renewed. Both parties will be notified simultaneously in writing of the individuals appointed to their appellate panel.

iii. **Notice to Non-Appealing Party and Other Relevant Officials.** Upon receipt of an appeal, the Chair of the Sexual Misconduct Appeals Board will forward the appeal and its supporting documentation to the non-appealing party. Additionally, the Chair will forward a copy of the appeal and supporting documentation to the Title IX Coordinator and sanctioning official (where applicable).

iv. **Non-Appealing Party Response.** The non-appealing party may submit a written response and supporting documentation to the Chair of the Sexual Misconduct Appellate Board within five (5) calendar days from the date of the party’s receipt of the appeal. In cases where the appeal is based upon procedural error or the existence of additional evidence not available at the time of the investigation, the Title IX Coordinator may submit to the appellate panel any relevant clarifying information within the same timeline. In cases where the appeal is based upon disproportionality of the sanctions, the sanctioning official may submit to the appellate panel any clarifying information within the same timeline. Upon receipt (or expiration of the five days) the Chair will forward the appeal and responsive and/or clarifying documentation, the investigator’s report and the written sanction notice (if applicable) to the appointed appellate panel for review.

v. **Burden of Proof.** In any request for an appeal, the burden to demonstrate procedural error, new evidence, or disproportionate sanction lies with the party requesting the appeal.

vi. **Appellate Panel Options:** After considering all the relevant documentation, the appellate panel may:

• Deny the appeal because the reason for appeal does not fall within the stated ground for appeal, i.e., procedural error, new evidence or disproportionate sanctions;
• Uphold the original finding and/or sanction;
• Remand the case to the original investigator for reconsideration of the findings in light of new evidence or procedural error;
• Request appointment of a new investigator to conduct a new investigation where significant procedural error occurred during the course of the original investigation; or
• Refer the case back to the sanctioning official for reconsideration of the sanction (with or without recommendations).

vii. Timeline for Appellate Determination. The appellate panel will make a determination within ten (10) calendar days of receipt of the appeal materials. The Chair of the Sexual Misconduct Appellate Board will notify the parties simultaneously in writing of the outcome of the appeal within three (3) calendar days of the date of the determination. 
Appellate panel decisions are final.

All appellate time periods set forth in this section can be extended as necessary for good cause by the Chair of the Sexual Misconduct Appellate Board with notice to the parties.

viii. Training of the Sexual Misconduct Appellate Board. The Chair and all members of the Sexual Misconduct Appellate Board will receive at least eight hours of training annually regarding issues related to sexual misconduct and guidance for conducting the complaint resolution process in a fair and equitable way that protects the rights of all parties and complies with state and federal law.

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

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

11. Records. The investigator’s report, the notice of sanction, and/or appellate determination, will be maintained by the Office of Student Affairs as part of a student-Respondent’s conduct record and with the Director of Human Resources and/or Dean of Faculty as part of an employee-Respondent’s employment file. Suspension and dismissal are permanently noted on a student’s transcript. The conduct files of students who have been suspended or dismissed from the College are maintained by the Office of Student Affairs for no fewer than seven (7) years after the student’s departure from...
Employment records are maintained consistent with the Illinois Personnel Record Review Act and all other state and federal requirements.

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

**Enacted: August 28, 2015**
**Last Amended: August 27, 2019**

### 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/suspicions 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.

**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:

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

If the disclosure is by a Board member, it shall be to 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**  
(Amended June 1, 2017)

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

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

**PROCEDURE**
The College offers qualified employees the opportunity to participate in the 403(b) Retirement Plan. There are two accounts available through the 403(b) plan:
1. The Group Supplemental Retirement Annuity Plan (GSRA) is an unmatched, tax-deferred plan that employees can begin contributing to immediately upon hire. Contributions are made on a pre-tax basis based upon a percentage or a flat dollar amount. Participants can choose to invest their contributions in any of the available investment selections. Participants must complete a Salary Reduction Agreement in accordance with Plan requirements. An election to make participant plan contributions may not be made retroactively and shall remain in effect until modified or terminated. A participant may terminate his or her Salary Reduction Agreement at any time, subject to any reasonable rules established by the Plan Administrator. The total contributions made by the participant and for the participant for any year will not exceed the amount permitted under section 415 of the Code.

2. The Retirement Annuity Plan (RA) is a non-contributory plan available to qualified employees who work a minimum of 1000 hours per fiscal year. When an employee has achieved two years of qualifying service to the College (or equivalent years of service with an eligible employer which will be counted towards meeting the eligibility requirements), the College will contribute an amount equal to 9%, 8%, or 7% of base salary for eligible employees based on the same three salary ranges that are used for the health insurance premiums. The employee is not required to make a contribution to the plan. Participants can choose to invest contributions in any of the available investment selections.

3. In the case of employees classified by the College as part-time faculty members, service for the Retirement Annuity Plan (RA) consists of teaching three or more courses per academic year. To determine RA eligibility, the Office of Human Resources will review the course load from prior years and determine if the faculty member has achieved two years of qualifying service. Once the years of service requirement has been met, in order to be eligible for the College’s contribution, the faculty member needs to maintain a teaching load of at least three courses per academic year.

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

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

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 to 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:

<table>
<thead>
<tr>
<th>Miles</th>
<th>Maximum Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 500</td>
<td>$1,500</td>
</tr>
<tr>
<td>750</td>
<td>$2,000</td>
</tr>
<tr>
<td>1,000</td>
<td>$2,500</td>
</tr>
<tr>
<td>1,500</td>
<td>$3,500</td>
</tr>
<tr>
<td>Over 1,500</td>
<td>$4,000</td>
</tr>
</tbody>
</table>

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.

---

3 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.
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
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 parent4 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.

4 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.
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.

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 to 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, prorated 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.

**Child Bereavement Leave**
*(January 2017)*

Under The Child Bereavement Leave Act employees who suffer the loss of a child are eligible to take ten (10) unpaid days of leave to:

Make arrangements necessitated by the death of a child; or Grieve the death of a child.

Employees may take leave for the loss of a biological, adopted, foster, or step son or daughter, a legal ward, or a child for whom the employee stood in loco parentis.

The leave must be used within 60 days of the date on which the employee receives notice of the death of the child. In the event of the death of more than one child in a 12-month period, an employee may
take 2 weeks of leave per child, up to a total of 6 weeks of bereavement leave during the 12-month period. Under the Act, employees may elect to substitute paid leave they have accrued, such as sick or vacation days. By doing so, the employee’s bereavement leave would become paid leave.

An employee is required to provide at least 48 hours’ notice that the employee intends to use the leave, unless such notice is impracticable.

For more information, including how to request a leave and submit any required documentation under the Child Bereavement Leave Act, contact the Director of Human Resources.

**Illinois Victim’s Economic Security and Safety Act (VESSA) Leave**
(March 2015, last updated September 30, 2019)

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

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

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

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

Full-time, 12-month employees with a year or more of continuous active service may request a leave of absence without pay for justifiable reasons. The standard reasons and normal maximum allowable times for each category are listed as follows:

- Educational Leave: 12 months; must lead to increased job ability
- Personal Leave: 3 months; justifiable reasons
- Sick Leave: 3 months
- Military Leave: Reservist called to active duty

Leaves with pay for Officers must be approved in individual instances by the Board of Trustees.

Requesting a Leave of Absence

Except for reasons of illness and sick leave, employees are required to submit a formal request for a leave of absence to the appropriate Officer and/or Department Head and Vice President for business 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 Officers of the College as appropriate.

Employees applying for the leave of absence privilege should contact Human Resources if they have questions regarding their benefit status for earned vacation time or health insurance during the leave of absence. 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.

While on an educational leave of absence, an eligible employee may continue coverage in the group health and life insurance plan. In order to enact this coverage, the employee must notify Human
Resources in writing within 60 days of the commencement of the leave and agree to reimburse the College for the premiums payable (102%). In these circumstances, life insurance coverage must be based on the College’s “assumed earnings” figure which would be the salary the employee would have earned had he or she not taken the leave and continued to work for the College.

Unpaid Personal Leave for Support Staff

Eligibility of Unpaid Personal Leave (more than 5 work days)
A regular full-time or regular part-time employee with a year or more of continuous active service may request a leave of absence without pay for justifiable reasons including medical, disability, maternity, military duty, and child care. A personal leave is defined as more than five (5) consecutively missed workdays, for reasons other than situations covered under the Family and Medical Leave Act. Employees who are not covered under the Family and Medical Leave Act because they work less than 1250 hours per fiscal year may request a personal leave for child care (up to 12 weeks), or for a medical illness (up to 12 weeks).

The standard reasons and maximum allowable time for each category generally are as follows:

<table>
<thead>
<tr>
<th>Category</th>
<th>Allowable Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Military Leave</td>
<td>As required by law</td>
</tr>
<tr>
<td>Child Care</td>
<td>Three (3) months</td>
</tr>
<tr>
<td>Personal</td>
<td>One (1) month</td>
</tr>
<tr>
<td>Disability</td>
<td>Three (3) months</td>
</tr>
<tr>
<td>Medical</td>
<td>Three (3) months</td>
</tr>
<tr>
<td>Maternity</td>
<td>Thirteen (13) weeks</td>
</tr>
</tbody>
</table>

All project and part-time employees budgeted to work less than 640 hours per fiscal year are not eligible for paid leave time. The College acknowledges that these employees may need time off for personal reasons or occasional illnesses. Any time off authorized under these circumstances shall be unpaid personal leave.

Requesting a Personal Leave
Employees are required to request personal time off from the department head in writing. Whenever possible, employees should schedule personal leaves at least a month in advance. Personal leaves are granted at the convenience of the College, and in reviewing such requests, the department head typically will consider the following factors:
- the purpose for which the leave is requested
- the length of time the employee will be on leave
- the effect the leave will have on the ability of the department to carry out its responsibilities
- the employee’s position and length of service

A leave of absence for personal reasons for up to one (1) month may be approved by a department head. Human Resources must be notified of all leave requests.

The College does not provide benefits beyond the first five (5) days of an approved unpaid personal leave of absence. The employee is eligible, however, to elect continuation coverage under COBRA, at 102% of full cost, for health insurance. Employees needing continuation of health insurance should contact Human Resources for procedures. Upon return to full duty, benefits shall be reinstated.

During an unpaid personal leave of absence, employees do not accrue paid leave time.

Unpaid personal leaves of absence beyond the equivalent of three (3) days will not be granted until after paid leave time is depleted.

**Excessive Absenteeism**

While the College acknowledges that some personal time is necessary, excessive absenteeism is subject to disciplinary action. Excessive absenteeism is 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.

**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
Independence Day
Thanksgiving Day
Friday after Thanksgiving
Christmas Eve Day
Christmas Day
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.

**Vacation Time**
(Revised November 6, 2015; last amended November 2018)

**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 an above 0.33 FTE:

**Vacation days:** Employees earn vacation time for each month they work. The maximum amount of paid time off earned is based upon their length of service. The following chart outlines the amount of time earned each month:

All vacation days must be used within the same fiscal year (June 1 to May 31), except as provided below:

<table>
<thead>
<tr>
<th>Length of Service</th>
<th>Amount of Time Earned Per Month</th>
<th>Maximum Number of PTO per Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Full Time Staff</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At the start of employment</td>
<td>1.25 days</td>
<td>15 days (prorated from date of hire to end of fiscal year)</td>
</tr>
<tr>
<td>After 3 completed year</td>
<td>1.83 days</td>
<td>22 days</td>
</tr>
<tr>
<td><strong>Part-Time Staff</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At the start of employment</td>
<td>*1.25 days (prorated based upon percentage of time appointed)</td>
<td>Prorated from date of hire to end of fiscal year</td>
</tr>
<tr>
<td>After 3 completed year</td>
<td>*1.83 days (prorated based upon percentage of time appointed)</td>
<td></td>
</tr>
</tbody>
</table>

Part-time Staff: Paid time off accrual is prorated based upon percentage of time appointed.

*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.

Employees are generally eligible to earn paid vacation time at the start of employment. These days must be used prior to the beginning of the next fiscal year (currently June 1). Employees are allowed to carry a negative vacation balance, up to the maximum number of vacation days accrued per year.

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 fiscal year. The days carried over must be used by September 15th or they can be saved to be used during winter break.

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.

2. 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)

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 absences due to the employee’s own illness and for absences due to an illness, injury, or medical appointment of the employee’s child, spouse, domestic partner, sibling, parent, mother-in-law, father-in-law, grandchild, grandparent, or stepparent.

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.

Bereavement Absence
(Revised March 2017)

Lake Forest College will provide up to 5 days of paid bereavement leave to an employee for the death of an immediate family member or an extended family member. An immediate family member is defined as Spouse / Domestic Partner / Child(ren).

PROCEDURE
The bereavement leave policy is as follows:

- Five days bereavement
  - Spouse / Domestic Partner / Child(ren)

- Three days bereavement
  - Parent(s) / Parent(s)-In-Law
  - Brother(s) / Sister(s)
  - Grandparent(s)
  - Grandchild(ren)

- One day bereavement
  - 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)
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 unpaid personal time for funeral leave.

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.

**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)

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. 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. The department 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.

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. An employee must have worked for a minimum of 90 days in the employee’s current position before being permitted to apply for a flextime arrangement.

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.

Telecommuting

Telecommuting is defined as a regularly scheduled day that an employee will work from home or another location other than his or her workspace onsite at Lake Forest College. Telecommuting is permitted for a maximum of 50% of an employee’s two week schedule. Telecommuting 100% in any given week is not permitted. For example, an employee working ten 7.5 hour days in a two week period may have a telecommuting schedule of 2 days in the first week and 3 days in the second week on an alternating basis. It is not the responsibility of the College to incur any expense so that an employee may have a telecommuting opportunity. Additionally, all work that is done on a telecommuting basis is required to be compatible with standard College technological platform(s). An employee must have worked for a minimum of 6 months in the employee’s current position before being permitted to apply for a telecommuting arrangement.

PROCEDURE

Should an employee wish to apply for a flexible work arrangement, he or she must first satisfy the minimum employment requirement outlined above for a specific arrangement. 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.

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
- Any flexible arrangement must enhance, not reduce, the satisfaction of any unique responsibilities
- Employees must always be available in emergency situations
- Influence on department work flow/processes
An employee should complete the Flexible Work Option Application 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.

Once approved by the supervisor and Vice President, the application will then be sent to the Director of Human Resources for final approval and for an agreement to be issued. Once an agreement is issued, the employee has 5 business days to sign and return the agreement to the Office of Human Resources. 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 insure 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. 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.

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 increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

APPENDIX D

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 despida, 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

For immediate help or if you have questions regarding your rights, call (312) 814-6200 or (217) 785-5100 or (866) 740-3953 (TTY)

CHICAGO OFFICE
100 W. Randolph Street, 10th Floor
Intake Unit
Chicago, IL 60601
(312) 814-6200

SPRINGFIELD OFFICE
222 South College, Room 101-A
Intake Unit
Springfield, IL 62704
(217) 785-5100

MARION OFFICE
2309 West Main Street, Suite 112
Intake Unit
Marion, IL 62959
(618) 993-7463

The charge process may be initiated by completing the form at:
http://www.illinois.gov/dhr