



KNOX
COLLEGE

Faculty
Handbook
2024-2025

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Knox College Statement of Mission

Knox College is a community of individuals from diverse backgrounds challenging each other to explore, understand and improve ourselves, our society and our world. The commitment to put learning to use to accomplish both personal and social goals dates back to the founding of the College in 1837. We take particular pride in the College's early commitment to increase access to all qualified students of varied backgrounds, races and conditions, regardless of financial means.

Today, we continue to expand this historic mission and the tradition of active liberal arts learning. We provide an environment where students and faculty work closely together and where teaching is characterized by inviting and expecting students to pursue fundamental questions in order to reach their own reflective but independent judgments. The mission is carried out through:

- our curriculum: combining inquiry in traditional as well as newer disciplines with the integrative perspective of interdisciplinary work; building from basic skills of writing, reading, calculating and critical analysis to opportunities for sophisticated student research and creative expression.
- the character of our learning environment: encouraging the critical exchange of ideas, challenging our students with high expectations and persistent demands for rigorous thinking within a supportive and egalitarian environment, characterized by an informality and openness that mirrors our Midwestern surroundings.
- our residential campus culture: encouraging the personal, cultural and intellectual growth of our students in a reflective, inclusive, and engaged campus community through supportive residential opportunities, numerous student organizations, a wide array of creative activities and cultural programming, and opportunities for intercollegiate and recreational sports.
- our community: reaffirming and extending our ongoing commitment to a diverse community of students, faculty and staff with each new hiring and admission.

Our aims throughout are to foster a lifelong love of learning and a sense of competence, confidence and proportion that will enable us to live with purpose and to contribute to the well-being of others.

- approved by the Knox College Faculty, May 1993

- affirmed by the Knox College Board of Trustees, 2008

I. Organization of the College

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I. Organization of the College

I. A. The Board of Trustees

The Board of Trustees is legal custodian of the corporate existence of Knox College. A self-perpetuating body, it has a legal limit of forty-two members including the President of the College, ex officio. The Board may include no more than thirty-seven general trustees and no more than four alumni trustees, including one recent graduate trustee. Trustees serve four-year terms.

Regular meetings are normally held in October, February, and June. These meetings are open only to invited visitors.

The committees of the Board are Executive, Academic Affairs, Admission & Financial Aid, Advancement, Campus Life & Athletics, Facilities & Infrastructure, Finance, and Trustees. The President of the College is an ex officio member of all Board committees.

The Board is responsible for general policies of the College including authorization of degrees awarded by the College, setting of tuition and other fees, approval of the annual budget and the investment of all endowment funds and other assets, and establishment of the general conditions of faculty service. (See Knox College By-Laws.)

I. B. The President

The duties of the President are stated in the By-Laws of Knox College. They may be summarized as follows:

The duties of the President of the College shall be such as ordinarily belong to the chief executive officer of a college, and he or she shall be vested with full administrative authority, subject only to the approval and direction of the Board.

The President of the College shall be the executive officer of the Board of Trustees and shall be responsible to the Board only. The President shall execute directions given and carry into effect policies prescribed by the Board.

The President of the College shall submit the budget to the Board and shall be responsible for carrying out its provisions.

The President shall have authority, subject to the approval of the Board or of the Executive Committee, to employ professors, teachers, and instructors, as well as other necessary personnel, to fix their terms of employment and compensation and to prescribe their duties.

The President, or the Vice President for Academic Affairs in the absence of the President, shall convene faculty meetings and shall be the presiding officer at such meetings. The

President shall be a voting member of the Faculty. The Faculty may elect a chair pro tem who, at the request of the President or, in the absence of the President, at the request of the Vice President for Academic Affairs, may preside at faculty meetings.

The President supervises the Director of Athletics, who is responsible for administering the college's intercollegiate athletics program, intramural sports, and other recreational activities that utilize the College's athletic facilities.

The President shall have final authority in the internal affairs of the College, including discipline.

In addition, the President is the chief fund-raiser of the College.

I. C. Administrative Offices

All administrative officers and staff are responsible to the President. The heads of office usually report directly to the President.

I. C. 1. Academic Affairs

The Dean of the College, who is also Provost (Vice-President for Academic Affairs), is the executive officer for academic affairs, and the administrative officer most directly concerned with the academic program of the College, its curriculum, and its faculty.

The Dean carries the major responsibility for the recruitment and appointment of new faculty, and makes recommendations to the President on appointments, promotion, tenure, salary changes, and leaves of absence.

The Dean is charged with developing and supervising the instructional activities of the College and the encouragement of scholarly activity by both faculty and students.

The Dean is responsible for the formulation and execution of all budgets in the academic area.

While the Dean's primary responsibilities concern matters dealing with the Faculty and academic program of the students, these responsibilities do not exclude an interest in extra-curricular activities, admissions, and student discipline insofar as these affect the development of students, the well-being of the Faculty, and the welfare of the College.

The Dean serves on the Executive Committee, Committee on Budget & Financial Priorities, Curriculum Committee, and Campus Diversity Committee, and serves or designates a representative on the Off Campus Study Committee.

The **Associate Dean of the College** handles for the Dean's office matters concerning the academic affairs of individual students. The Associate Dean of the College is in charge of

academic advising. The Associate Dean of the College chairs the Academic Standing Committee and is responsible for matters related to the Honor Code.

The **Associate Dean for Faculty Affairs** is responsible for faculty development in its many dimensions and manages support for faculty research and travel. The Associate Dean of Faculty Affairs directs the system regular academic program review and serves on the Curriculum Committee and First-Year Preceptorial Steering Committee.

The **Associate Dean for Curriculum and Assessment** supports faculty in areas related to the curriculum, new program development, inter-institutional collaborations, special grant opportunities, and other initiatives. The Associate Dean works with Curriculum Committee to guide departmental and curriculum-wide assessment of our programs.

In addition to the associate deans, the following individuals report to the Dean of the College as members of the Dean' Council:

The **Registrar** is responsible for maintenance of academic records, for registration procedures, and for assignment of classrooms.

The **Director of the Library** is responsible for management of the Library, development of its collections, and for library services in support of the academic program.

The **Director of the Stellyes Center for Global Studies** coordinates off-campus study selection and curricular development and other projects to strengthen the international dimension of the educational program.

The **Director of the Center for Teaching and Learning** coordinates programs to foster the academic success of students, including acquiring and training peer tutors in all academic concentrations.

The **Director of the TRIO Achievement Program** (a federally grant-funded program) coordinates efforts to foster the academic success of first-generation, low-income students.

The **Director of the McNair Scholars Program** (a federally grant-funded program) supports first-generation, low-income students in the pursuit of graduate and doctoral studies and encourages students to explore research-intensive careers, including academia.

The **Director of the Vovis Center for Research & Advanced Study and Health Professions Advising** assists students pursuing undergraduate research, scholarship, and creative work. The Center also supports applications to national and international fellowships and scholarships. As coordinator of pre-health professions advising, the director supports students interested in health-related careers and post-graduate training, including cooperative degree programs in the health sciences.

The **Director of Disability Support Services** promotes the full inclusion of students with disabilities in access to College programs and coordinates with College offices in pursuit of that goal.

The **Office of Institutional Research** supports the College's mission by providing accurate, timely, and insightful information to the Knox community in the interests of collaborative and informed decision-making.

I. C. 2. Student Development

The **Vice President for Student Development** is responsible for student life outside the classroom.

The Vice President for Student Development directs the Division of Student Development, which is responsible for residential life, health services, counseling services, career development, community service, intercultural life, spiritual life, orientation, student conduct, fraternities and sororities, student organizations, and student government. The Vice President for Student Development and members of his/her staff collaborate with various administrative officers in the execution of these duties. The Vice President for Student Development serves on the Executive Committee and designates ex officio representatives on the Admission, Retention, and Placement Committee and the Campus Diversity Committee.

The **Dean of Students** supports students in their co-curricular lives and, in conjunction with the Associate Dean of the College, promotes students' academic success. The Dean of Students co-chairs the Student Life Committee and also serves on the Academic Standing Committee.

The following individuals report to the Vice President for Student Development.

The **Associate Dean of Students for Campus Life** provides direct oversight to the Campus Life Office, which includes residential life, fraternities and sororities, and student organizations.

The **Director of the Bastian Family Career Center** coordinates career development programming and advising, and collaborates with faculty and alumni to develop job and internship opportunities for students.

The **Director of the Kleine Center for Community Service** works to create and maintain service partnerships between the College community and the Galesburg community.

The **Director of the Center for Intercultural Life** facilitates educational programming around inclusivity and social justice for all members of the campus

community, and also serves as the primary point of contact for undocumented students. The Director of the Center for Intercultural Life co-chairs the Campus Diversity Committee.

The **Director of Spiritual Life** coordinates spiritual programming on campus for students of all faith traditions and also those non-religious backgrounds, as well as serving as a confidential resource for students.

The **Assistant Dean of Student Health and Wellness oversees Counseling and Health Services** coordinates on-campus student health services, which includes primary health care, treatment for acute medical issues and minor emergencies, vaccinations, and health promotion education, individual, group and crisis counseling for students, as well as outreach and educational programming around issues of mental health and wellness.

The **Director of International Student Services** provides orientation and support services for first-year or transfer students from abroad, students with dual citizenship, American expatriates, or permanent residents of the United States.

I. C. 3. Admission and Financial Aid Office

The **Vice President for Enrollment and Dean of Admission** oversees admissions and financial aid.

I. C. 4. Communications and Instructional Technology Services

The **Vice President for Communications** oversees the Office of Communications and is responsible for College publications and communications.

I. C. 5. Finance

The **Vice President for Finance / Chief Financial Officer** is responsible for the financial and business management of the College and serves as its Treasurer. This officer's duties include preparation and execution of the College budget and administration of college investments.

Vice President for Finance oversees the Business Office and the following officers:

The **Controller** is responsible for financial accounting and reporting, payroll, accounts payable, billing and collection, cash management and banking activities.

I. C. 6. Administration

The **Vice President for Administration and General Counsel** is the primary legal advisor for the College and is also responsible for the Offices of Sustainability, Campus Safety,

Auxiliary Businesses, Building and Facility Services, Human Resources, and Information Technology Services.

The **Chief Information Officer** is responsible of oversight of information technology services across campus.

The **Director of Building and Facilities Services** is responsible for the overall operation and maintenance of the physical plant, including buildings, grounds and capital projects.

The **Director of Auxiliary Businesses** is responsible for managing campus postal services, photocopy services, centralized purchasing, and office supplies.

The **Director of Dining Services** is responsible for all aspects of food service, dining and retail operations, campus ID cards, and catering.

The **Bookstore Manager** is responsible for all aspects of bookstore operations, including procuring textbooks and course materials.

The **Director of Campus Safety** is responsible for directing campus safety programs, including crime prevention and investigation, parking, key control and campus patrol.

I. C. 7. Advancement Office

The **Vice President for Advancement** develops the fund-raising programs of the College, including plans for annual giving, deferred giving, grant support, and oversees alumni affairs.

I. C. 8. Strategic Initiatives

The **Vice President for Strategic Initiatives** assists in the conceptualization of strategic goals, manages major initiatives that support the strategic direction of the College.

I. D. Faculty

I. D. 1. Governance

All individuals with faculty rank as defined by the *By-Laws* (instructor, assistant professor, associate professor, professor) (See Knox College By-Laws, Article VI, Section 3.a.), as well as the President, the Provost and Dean of the College, appointments as Associate Dean in the Office of the Dean of the College, the Vice President for Student Development, Registrar, and the Director of the Library are members of the faculty for the purposes of governance. Current *Faculty Regulations* make no distinction based on full and part-time teaching or employment in eligibility to vote in faculty meetings or to serve on standing committees of the faculty.

Appointments with the title of “lecturer” do not convey membership in the faculty for the purposes of the governance of the College.

I. D. 2. Responsibilities of the Faculty

By delegation from the Board of Trustees, the Faculty as a whole has the responsibility for regulation of educational policy concerned in the requirements for any degree-in-course authorized by the Board of Trustees. This responsibility includes such matters as standards of admission of students, definition of good standing of students, curriculum, class attendance, grade reports, and the recommendation of students for degrees. The Faculty also has supervision over student disciplinary action and over student activities, including such things as athletic eligibility, extracurricular activities, fraternities, sororities, and the social life of the students. (See *Knox College By-Laws*.)

I. D. 3. Officers

The officers of the Faculty are the President, the Provost and Dean of the College, the Vice President for Student Development, the Registrar, the Chair pro tem of the Faculty, and the Secretary of the Faculty. (For further details on Faculty Governance, see *Faculty Regulations*, section F)

I. D. 4. Meetings

Regular faculty meetings are normally held on the first (or second) Monday of each month September through May when the College is in session. Special meetings are held in September and June, and may be called upon notice by the President or any other officer of the Faculty.

Only members of the Faculty as defined by the Trustees may vote at faculty meetings. Under current Faculty Regulations, there is no distinction among those with faculty rank between regular and visiting or temporary appointments or between full- and part-time teachers.

Minutes of faculty meetings are kept by the Secretary, and are circulated to all faculty members. A permanent file is maintained by the Dean's executive assistant.

The agenda is distributed at least twenty-four hours before each meeting. Items for inclusion on the agenda should reach the President, the Dean, or the Chair pro tem by the Tuesday before the meeting.

I. D. 5. Marshals

The Grand Marshal is appointed from the Faculty by the President, and is responsible for the ceremonies of all formal convocations.

The Faculty Marshal, the Grand Marshal's deputy, is also appointed from the Faculty by the President.

The College Marshal is appointed from the junior class each spring by the Academic Affairs Committee. The College Marshal's duties are to assist the Grand Marshal and to lead the graduating class at Commencement.

I. E. Academic Departments, Programs, and the Responsibilities of Chairs

The Faculty are organized administratively into departments and program committees. Program committees are groups of faculty drawn from different departments and disciplines, who administer some interdisciplinary majors and minors. In keeping with the spirit of a liberal education, faculty at Knox are encouraged to think of themselves as members of the College Faculty, not just the separate departments.

Department and program chairs are appointed by the Dean of the College in consultation with the President and usually with the advice of the individual members of the department/program. The term of appointment may vary depending on the situation within the department but normally an appointment is for four years with the possibility of renewal.

The duties and responsibilities of chairs include those listed below. Chairs are not expected to perform all these duties unassisted. Rather, they are encouraged to distribute the various duties among the members of the department/program so that everyone carries an equitable load. All senior members of the department/ program should consider it part of their responsibilities to assist junior colleagues with professional development. All members should share the responsibility for assisting department/program chairs in the execution of their duties and for promoting the welfare of the College and the department/program. Where the Chair of a Program Committee holds the only line position in the Program, duties with regard to personnel are few.

Curricular:

- encourages development of curricular offerings which are rigorous and appropriate to the needs of the College, both students and faculty;
- assigns teaching duties to members of the department and submits the department's scheduling of classes (less a duty of program chairs);
- submits requests for any changes in courses or requirements for the major or minor;
- oversees the advising of students majoring in the department/program, making sure that graduation requirements, graduate study and career opportunities are publicized;
- recommends to the Curriculum Committee substitutions for major or minor requirements in individual cases;
- in consultation with the Dean, conducts regular departmental/program reviews and evaluations.

Personnel:

- assumes a major role in the process of recruiting, hiring, and orienting new faculty members;
- encourages the professional development of all members of the department/program in both teaching and scholarship;
- advises the department/program's newer faculty members of their progress. Chairs should: discuss with new faculty members the College's expectations in regard to teaching and scholarship; visit the classes of new faculty members (and others under consideration for renewal of contract); and discuss with the member their perceived strengths and weaknesses;

- submits departmental recommendations on hiring, retention, tenure, and promotion and advises the Dean on the general performance of members of the department/program and on requests for leaves of absence

General:

- presides over the affairs of the department/program, its performance, academic program, budget, space allocation, equipment, library book requests, etc.;
- promotes the general morale of the department/program, and organizes co-curricular activities (speakers, social functions, etc.);
- supervises departmental/program employees including laboratory technicians and student assistants.

I. F. Committees

I. F. 1. Standing Committees of the Faculty

The membership and duties of the standing committees of the faculty and the procedures for election and appointment are defined in Faculty Regulations F. 4-10.

The elected standing committees are (with references to the section of Faculty Regulations defining membership and duties):

Executive, including the Faculty Affairs Subcommittee
 Faculty Personnel
 Budget and Financial Priorities

The appointed committees are:

Academic Standing
 Athletics
 Campus Diversity
 Curriculum - Subcommittees: Assessment, Policy, Implementation
 Faculty Experience
 Faculty Resources / Cultural Events Committee
 Honor Board
 Institutional Review Board
 Student Experience

I. F. 2. Other Committees, Subcommittees, and Boards

Mission and Priorities Group [Inactive - Under consideration for redevelopment]

The Mission and Priorities Group, which is advisory to the President, identifies and develops new planning initiatives, monitors and coordinates budgets, and recommends funding priorities. Specific responsibilities include:

- Review annually a five-year budget assumption model developed by the Vice President of Finance, including tuition, room, board, and other revenue and expense increases or reductions for approval by the President and the Board of Trustees. The model should reflect institutional funding priorities and budgetary guidelines consistent with strategic institutional plans.
- Make recommendations regarding the College's budgetary processes.
- Recommend allocation of resources in the best interest of the institution and as determined by the College's strategic planning initiatives.
- Coordinate efforts with campus community to assure adequate resources for strategic initiatives.
- Communicate with campus constituencies regarding budget and planning.

Membership: The Mission and Priorities Group is chaired by the President, or designee, and consists of: the Provost/Dean of the College, the Vice President of Finance, the Vice President of Enrollment, the Vice President of Advancement, the Vice President of Communication, the Vice President for Student Development; Vice President of Strategic Initiatives; three faculty; three staff; and three students.

College Honors Subcommittee.

A subcommittee of the Academic Standing Committee. Duties: to execute, on behalf of the parent committee, the duties in relation to the College Honors Program. Membership: Associate Dean of the College, two faculty members, one student. Appointment, by the chair of the Academic Affairs Committee, for terms of one year.

Honor Board.

The Honor Board investigates all cases of alleged violations of the honor system, determines guilt or innocence, and specifies the punishment. (For further details, see Faculty Regulations and the Student Handbook.)

Conduct Council.

The Conduct Council deals with student disciplinary cases except those involving academic dishonesty (handled by the Honor Board) and discrimination or harassment (handled by the College's Grievance Panel). (For further details, see Faculty Regulations and the Student Handbook.)

Honorary Degrees Subcommittee.

This subcommittee of the Advancement Committee of the Board of Trustees includes a trustee who is a member of that committee and the President, as well as three faculty members chosen by the Trustee Executive Committee. The terms ordinarily are for three years. The Subcommittee recommends candidates for honorary degrees to the Board.

II. Academic Responsibilities and Professional Obligations

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B. Class and Term Responsibilities

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6. Students in Difficulty
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C. Advising

D. Other Matters

1. Curriculum Development
2. Scholarship; Institutional Service
3. Convocations
4. Investigations Involving Human Subjects
5. Knox College Drug Policy

E. Discrimination and Sexual Harassment

1. Reporting Protocol for Discrimination, Harassment, and Bias Incident(s)
2. Policy Against Discrimination and Harassment
3. [Appendix B. Statement on Romantic or Sexual Relationships Between Students and Knox College Employees \(See Appendices\)](#)
4. Knox Notice of Non-Discrimination (Rev. 7.2024)

II. Academic Responsibilities and Professional Obligations

II. A. Academic Freedom

The following statement is from the Knox College By-Laws and follows in principle the 1940 Statement of Principles on Academic Freedom and Tenure, and the Interpretive Comments, formulated and adopted by American Association of University Professors and the Association of American Colleges in 1970:

The teacher is entitled to full freedom in research and in publication of its results, subject to the adequate performance of other academic duties. The teacher is entitled to freedom in the classroom in discussing a subject, but must be careful to avoid introducing controversial matters which have no relation to his or her subject. The college teacher is an individual, and a member of a learned profession, and of an educational institution. When one speaks or writes as an individual, one must be free from institutional censorship or discipline, but a special position in the community imposes special obligations. As a person of learning and an educational officer, one must remember that the public may judge the profession and the College by the utterances of individuals. Hence, one must make every effort to be accurate, must exercise appropriate restraint, must show respect for the opinions of others, and must make every effort to indicate that the individual is not speaking for the College. Charges that a teacher's writings or utterances bring the College into disrepute may be considered in cases arising under Section 2.b(2) of this Article VI. A teacher during the probationary period shall have the same academic freedom enjoyed by all other members of the faculty.

II. B. Class and Term Responsibilities

II. B. 1. Teaching Load

The standard teaching load is six full-credit courses during the academic year of three terms. Variations from the standard load are permitted, with the prior approval of the Dean of the College, for non-standard teaching assignments such as special courses and programs, studio or laboratory instruction, or very large or very small classes.

Faculty members supervise independent studies and senior capstone projects in addition to their regular course load. When asked to supervise an independent study, faculty should consider their other teaching obligations in the same term. To prevent unnecessary duplication of teaching effort by the Faculty, students may not take as independent study courses that are regularly scheduled, i.e., offered at least once in alternate years.

II. B. 2. Conduct of Classes

1. **Course Requirements.** The normal course load for full-time students is three credits per term. The usual expectation is that a one-credit course will require of an average student about 15 hours per week including time in class, laboratory or studio, and in outside preparations. Course requirements should be made clear to the students, e.g., in a course syllabus.
2. **Teaching Format.** The maintenance of high academic standards is a concern of the Faculty as a whole and a professional obligation of each individual teacher. A faculty member may choose the teaching format that is best suited to foster learning of the material of the course. Course schedules for each department are arranged by its chair before pre-registration materials are prepared. Course scheduling and scheduling of course-related activities are governed by guidelines established by the Executive Committee (Appendix N). Variations in the frequency and length of class meetings and unusual formats should be discussed with the Dean.
3. **Meeting Classes.** All faculty members are expected to meet their classes at the hours scheduled and to be available to students at appointed times. Students should be notified well in advance of changes in scheduling. Faculty members should report to the chair of the department or other department colleagues their intention to leave the campus for any period during the academic year. Canceling classes due to participation in professional meetings should be kept to a minimum. In the case of a prolonged absence (e.g., due to illness), the Dean should be informed.
4. **Prerequisites.** Prerequisites are stated in the College Catalog. When none are stated the course is open to all students. (Courses 200 or above are not normally open to first-year students.) The registration procedure at Knox does not always automatically exclude students who have not satisfied the stated prerequisites, but the instructor may do so at the beginning of the course; the instructor should inform the Registrar immediately of any student excluded. Instructors are free to waive a stated prerequisite.
5. **Class Size Limits.** Limits, if any, may be approved as part of the original course proposal to the Curriculum Committee. Limits should be for essential teaching purposes. The preferences of individual instructors will be honored whenever possible, but department chairs, or the Dean, may decide that the best interest of the College requires a different limit.

II. B. 3. Class Attendance by Students

Students are expected to attend classes regularly and to participate fully in class activities. Students who are absent from class, for whatever reason, are still responsible for all assigned work.

Instructors may adopt more specific attendance policies. Such policies should be announced to students at the start of the term, preferably in writing. (See "Attendance" in the College Catalog for further information.)

Any student who fails to attend the first day of class and who has not received an excused absence from the Dean's Office before the first class meeting may be dropped by the professor from that course.

Unexplained absences of more than one week by any student should be reported to the Dean of Students. Faculty will be notified by the Dean of Students of any student who is in the hospital, absent for a serious illness, or has withdrawn from the College.

II. B. 4. Academic Honor System

All academic work at Knox is governed by an honor system. Academic dishonesty of any sort, including all cases of plagiarism, should be reported to a co-chair of the Honor Board. Ignoring violations is incompatible with the integrity of the academic process at Knox and is inconsistent with the operation of the honor system.

Faculty members usually discuss any doubts concerning the integrity of a student's work with the student concerned. If unanswered doubts remain, the faculty member is obliged to report the facts to the Honor Board. In all cases disciplinary action is to be taken only by the Honor Board after investigation and a determination of guilt or innocence.

Faculty members should make explicit their policies regarding such matters as studying together. Unless otherwise stated, students are to assume that cooperation on assignments is not permitted and that all examinations are "closed-book".

Faculty members are not to proctor tests. If they choose to leave the room they should make their whereabouts known to the students. Students must take all tests in the public spaces of the building in which the test is given unless the instructor specifies otherwise. Faculty members may, for good reason, set special conditions for the taking of a particular examination. In such cases the faculty member must announce and explain the conditions when the examination is given and should do so only after consulting with the Associate Dean of the College and a member of the Honor Board.

(For further information, see sections on the Honor Code, Honor Board, and an Honor Code FAQ for Faculty)

II. B. 5. Examinations and Papers

Tests are administered during the term at the discretion of the instructor. Students should be kept informed of their progress in the course by tests, assignments, or other means suitable to the course. Interim ("mid-term") grades are requested for students in their first term at Knox.

Final examinations, if held, must be held according to the published examination schedule; changes may not be made without prior approval of the Dean of the College who usually requires that every member of the class freely agree to the change. (As mandated in Faculty Regulations, examinations may not be scheduled in the final week of classes as a substitute for a final examination at the scheduled time.)

The assignment of written work, such as reports, essays, or research papers, is encouraged in all courses. All written assignments, including tests, are to be evaluated and returned promptly.

II. B. 6. Students in Difficulty

Instructors are urged to respond promptly when they see evidence of students in academic difficulty. The academic term moves swiftly and early detection of academic struggles can benefit students immensely. While it is entirely appropriate for instructors to raise their concerns with students directly, it is essential that instructors realize that they are not alone in this process. Submitting an Early Alert (www.knox.edu/earlyalert) is a good first step. Since it is not easy to determine the sources of such difficulties or have a comprehensive sense of their degree and urgency, sharing information through Early Alert assures that the information gets to offices that can develop a comprehensive assessment. Instructors should not hesitate to contact the Associate Dean of the College, the Dean of Students, or, in cases of serious concern for a student's welfare, Campus Safety (extension 7979) or emergency services (i.e., 9-1-1) if they have urgent concerns.

II. B. 7. Grading (See also Faculty Regulations C. 7.)

All grades shall be given strictly on the basis of performance in courses and for no other consideration.

The grades used at Knox are defined in Faculty Regulations C 7.1 through C 7.9.

No established grading curve or percentage of each grade is expected in each course. However, "grade inflation" is discouraged. Each year a study of the all-college distribution

of grades and the grade distribution of the individual instructor is supplied to each faculty member and to the Dean of the College.

Faculty members may occasionally use student assistants to check routine assignments such as language exercises. However, care must be exercised in the selection and oversight of such assistants and responsibility for grades rests solely with the faculty member.

II. B. 8. Student Records

All student educational records of the College are managed in accordance with the provisions of the Family Educational Rights and Privacy Act of 1974, as amended. Student grades may not be made public without the student's permission. For example, grades identified by student names, initials, or identification numbers should not be posted. (For further details, see Appendix D.)

Students have the right to inspect their official records. "Official records" do not include a faculty member's personal files but do include all material in the official files in the Registrar's Office or the Office of Student Development.

Questions should be addressed to the Registrar's Office or the Office of Student Development.

II. B. 9. Orientation and Registration

An extended orientation for new students is held before fall term and limited orientation before other terms. Registration is held before or at the start of each term. Faculty are expected to be available to assist with these procedures if requested to do so.

II. B. 10. Student Evaluation of Courses

Student evaluations of courses are requested every term for courses taught by non-tenured members of the faculty and two terms out of three for all tenured faculty. Questions of policy should be addressed to the chair of the Faculty Personnel Committee or to the Dean of the College.

II. B. 11. Disability Support Services

Consistent with Section 504 of the Rehabilitation Act of 1973, the College makes every effort to provide appropriate academic accommodations for students who provide sufficient documentation for a specific and substantially limiting physical impairment,

psychological impairment, or learning disability. Common accommodations include but are not limited to the provision of note takers, extended periods of time for examinations, relocation of class meetings to accessible facilities, and recommendations for alternative testing formats. The Director of the Office of Disability Support Services is responsible for the processing of requests, the review of disability document, and the determination of appropriate accommodations. In cases of disability accommodation other than academic accommodation, the director will coordinate the accommodation request with the appropriate College office(s).

II. C. Advising

Advising is part of the responsibility of faculty. Good advising relies on faculty concern for the questions students have about their studies, their intellectual and personal development in and out of the classroom, and their goals after graduation. Advisors can make a critical contribution to students' success at Knox by helping students make thoughtful decisions based on a full understanding of the alternatives. Moreover, for many students an advisor is the one constant from term to term; advisors should know, understand, and appreciate each individual as such, so that a person's larger concerns are taken into account in the advising process. An important component of the advising of first- and second-year students is the development of the student's educational program, which should include plans for a major, minor, and satisfaction of graduation requirements. Well-planned advising sessions are one way to help students to reflect on their education so far and to make plans for the future.

Providing accurate information to students is an important part of the advising process. Every faculty member is expected to know the graduation requirements and other academic regulations and policies of Knox College, or to know how to find out such information. Faculty members should be familiar with information in the Knox College Catalog, the Student Handbook, and Faculty Regulations. Faculty should also be familiar with the places they may turn for assistance, e.g., the Associate Dean of the College for interpretation of academic rules and procedures or for suggestions on planning strategies; the Student Development staff and the College counselors for students with personal problems; the Center for Teaching and Learning for students with study skill problems; the Office of Disability Support Services for students seeking academic accommodations; the Director of the Bastian Career Center and the faculty members designated as pre-professional advisors (e.g., Law, Medicine) for career information.

Advisors for first-year and other new students are assigned by the Associate Dean of the College; in the event of incompatibility, either the student or the faculty member may request a change. After a student declares a major, a member of the major department becomes the student's advisor. In all cases the advisor's responsibility is to help the student plan a liberal education, not just the major; advisors can give significant help to students as they choose among the many courses and programs available. Care should be taken to help students plan on-time completion of graduation requirements.

Exceptions to general education requirements are almost never granted; therefore, no student should be encouraged to expect that an exception will be granted.

Care should be taken to help students plan so that they meet the prerequisites for off-campus programs or for cooperative programs leading to professional degrees. Students should consult with the faculty members designated as advisors for these programs.

II. D. Other Matters

II. D. 1. Curriculum Development

Proposals for new courses should first be discussed with various interested parties, e.g., departmental colleagues, those in other departments with similar interests, and the department chair and the Dean, who must consider the overall curriculum and all staffing obligations. All new courses require the approval of the department chair and of the Curriculum Committee. Forms for requesting approval may be obtained from the Registrar's website: <http://www.knox.edu/registrar.xml>. Special topics courses are temporary offerings for special purposes. Unless a specific limitation is set, regular courses are approved until approval is cancelled.

Faculty are encouraged to develop courses appropriate to their abilities and the needs of students.

II. D. 2. Scholarship; Institutional Service

For the official statement of responsibilities of faculty members for scholarship and institutional service see Faculty Handbook Section III.B., Criteria for the Evaluation of Faculty. Questions should be addressed to the Dean.

II. D. 3. Convocations

It is the responsibility of faculty members to take part in the academic processions that occur during the academic year. The regularly scheduled processions are at the opening convocation in the fall and at Commencement. Faculty members are asked to inform the Grand Marshall when circumstances necessitate their absence.

II. D. 4. Investigations Involving Human Subjects

Knox College accepts the principle of careful supervision of all demonstrations, investigations, and research involving human subjects in order to assure adequate safeguards for the subjects. The Institutional Review Board was established to review all proposals for such investigations. Any questions about principle and procedure should be taken to the chair of that committee or the Dean. (For further details, see Appendix C-- Policy Concerning Investigations Involving Human Subjects.)

Under various laws and regulations, an investigator has a personal responsibility in the conduct of research and personally is liable conduct that fails to meet official standards applicable to the activities in which the investigator is engaged.

II. D. 5. Knox College Drug and Alcohol Policies

Knox College, as a recipient of federal funds, must abide by the Drug-Free Workplace Act of 1988 and the Drug Free Schools and Communities Act Amendments of 1989. For the full text of college policies on drug and alcohol, see the Appendix G.

II. E. Discrimination and Sexual Harassment

1. Reporting Protocol for Discrimination, Harassment, and Bias Incident(s)

<https://www.knox.edu/about-knox/our-values/culture-of-respect/report-it>

<https://www.knox.edu/about-knox/our-values/culture-of-respect/reporting-bias-incidents>

2. Policy Against Discrimination and Harassment

Knox College affirms its commitment to create and maintain an environment free from acts of Title IX Sexual Harassment and Sexual Misconduct and to foster within that environment respect for the dignity of all members of the community. Accordingly, Knox College will not tolerate any acts of Title IX Sexual Harassment or Sexual Misconduct.

[Policy Against Discrimination and Harassment \(PDF\)](#)

Knox has established a Policy Against Title IX Sexual Harassment and Sexual Misconduct that articulates the College's set of behavioral standards, common understandings of definitions and key concepts, and descriptions of prohibited conduct.

[Pregnancy Modifications Policy](#)

The College is committed to providing all students and employees with the opportunity to pursue and attain their individual goals as it relates to the College's admissions, employment, and educational programs or activities. This commitment includes the College's students and employees who are pregnant, parenting, or experiencing pregnancy related conditions. The College prohibits differential treatment or discrimination against students and employees based on the student or employee's current, potential, or past parental, family, marital status, or pregnancy or related condition.

3. Appendix B. Statement on Romantic or Sexual Relationships Between Students and Knox College Employees (See Appendices)

4. **Knox Notice of Non-Discrimination (Rev. 7.2024)**

In keeping with its commitment to equal rights since it was founded in 1837, Knox College particularly welcomes applications from members of underrepresented groups. Knox College does not discriminate on the basis of 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, veteran status, or other status protected by applicable federal, state, or local law in admission, financial aid, employment, athletics, or any other aspect of its educational programs or activities. In addition, Knox College is prohibited by Title IX of the Education Amendments of 1972 and its accompanying regulations from so discriminating on the basis of sex.

The College official responsible for coordinating compliance with this Notice of Non-Discrimination is the Director of Title IX and Civil Rights Compliance. Any inquiries regarding Title IX or the College's policies that prohibit discrimination and harassment should be directed to the Director of Title IX and Civil Rights Compliance identified below. The coordinator will be available to meet with or talk to students, staff, and faculty regarding issues relating to this Notice of Non-Discrimination and the College's policies and procedures.

Director of Title IX and Civil Rights Compliance

Old Jail 12 | Campus Box K-209

337 South Cherry Street

Galesburg, IL 61401

Phone: 309-341-7751

Email: cultureofrespect@knox.edu

Inquiries about the application of Title IX to Knox may be referred to the Director of Title IX and Civil Rights Compliance, the United States Department of Education's Assistant Secretary for Civil Rights, or both. Individuals may also contact the U.S. Department of Education's Office of Civil Rights for additional information.

Office for Civil Rights

U.S. Department of Education-Chicago Office

500 W Madison St., Suite 1475

Chicago, IL 60661-4544

Phone: 312-730-1560

Email: ocr@ed.gov

Inquiries regarding the College's policies regarding the Americans with Disabilities Act of 1990 ("ADA"), or Section 504 of the Rehabilitation Act of 1973 ("Section 504") should be directed to either the Human Resources Manager or Director of Disability Support Services identified below.

For Employees:

Human Resources Manager

Shannon Lewis

Administrative Services Bldg - 112 | Campus Box K-200

368 South Prairie
Galesburg, IL 61401
Phone: 309-341-7474
Email: shlewis@knox.edu

For Students:

Director of Disability Support Services
Stephanie Grimes
Umbeck Science and Math Center E111 | Campus Box K183
340 South West Street
Phone: 309-341-7478
Email: sgrimes@knox.edu

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III. Faculty Personnel Policies

III. A. Initial Appointments

III. A. 1. Authority to Appoint

Appointments to the Faculty are made by the President, under authority delegated by the Board of Trustees. Decisions by the President on review of faculty personnel are made after receiving recommendations from the Dean of the College and the Faculty Personnel Committee. Knox is an equal opportunity employer. (For the College's Policy on Non-Discrimination, see above, Section II. E. 1.)

III. A. 2. Hiring Procedures

Since the nineteenth century Knox College has worked to attract some of the best qualified faculty members in the country. The College is especially committed now to recruiting among the most highly qualified those who are women and members of other groups underrepresented in higher education.

All faculty anticipating searches should, at the earliest stages, familiarize themselves with the faculty hiring Guide, *Hiring Great New Colleagues*, available from the Dean's Office.

The procedure leading up to an appointment normally is as follows:

1. department consultation with the Faculty Affairs Subcommittee regarding departmental and the College's curricular need;
2. recommendation by FASCom to the Dean and President regarding the appointment;
3. authorization of the faculty search by the President;
4. appointment by the Dean of a search committee, frequently chaired by the department chair, and including one or two faculty from outside the department;
5. consultation of department chair with Dean regarding appropriate advertisement of opening and solicitation of applicants, including identifying and attracting minority candidates;
6. screening of applicants and creation of an affirmative action log; screening may include telephone interviews or meetings scheduled at national scholarly conferences;
7. review, with the Dean, of the top candidates and of all those known to be female or minority candidates;
8. campus interview of the top one, two, or three applicants, authorized by the Dean; the interview involves department members, students, the Dean of the College, and

the President, and, if appropriate, other faculty members and/or representatives of the Faculty Personnel Committee;

9. consultation between the chair of the search committee and the Dean about the strengths and weaknesses of the candidates' ability to contribute both to the department and the College, followed by a recommendation to the President;
10. authorization by the President; offer made by the Dean.
11. report to the Affirmative Action Officer by the search committee chair of steps taken to identify and recruit minorities.

III. A. 3. Terms of Appointment: Rank and Duration

Initial appointments of full-time teachers with a Ph.D. or other appropriate terminal degree are normally made at the rank of assistant professor and for the term of two years. A subsequent contract is usually for three years, and again renewable for two years.

If the individual has not yet completed the appropriate degree, the initial appointment is usually made at the rank of instructor. A faculty member who has not completed the required final degree is expected to do so prior to the time for consideration of renewal of the second one-year contract. A faculty member shall not serve at the rank of instructor for more than two years, except upon special recommendation of the President.

A teaching member of the faculty shall have tenure at Knox College when so voted by the Board of Trustees. If tenure is to be granted, it will be voted before a faculty member completes seven years of full time employment at Knox College at the rank of instructor or above.

Appointments of those who do not have full-time teaching duties but who are granted faculty rank are not governed by the rules for appointments of those with full-time teaching duties.

(See the section of the College By-Laws on "Faculty" for further details.)

III. B. Criteria for Evaluation of Faculty

Faculty Handbook Revision Effective - September 2001
Distributed again via e-mail - October 2006

The performance of a faculty member is subject to periodic review by the department chair and by others including the Dean and Personnel Committee. The purposes of review are two: to provide information for decisions on reappointment, promotion, and salaries, and to provide information to assist faculty members with their professional development. All faculty members are reviewed each year in connection with decisions on salaries. More extensive evaluations are done when consideration is given to renewal of appointment or to promotion in rank.

The official Knox College statement on the criteria for evaluating faculty follows.

General Policy

As an undergraduate college, Knox is primarily concerned with the effectiveness of the teaching of its students and the maintenance of an academic environment and educational programs which promote learning for student and faculty colleagues alike. Among the aims of utmost importance at the College is that of securing and retaining a faculty characterized by the highest standards. Excellence in teaching, appropriately informed by research and other creative work is a necessary requirement for favorable evaluation. But effectiveness in teaching is not in itself sufficient for the highest evaluation; rather the individual should demonstrate as well superior performance in scholarship and appropriate service to the institution.

A favorable evaluation for tenure requires not merely a judgment that the candidate is satisfactory but a high degree of enthusiasm for the candidate's qualifications. The case made should not be merely reasonable; it should be compelling beyond reasonable doubt. The demonstration of scholarly competence is an important criterion for the granting of tenure and evaluation will be sought from recognized scholars in the faculty member's field who are not colleagues on campus.

1. Teaching Effectiveness

A faculty member must show superior capacity to engage students in the pursuit of knowledge through study and research. In this regard, the qualities sought include command of and enthusiasm for the subject, expository ability, understanding of and empathy for students, and an ability to excite intellectual curiosity. Part of effective teaching is the willingness to participate conscientiously and responsibly in the guidance and advising of students, in the development of courses and instructional materials, and, where appropriate, in the mentoring of student research.

2. Scholarship and Other Creative Work

Scholarship, research and creative work inform good teaching and foster the

continuing growth and quality of mind necessary to maintaining a stimulating intellectual environment. Publication is the most obvious demonstration of significant research, but presentation of papers at professional meetings, scholarly consultant reports, art exhibitions and slide talks, musical composition and performances, theatre productions and performances, literary readings, etc., are also appropriate evidence of the recognition of quality by the higher education community beyond the campus. The work should demonstrate originality, felicity of expression and control of material. Other qualities sought might include incisiveness, sophistication of mind and a sense of craft.

2. a. Professional Practice. Faculty appointed as “professors of practice” are expected to demonstrate sustained professional engagement to foster continuing growth, to inform good teaching, and to contribute to the College’s programs. The field or area of practice will be established in the letter of appointment. Evidence of sustained professional engagement could include, but is not limited to, significant additional accomplishments in the field of appointment; leadership in the field of one’s professional work; service on boards and professional organization; advisory or consultative appointments in the public or private sector; and additional professional development in the field of appointment. Professors of practice may pursue scholarly and creative work as evidence of sustained professional engagement.

3. Institutional Service

Knox College expects and values constructive and cooperative participation in the faculty governance structure necessary for the running of the College. This includes service on committees and responsibility for certain department affairs, and contributions to student life. Public service or similar activities may be considered in this area of performance.

4. Institutional Need

It should be emphasized that to the individual qualities alluded to above there must always be added a judgment of past performance and the potential for the faculty member as they relate to the projected needs of the College in specific areas of the educational program and in academic leadership. Included in a consideration of the needs of the College will be numbers of faculty with tenure appointments both within a given department of instruction and in the College as a whole.

III. C. Evaluation of Untenured Faculty

Faculty Handbook Revision Effective - September 2001

Calendar Updated – September 2014

COVID-19 Provisions – September 2020

III. C. 1. Renewal of Appointment

The status of non-tenured faculty members is reviewed prior to decisions on renewal of appointment. For those with full-time teaching duties the notification deadlines established by the Board of Trustees are: by **March 1** for those in their first year of full-time service at Knox; by **December 15** for those in their second year of full-time service at Knox; by **July 1** before the final year of appointment for anyone who has served for at least two years at Knox (as specified in the Knox College By-Laws). These deadlines do not apply to those with less than full-time teaching duties to whom faculty rank has been granted.

At each review, an attempt is made to assess the likely quality of the future professional performance of the individual. During the probationary period the College expects to see a promising development of the individual as teacher and scholar. At each renewal, particularly during the fourth year of service, the question is asked whether that development is of a quality which is consistent with an eventual award of tenure. However, while the question is asked (and normally must be answered positively for renewal), an interim renewal of appointment does not imply that tenure will be granted at a later date; a decision to deny tenure can in no way be foreclosed by earlier renewals of appointment.

III. C. 2. Promotion

Promotion from instructor to assistant professor is always considered by the President when an instructor completes the doctorate or appropriate terminal degree. Promotion from assistant professor to associate professor is always considered as part of the evaluation for tenure.

III. C. 3. Provisions in Response to the COVID-19 Pandemic

These provisions have been added to the *Faculty Handbook* in response to the COVID-19 pandemic and apply to all untenured faculty holding tenure-track positions during Spring term 2020 through spring 2021.

III. C. 3. a. One-Year Extension of the Probationary Period

All tenure-track faculty who did not complete a tenure review by spring 2020 automatically receive a one-year extension to their probationary period. Reviews for

contract renewal in the 2nd and 4th year will occur according to the original timeline established at the time of the initial appointment. Normally, faculty governed by these provisions would undergo review for tenure and promotion in the seventh year after the initial appointment. The faculty member retains the option to be considered for tenure in the sixth year after the initial appointment. The faculty member will be given the opportunity to exercise this option in the spring before the sixth year.

This provision is unrelated to the “Tenure Clock Extension Policy,” Appendix O, which applies independently to all untenured faculty.

III. C. 3. b. Start-Up Funds and Other Contract Elements

Timelines for use of start-up funds and other provisions in the initial contract letter are automatically extended by one year.

III. C. 3. c. Materials for Evaluation

Course evaluations from the Spring term 2020 will not be shared with department chairs and will not be provided to the Faculty Personnel Committee and the Dean as they would normally be handled according to III. E. 1. b. Individual faculty may include these evaluations in their review dossiers at their discretion.

III. C. 3. d. Additional modifications

Other policies related to length of service (e.g., sabbatical leaves, promotion to professor, compensation, fringe benefits) are unaffected by these provisions unless modified by explicit provisions in future versions of the *Handbook*.

III. D. Evaluation of Tenured Faculty

Faculty Handbook Revision Effective - September 2001, distributed via e-mail and posted on the website

Distributed again via e-mail - October 2006

III. D. 1. Promotion to Professor

The rank of professor must be earned. It does not come automatically with longevity. The record must show not only a strong performance as a teacher but also, and especially, the quality and quantity of scholarship and creative work to be expected of a full professor and senior member of the College faculty.

Evaluation is begun after an informal discussion of the Dean and the chair of the department (or other senior members if the candidate is the chair). Usually this discussion

is initiated by the chair, but may be initiated by the Dean or at the request of the Faculty Personnel Committee. If this informal discussion indicates a reasonable probability that the individual is ready for promotion, then the formal process is begun. The minimum length of service at the rank of associate professor prior to consideration for promotion to full professor is usually six years. Obviously if the record of scholarship and teaching is not particularly strong, promotion would not come at this early date.

The procedures for evaluation for promotion to professor are the same as those used for evaluation for tenure.

III. D. 2. Other Evaluations

The Dean or the Faculty Personnel Committee may seek thorough evaluation of a tenured member of the faculty from time to time to assess performance or progress.

III. E. Procedures for Review of Faculty for Reappointment, Tenure, and Promotion

Faculty Handbook Revision Effective - September 2001
Calendar Updated - September 2014

III. E. 1. Material to Be Gathered

In all reviews of faculty for reappointment, tenure and promotion, the materials utilized are as specified below. Care is taken to ensure that the Faculty Personnel Committee, the Dean and the President will all have identical materials in the review files for each candidate. No anonymous materials may be included in the review files for any candidate.

III. E. 1. a. Material Provided by the Candidate

The candidate provides the required material submitted electronically to the Dean's office. These materials will be shared by the Dean of the College with the Faculty Personnel Committee and the President.

The candidate provides current curriculum vitae, which should include the following with dates:

- Degrees earned
- Professional experience prior to appointment at Knox
- Honors and awards, promotions and leaves

- List of fields or areas, both within and outside the candidate's discipline, in which the candidate has taught, at Knox or elsewhere, or is prepared to teach
- List of publications with full citations
- List of exhibits, performances and other professional creative works
- List of significant service to Knox College, such as committees, admissions work, etc., including service to the larger community if that service is of substantial benefit to the College

The candidate should also provide:

- Copies of all publications to the Dean's office. Candidates in the arts should submit appropriate comparable evidence of professional work and achievement as determined by the standards in their respective fields.
- A narrative on teaching and pedagogy. The teaching narrative should include reflection on pedagogical goals, methods, in-class and out-of-class instruction, and assessment of student response to courses with discussion of pedagogical changes considered and implemented relative to student response and success. It should also include discussion of formal and informal teaching encounters with students, as well as Independent Study and Honors mentorship.
- A narrative on scholarly and creative agenda. The scholarship/creative work narrative should explain the nature of the faculty member's original research and/or other creative work and its relationship to teaching. The narrative should convey the professional context of publications, presentation, or performance outlets venues and indicate the nature of peer review.
- A narrative on service. The service narrative should address departmental and institution-wide service as well as service in community and professional settings outside the College.
- Any other pertinent evidence or evaluation of professional activities and development which the candidate may wish to submit (e.g., reviewers' reports on works not yet published, reviews of published books, presentations, or performances.)
- For promotion and tenure candidates, the names of three persons the candidate wishes to suggest as external evaluators of scholarship, creative work and other professional contributions (including addresses and a brief statement of each person's qualifications for this assignment.) These names are submitted to the Dean.

III. E. 1. b. Other Material for the Faculty Personnel Committee and the Dean

1. Courses Taught at Knox. A list of the courses and other teaching assignments the candidate has taught at Knox and their enrollments is prepared by the Registrar for the Dean and shared with the Personnel Committee.
2. Student Course Evaluations. Student course evaluation summary data are regularly sent to the department chair, Faculty Personnel Committee and the Dean. Student course evaluations must be completed for all classes and laboratories taught by all untenured faculty. For tenured faculty, student course evaluations are completed in two terms every year (in the fall and winter one year, and then in the fall and spring the next year); anyone wishing to have all classes evaluated may request such at any time.
3. Information on Grades. Grade distribution reports are prepared by the Registrar and distributed annually to the Dean; each faculty member receives his or her individual report. Grade distribution reports for faculty members reviewed for reappointment, tenure and/or promotion are provided to the Faculty Personnel Committee.
4. Advisees' Comments. The Associate Dean of the College requests of past and present advisees of the candidate comments on the quality of academic advising. The Associate Dean of the College also provides an evaluation of the quality of advising. Copies of these items go to the Dean and Faculty Personnel Committee.
5. Other Letters of Evaluation. The Dean and the chair of the Faculty Personnel Committee may ask for letters of evaluation from persons able to evaluate any significant aspect of the candidate's professional qualities.
6. Any other information deemed pertinent to a review of professional standards may also be included in the dossier.

For review for tenure and/or promotion to associate or full professor rank:

7. Assessments of the Candidate's Scholarship and Creative Work by External Reviewers. It is regular practice to seek outside evaluation for faculty under review for tenure or promotion. At least one reviewer is selected from the list of three suggestions submitted by the department (see III.E.2.F, below), at least one from the list of three suggestions submitted by the candidate, and at least one selected from a list proposed by the President, the Dean, and Faculty Personnel Committee jointly if such additional inquiry is desired. In the event of consultation with the department chair prior to the final decision by the President, the professional appraisals by outside evaluators may be shared in confidence with the chair, although the identity of the authors is not revealed.

III. E. 2. Departmental / Program Review

1. The department chair affords each department member under review the opportunity to submit material pertinent to the department's consideration.
2. The department's deliberations are conducted in formal meetings and in strictest confidentiality; all tenured members of the department must participate, except for those on sabbatical leave and those who are recused. The names of those participating in the review must be determined by September 1 of the year of the review and shared with the member under review.
3. When there are two or fewer tenured members of the department, the Dean and the Faculty Personnel Committee will appoint a review committee of tenured faculty to perform the normal departmental role in personnel matters. All review committees should have a minimum of three members.
4. The chair writes a draft statement of the department's recommendation, summarizing the points of view presented, including difference of opinion, if any, and attempts to make as intelligible as possible the nature of the department's consensus.

The chair is asked to write specifically and analytically on:

1. the candidate's role in the department and contribution to its curriculum;
 2. the candidate's teaching performance;
 3. the quality and extent of publications and presentations, research and creative work in progress or their equivalent;
 4. significant contributions to Knox College beyond the department including to relations between the College and the larger community.
5. All department members involved in the review must approve and sign the Department's recommendation letter.
 6. The Department's recommendation is forwarded to the Dean and to the Faculty Personnel Committee. If the Dean or the Chair of the Faculty Personnel Committee finds the departmental recommendation insufficiently detailed, they will request the department chair to revise the report.
 7. The department chair must share the departmental letter with the person under review at the time it is sent to the Dean and to the Faculty Personnel Committee. If the departmental recommendation is negative or if it contains substantially negative concerns, the candidate is given a chance to respond in writing. Copies of such a response should be submitted to the Dean and to the Faculty Personnel Committee by a date determined by the Faculty Personnel Committee.
 8. When the faculty member is to be reviewed for tenure and/or promotion, the chair gives to the Dean the department's recommendations of three outside evaluators of the professional contributions (research, publications, creative activity, etc.). The qualifications of each of the recommended evaluators should be indicated. (The candidate is also asked to submit three names to the Dean, see III.E.1.b.8.)

III. E. 3. Review Procedures for the Faculty Personnel Committee, The Dean And The President

1. Confidentiality is maintained by the Faculty Personnel Committee, the Dean and the President in all deliberations and matters involving the evaluation of individual faculty members for appointment, reappointment, termination, promotion, tenure, and salary review.
2. After the departmental recommendation has been received by the Faculty Personnel Committee and by the Dean of the College, the Faculty Personnel Committee reviews each case and agrees on a recommendation. The recommendation, if written, remains part of the Committee's records and is not part of the candidate's review file.
3. The Dean independently reviews each case and develops his or her own recommendation. The recommendation, if written, remains part of the Dean's records and is not part of the candidate's review file.
4. The committee and the Dean then meet with the President at which time both the Dean and members of the committee report their respective view of each case. Each case is then discussed extensively with the final decision resting with the President. The President's final decision, conveyed in writing to the candidate, becomes part of the review file as well as the faculty member's permanent employment file.

III. E. 4. Role of the President, Board of Trustees, and Dean

The final decision on all REAPPOINTMENTS AND PROMOTIONS rests with the President. The Board of Trustees grants tenure upon the recommendation of the President.

The Dean is responsible for communicating in writing to the candidate the substance of the evaluation. The Dean's written summary becomes part of the candidate's review file.

III. E. 5. Calendars for Reviews for Reappointment, Promotion, and Tenure

The following calendars show the dates recommended for each step of the procedure to keep the review process "on track" and will be followed as closely as possible. By the Knox College By-Laws, adopted by the Trustees, the final deadlines for notification of reappointment are binding on the College, but only for full-time teaching faculty.

By December 15 notification. This calendar applies to full-time teaching faculty in their second year at Knox, i.e., on an initial two-year contract or a second one-year contract.

By March 1 notification. This calendar applies to full-time teaching faculty in their first year at Knox, i.e., an initial one-year contract.

By July 1 notification. This calendar applies to full-time teaching faculty with two or more years of service at Knox including those being reviewed for tenure. July is the date required by Knox College By-Laws; notification is often given earlier, usually by June 1.

Promotions. This calendar applies to associate professors being considered for promotion. There is no required date for notification.

Review Calendars

Faculty beginning tenure line appointments before the 2014-2015 academic year have two review calendar options, both included here. Faculty beginning tenure line appointments during or after the 2014-2015 academic year must use the “new” calendar.

By May 1 prior to the academic year in which the candidate will undergo review, the candidate must select a review calendar option and notify the Department chair and the Dean of the College of that selection.

NEW Calendar - available for faculty who started tenure-line appointments prior to the 2014-2015 academic year and required for faculty who started tenure-line appointments in 2014-2015 academic year and after.

**RENEWAL OF NON-TENURED APPOINTMENTS
AND TENURE AND PROMOTION CALENDARS**

<i>Date</i>	<i>Who responds & when</i>	<i>The 2nd Year Review</i>	<i>The 4th Year Review</i>	<i>Review for Tenure</i>	<i>Review for Full</i>
<i>notification deadlines --></i>		<i>Dec. 15 of 2nd year</i>	<i>July 1 of 4th year</i>	<i>July 1 of 6th year</i>	<i>None</i>
Dean notifies in May	candidates & dept. chairs	Dean notifies candidate and dept. chair of: review, important dates, needed materials.			
Dean notifies in May	All faculty Due: July 1	Dean requests CV updates from all faculty members.			
Dean notifies in May	Dept. Chair Due: Sept. 1				Dean solicits names of 3 external reviewers from department of the candidate to be reviewed.

Dean notifies in May	candidate Due: Sept. 1		Dean solicits names of 3 external reviewers from the candidate to be reviewed.
	All faculty Due: July 1	Faculty submit CV updates online.	
Candidate and dept. chair discuss in early Sept.	Dept. Colleagues Complete: before dept. letter due.	Dept. colleagues visit class(es) to support review of teaching in the dept. review letter. Candidate and dept. chair consult with dept. colleagues on dates.	
	Candidates Due: 3rd Friday in September	Candidate submits dossier electronically as a shared Google Drive folder.	
	Tenure and Promotion Candidates Due: 3rd Friday in September		Candidates for tenure and/or promotion must submit an additional folder for external reviewers.
Dean solicits by Early October			Dean solicits assessments from 2 external reviewers.
	Dept. Chairs Due: Nov. 1	Dept. letter submitted to Dean and FPC. Soon after dept. chair must convey substance of dept. review to candidate.	
	By mid Nov.	FPC and Dean complete independent reviews and draft recommendations, sharing their recommendations simultaneously before the meeting with the President.	

	Mid - late Nov.	President, Dean and FPC meet to discuss independent recommendations of review candidates. President makes decision.	
	By Dec. 15	a) Dean or President conveys the substance of the review and the decision. b) Dean notifies candidate of decision in a letter and invites candidate to discuss the review with the Dean.	
	By Feb. 1.		Dept. letter to Dean and FPC. Dean sends copies of outside review letters to FPC. Soon after dept. must convey substance of dept. review to candidate.
	Early March		FPC and Dean complete independent reviews and draft recommendations, sharing their recommendations simultaneously before the meeting with the President.
	Mid March		President, Dean and FPC meet to discuss independent recommendations of review candidates. Ultimately, it is the president who makes final recommendation for tenure and decision for promotion.
	Commencement Board Meeting		Dean presents cases to Board's Academic Affairs Committee and (full) Board votes whether to accept President's recommendations for awarding tenure and promotions in rank.

	No later than July 1		Faculty are notified of the outcome of the review process. Community is notified of positive decisions on tenure and promotion cases.
	Summer & Fall following decision		Faculty are invited to discuss their review with the Dean.

OLD Calendars - Available for faculty who started tenure-line appointments prior to the 2014-2015 academic year.

**Calendars for Notification:
*Renewal of Non-Tenured Appointments***

The dates for each step are only approximate dates used to insure timely completion of the review process. The notification deadline required by the Board of Trustees for faculty teaching full time is at the top of each column.

Notification deadlines	Dec 15	Mar 1	July 1
Dean notifies candidates, departments, and all others required to submit material, of the names to be reviewed and the material needed.	Sept 15	Oct 15	Oct 1
Candidates submit their material to the Dean and department chair.	about Oct 1	about Dec 1	about Nov 1
The Dean and Faculty Personnel Committee consult on letters of evaluation, if any, to be requested.	about Oct 10	about Dec 1	about Dec 1
Department completes its review and chair writes a recommendation. Supporting material is passed on to the chair of the Faculty Personnel Committee. The Dean and the Faculty Personnel Committee share the other evidence. The Dean provides copies of outside evaluations to the Faculty Personnel Committee.	about Oct 20	about Jan 20	about Mar 1
The Faculty Personnel Committee completes its initial review.	about Nov 15	about Feb 10	about Apr 1

<p>Meetings of the President, Dean and Faculty Personnel Committee to discuss candidates and recommendations. Time to formulate recommendations by committee and by Dean, and President to make final decision.</p>	<p>-- after previous step --</p>		
<p>(a) Dean conveys to candidates the substance of the evaluation and the decision. (b) Each candidate is notified of the decision in writing.</p>	<p>by Dec 15</p>	<p>by Mar 1</p>	<p>by July 1</p>

**Calendars for Notification:
Tenure and Promotions**

The dates for each step are only approximate dates used to insure timely completion of the review process. The notification deadline required by the Board of Trustees is at the top of each column.

Type of Review	Tenure	Promotion to Professor
Notification deadline	July 1	None
<p>Dean notifies candidates, departments, and all others required to submit material, of the names to be reviewed and the material needed.</p>	<p>Oct 1</p>	<p>Oct 1</p>
<p>(a) Candidates submit their materials to the Dean and department chair. (b) Department submits to Dean the names of three suggested outside evaluators.</p>	<p>about Nov 1</p>	<p>about Nov 1</p>

Dean and Faculty Personnel Committee consult on letters of evaluation to be requested. Two or more outside evaluators are selected.	about Nov 10	about Nov 10
Department completes review and chair writes a recommendation. Supporting material is passed on to the chair of the Faculty Personnel Committee.	by Feb 1	by Feb 1
Dean and the Faculty Personnel Committee share the other evidence. Dean provides copies of outside evaluations to Faculty Personnel Committee.	about Mar 1	about Mar 1
Meetings of President, Dean, and Faculty Personnel Committee to discuss candidates and recommendations.	May	May
President or Dean conveys orally to candidates the recommendation that will be brought to the Trustees (for tenure candidates) or the final decision (for candidates for promotion to Professor)	by early June	by early June
President makes recommendation to Board of Trustees	early June	NA
Each candidate is notified of the decision in writing. The Dean conveys to candidates the substance of the evaluation and the decision.	by July 1	by July 1

III. F. Tenure, Termination, Resignations, Retirement

III. F. 1. Tenure

According to the Knox College By-Laws, teaching members of the faculty shall have permanent or continuous tenure at Knox College when tenure has been voted by the Board of Trustees, or when the faculty members have been employed on a full-time basis at the rank of instructor or above for seven years at Knox College, unless, prior to the completion of the last year of service, they are notified of the termination of their services. (See Knox College By-Laws.)

Individuals granted faculty rank, who do not have full-time teaching duties, are not automatically eligible for tenure. This category includes both part-time employees, and those full-time employees who have other duties such as administration or coaching.

III. F. 2. Termination of Service

For the complete statement on termination, see Knox College By-Laws.

1. Expiration of contracts. Term appointments may be terminated on expiration with due notice to the faculty member.
2. Termination for cause. For procedures governing termination for cause, see Knox College By-Laws, Article VI, Section 2. b. (2).
3. Financial exigency. Termination of a permanent or continuous appointment because of financial exigency of Knox College shall be determined by the Board of Trustees and shall be demonstrably bona fide.

III. F. 3. Resignations

Every effort should be made to complete negotiations with other institutions early in the academic year prior to leaving the College. Except in special or emergency cases, resignations to accept other employment should be tendered no later than **May 15**. To make due consideration and timely notice possible, responsible institutions in the United States agree not to make offers of appointment to continuing faculty at other institutions after May 1.

In general, faculty members should keep their departments and the Dean informed concerning the progress of negotiations for employment elsewhere.

III. F. 4. Retirement

A Knox College faculty member (tenured or non-tenured) becomes eligible for retirement when his/her years of service plus chronological age is equal to or greater than 70. Faculty considering retirement should consult with the Dean of the College at least eighteen months in advance and should also consult with Human Resources regarding benefits.

Faculty should notify the Dean of their intention to retire by September 1 of the year prior to retirement.

Upon retirement, the Faculty Personnel Committee will consider the faculty member for promotion to Emeritus/a status. Retired faculty may be hired for an occasional course when such hiring is to the benefit of the College and the individual.

III. G. Visiting Faculty, Professor of Practice, and Continuing Non-Tenure-Track Appointments

III. G. 1. Terms of Appointment

Appointments to the Faculty are made by the President under authority delegated by the Board of Trustees. The College recognizes that quality of the educational program is best assured through a teaching staff of full-time tenured and tenure-track faculty. Under certain special conditions, the academic program may be best served through the creation of the non-tenure-track appointments described in this section. The College will make such appointments sparingly and with great care that they not reduce the number of tenured and tenure-track faculty. Professor of practice and continuing non-tenure-track appointments normally would not exceed ten percent of the full-time faculty positions of the College.

The terms of appointment of individuals who do not hold tenure-track positions vary with the nature of the individual's assignment.

III. G. 2. Visiting Faculty Appointments

Short-term faculty leaves and sabbaticals, special conditions in certain fields of study, unanticipated enrollment demands, or other circumstances may result in the College making short-term visiting faculty appointments.

1. Visiting appointments can be made at any rank commensurate with the appointee's credentials and experience. Visiting appointments may be part-time or full-time as set forth in the letter of appointment.
2. A visiting appointment carries no expectation of continued employment beyond the period stated in the contract.
3. A visiting appointment may not exceed the equivalent of six years of fulltime employment in total.
4. A faculty member with a visiting appointment is eligible to apply for other positions at the College

III. G. 3. Professor of Practice

The Professor of Practice is a non-tenured position that brings enhancements to the curriculum and contributes to the College's mission based on significant professional experience and accomplishment in a given field. Professors of Practice hold faculty rank commensurate with each individual's level of professional expertise and experience. These contracts are negotiated individually.

1. Professor of practice appointments may be made to individuals with or without a terminal degree in the field of appointment.
2. An initial appointment of two years is considered standard.
3. After review in the second year, a professor of practice may be reappointed for up to a five-year term. Additional renewals of appointment require review in the year prior to the final year of the contract (i.e., in the fourth year of a five year contract).
4. Professors of practice will be evaluated according to the standards established in III. B. Criteria for Evaluation of Faculty.
5. A favorable evaluation renewal of professor of practice appointment requires not merely a judgment that the candidate is satisfactory but a high degree of enthusiasm for the candidate's qualifications.
6. Professors of practice not hired at the rank of full professor are eligible for review and promotion in rank according to the timetable and calendar for tenure-track assistant and associate professors, as appropriate.

III. G. 4. Continuing Non-Tenure-Track Appointments

Under special conditions in certain fields of study or other unique circumstances, a continuing non-tenure-track appointment may be made to support an academic program. A non-tenure-track appointment may be established in conjunction with an administrative appointment, but the two appointments are considered separate for purposes of evaluation of performance and renewal.

Non-tenure-track positions shall be subject to the following:

1. The College will occasionally make continuing non-tenure track appointments above the rank of Lecturer. These appointments are typically half-time appointments and no more than five-sixth-time teaching. In making such appointments, consideration must be given to the enrollment justification for the position, its role in enriching the curriculum, the credentials and professional potential of the candidate; and may include other potential benefits to the College.

2. Such appointments are possible only after an initial appointment as a visiting faculty member or lecturer. The department or program may propose a non-tenure-track appointment to FASCom, which will make its recommendation to the Dean of the College. The President has final authority to approve such appointments.
3. The term of a non-tenure-track appointment and a timetable for consideration of renewal of the appointment will be established in the letter of appointment.
4. Non-tenure-track appointments below the rank of full professor are eligible for review and promotion in rank according to the timetable and calendar for tenure-track assistant and associate professors, as appropriate. The regular procedures for promotion review will apply.
5. Faculty holding continuing non-tenure-track appointments are expected to meet the standards for tenure-line faculty for teaching. Expectations for scholarship and/or creative work and institutional service will be proportional to the FTE scope of the appointment.
6. While at the rank of assistant professor, they will be eligible for a research leave; once promoted to associate professor, they are eligible to participate in the sabbatical program, with options as indicated on the chart below.

Sabbatical options for non-tenure line positions
(Percentage of salary received for each option)

Normal load	Teach 4	Teach 3	Teach 2	Teach 1	Teach 0
5 courses	100%	83%	75%	66%	50%
4 courses		100%	83%	66%	50%
3 courses			100%	75%	50%

7. The incumbent of a continuing non-tenure-track position may decide to apply for a tenure-track opening at the College without jeopardizing his/her non-tenure-line position.

8. When non-tenure-track positions are vacated by their incumbents--either through resignation, appointment to a tenure-line position, or non-renewal of contract--the departments/programs do not enjoy the presumption of continuity of the position.

III. G. 5. Salary, Benefits, Resources, and Non-Reappointment of Visiting Faculty, Professor of Practice, and Continuing Non-Tenure-Track Appointments

1. For purposes of salary adjustments, faculty in professor of practice and continuing non-tenure-track positions will be included in the annual review for continuing full-time faculty conducted by the President, the Dean, and the Faculty Personnel Committee. Salaries for visiting faculty appointments are set in the letter of appointment.
2. Visiting faculty, professors of practice, and continuing non-tenure-track appointments are eligible for employee and faculty benefits according to the requirements of those benefits.
3. Visiting faculty, professors of practice, and continuing non-tenure-track appointments are eligible for professional development support available to tenure-track faculty (conference travel and research support).
4. Professors of practice and continuing non-tenure-track appointments are eligible for emeritus faculty status according the requirements of that benefit.
5. Non-Reappointment: Requirements for notification of non-reappointment upon the expiration of visiting faculty, professors of practice, and continuing non-tenure-track appointments are established by the Knox College *By-Laws* VII. 7.2.

III. H. Grievance Procedures

Faculty Handbook Revision February 25, 2000

III. H. 1. Overview

1. Standard for a Grievance:

The following guidelines and procedures are intended to facilitate a fair and timely review of faculty grievances in cases of perceived violations of faculty rights. A grievance may stem from an administrative decision and/or be brought by a faculty member(s) against another faculty member(s). Such cases include violations of academic freedom, College procedures, or other faculty rights set forth in individual faculty contracts, the *Faculty Handbook* and other appropriately authorized College documents, and in other disputes that do not fall clearly under other established

grievance policies and procedures. Other procedures are in place for cases of sexual harassment or discrimination. (See *Faculty Handbook*, section on "Discrimination and Sexual Harassment.")

In general, a grievance may not be raised over the merits of a tenure, promotion or reappointment decision. A grievance may be directed at a failure to comply fairly and fully with the rules and regulations that govern the tenure, promotion, or reappointment process as specified in the current edition of the *Faculty Handbook* and in other relevant College documents. In addition to the established rules and regulations, it should be made explicit that tenure, promotion, and reappointment may not be denied for reasons that violate academic freedom, and that such a violation will constitute grounds for a grievance.

2. Filing a Grievance:

The grievance must be initiated through written notification to FASCom.

3. The Grievance Procedure:

A grievance may be resolved through an informal process, here termed 'mediation,' or through a formal hearing. An attempt to resolve the grievance through mediation may fail and lead to a formal hearing; or a grievant may elect to pursue the grievance through a formal hearing without any attempt at mediation. Similarly, a person accused in a grievance may elect not to participate in an attempt for a mediated settlement. A faculty member who is considering filing a grievance should seek the counsel of others before proceeding; these may include the department chair, a senior colleague, a member of FASCom, the Dean, or the President, as appropriate.

It serves the best interests of all individuals as well as the community at large when a grievance is resolved through mediation. If mediation fails, a grievance Hearing Committee will adjudicate the case. These grievance procedures shall not stay a termination or suspension of employment, although the grievant may later be reinstated.

Section III.H.2 outlines the course that **mediation** should follow; section III.H.3 outlines the course of **adjudication by a Hearing Committee**.

III. H. 2. Resolution of a Grievance through a Third Party Mediator

Although the grievant has the right to proceed directly to adjudication by a Hearing Committee (III.H.3), every effort should be made to resolve the grievance through mediation. In attempting to resolve the grievance through mediation, FASCom will facilitate the choice of mediator and the mediation procedures. No member of FASCom who is

involved in the grievance may participate with FASCom in this process. While the mediator must ultimately be the choice of the grievant, all parties to the grievance must endorse that choice.

The mediator is an advocate for a fair and impartial process, whose role is to guide the parties in achieving consensus. The mediator is to help clarify issues for both sides and to keep an accurate record of the conversation. The mediator has no authority to impose a solution, but is to help the parties reach a mutually acceptable outcome. The mediator should not be a member of the administration, a member of the Faculty Personnel Committee or FASCom, a member of the grievant's department or a person in any other way associated with the dispute.

If the grievance is successfully resolved through mediation, FASCom must be informed in writing. All parties to the grievance must sign that document. The President (or if the President is a party to the grievance, the Board of Trustees) may sustain, modify, or overrule the mediated resolution.

If the grievant decides to withdraw the grievance or to proceed to adjudication by a Hearing Committee, the grievant must inform FASCom in writing. All materials pertaining to mediation shall be kept in the Personnel Office as a part of the permanent records of the College.

III. H. 3. Adjudication by a Hearing Committee

Should the grievant feel that mediation would be unproductive, or that attempts to resolve the grievance through mediation have failed, the grievant may then proceed to adjudication by a Hearing Committee. This section (III. H. 3) outlines the successive stages of the adjudication process: (i) the procedure for initiating adjudication by a **Hearing Committee**, (ii) the role of FASCom in the adjudication by a Hearing Committee, (iii) the procedure under which the Hearing Committee determines whether there is a *prima facie* case, (iv) the procedure under which a Hearing Committee conducts a full hearing, and (v) reaching the finding.

1. **The Procedure for Initiating Adjudication by a Hearing Committee**

The grievant initiates the process of adjudication by a Hearing Committee by submitting to FASCom a one-page summary of the grievance. The summary must include the names of administrative agent(s) or faculty members against whom the grievance is brought, the reason for the charges, and an explicit request for the appointment of a Hearing Committee.

2. **The Role of FASCom in Adjudication by a Hearing Committee**

Upon receipt of a request from the grievant, FASCom shall appoint a Hearing Committee composed of three to five members of the faculty who are not members of

the grievant's academic department, who are not involved in any way in the dispute, and who are not members of FASCom. Either the grievant or those against whom the grievance has been brought may refuse for just cause any member of the Hearing Committee appointed by FASCom. The Hearing Committee shall elect its own chair and secretary.

Once the Hearing Committee has been appointed, FASCom maintains a procedural review of the process, but does not in any way participate in evaluating the substantive merits of the grievance. No member of FASCom who has a conflict of interest may participate in the selection of members to the Hearing Committee or in any of the procedural reviews.

3. The Procedure under which the Hearing Committee Determines Whether There Is a *Prima Facie* Case

The Hearing Committee shall consider the grievant's full petition, including the summary and supporting evidence, and gather any facts required to determine if there is a *prima facie* case for a grievance. The Hearing Committee shall determine the scope of evidence it wishes consider in order to determine whether there is a *prima facie* case for a grievance. Grounds for a *prima facie* case exist where the grievant's rights, as enumerated in paragraph (a) above, appear to have been violated.

The Hearing Committee, at the conclusion of its review of the *prima facie* merits of the grievance, shall report to FASCom. If FASCom determines that the Hearing Committee has not adhered fully to the prescribed procedural guidelines, FASCom will instruct the Hearing Committee to re-commence its review. If FASCom determines that the Hearing Committee has followed its procedural guidelines, FASCom will convey the report to all parties. If the Hearing Committee report has not found sufficient *prima facie* grounds for a grievance, FASCom will convey that finding to all parties and thus terminate the case. If FASCom determines that the Hearing Committee has followed appropriate procedural guidelines and that the Hearing Committee has found sufficient ground for a *prima facie* case, the grievance will proceed to a full hearing by the Hearing Committee.

4. The Procedure under which a Hearing Committee Conducts a Full Hearing

The chair of the Hearing Committee (hereafter, "the chair") shall notify all parties that a full hearing has begun, and a copy of the grievant's summary of the grievance shall be provided by the chair to those named in the grievance. In consultation with all parties, the chair shall promptly set a time and place of the hearing. The hearing should usually commence within fifteen days after the Hearing Committee determines the existence of a *prima facie* case.

No later than five days prior to the date set for the hearing, each party shall notify the chair and the opposing parties of any witnesses that are to be called, and each party shall provide the chair and the opposing parties with copies of all written evidence and/or other documentation that is to be introduced. Additional witnesses and documents may be introduced on shorter notice only on terms deemed fair by the chair to both parties. The chair may adjourn the hearing to permit either party to obtain further evidence. Each party is responsible for arranging the attendance of its witnesses.

All parties may examine any evidence submitted to the Hearing Committee from any source, and all parties may question any witness brought before the Hearing Committee. A transcription or electronic recording of the hearing shall be kept, and the College shall furnish a copy to either party upon request. Each party is urged to choose an advisor who will attend the hearing.

A grievance hearing is not a formal judicial proceeding. Its ultimate purpose is to evaluate the fairness of the administrative or other action that gave rise to the grievance. To achieve that end, the Hearing Committee shall establish the rules of the proceeding. For example, the Hearing Committee may exclude irrelevant issues or evidence and may place reasonable limits on argument, the gathering and presentation of evidence, and the questioning of witnesses. The Hearing Committee may decide when it has enough information to decide the merits. The Hearing Committee shall determine only whether the grievance has merit. The Hearing Committee shall then forward its finding to FASCom.

A grievance may be withdrawn by the grievant at any time prior to the decision of the Hearing Committee. The grievant must notify FASCom in writing. The withdrawal of a grievance shall not prevent the Dean or President from investigating the charges contained in the grievance or related matters.

Except as disclosures are reasonably necessary to the investigation, hearing, and final disposition of a grievance, the grievant, those charged in the grievance, members of the Hearing Committee, and others having knowledge of the substance of the grievance are expected to preserve the confidentiality of the grievance.

5. **Reaching the Finding**

Although the Hearing Committee shall alone evaluate the merits of the grievance, FASCom shall review the procedure used in reaching the recommendation of the Hearing Committee.

If FASCom determines that the procedures have not been correctly followed, then FASCom shall determine whether the Hearing Committee shall reconvene its hearing or a new committee must be appointed. If FASCom determines that the procedures have been correctly followed, FASCom will send the finding of the Hearing Committee to the President, except in those cases where the President is central to the dispute, and a copy shall be sent to the grievant and to those individuals named in the grievance.

If the Hearing Committee decides that the President is central to the grievance, FASCom, in consultation with the Hearing Committee, may decide that the finding of the Hearing Committee should be forwarded to the Board of Trustees for review.

The President (or the Board of Trustees, where the President is deemed central to the dispute) is responsible for reviewing the finding of the Hearing Committee. The President (or the Board of Trustees) may sustain, modify, or overrule the finding of the Hearing Committee. It is the responsibility of the President (or in those cases where the President is central to the grievance, the Board of the Trustees) to determine what institutional action should be taken in response to the Hearing Committee's finding.

All documents pertaining to the Hearing Committee shall be kept in the Personnel Office as part of the permanent records of the College.

III. I. Leaves Policies

III. I. 1. Sabbatical Leaves

Sabbatical leave is granted for the purpose of research, writing, and other professional development. Sabbatical leaves are considered an investment by the college in the future quality of its faculty rather than a compensation for past services.

Faculty members on tenure are encouraged to request sabbatical leaves to further their academic and professional proficiency. Requests for leave should be made to the Dean not later than early September of the academic year preceding that of the sabbatical. Applicants should outline their plans for the leave. The department chair should discuss with the Dean plans for staffing the necessary courses of the department during the leave.

In considering requests for sabbaticals and their order of priority the Dean will consider: the use to be made of the sabbatical leave; the length of time since the applicant's last sabbatical leave or leave-of-absence; the number of years of service of the applicant to Knox; the impact of the leave on the department. Prudent financial management requires that the College make every effort to provide sabbatical leaves without replacements.

College policy provides the following sabbatical options:

Minimum years of full-time service since last sabbatical leave	Length of leave, in years	Rate of pay for year
6	1	1/2
6	2/3	5/6
4	1/3	Full

Faculty members are encouraged to supplement their sabbatical compensation with research grants or research fellowships or Fulbright awards including teaching fellowships. With the Dean's approval faculty members on sabbatical may accept employment that will contribute to their professional development. Generally such employment should be not more than half-time for a full-year sabbatical, one-fourth time for a two-term sabbatical, and none for a one-term sabbatical. Knox College reserves the right to reduce sabbatical compensation when employment does not meet the above stipulations. Also see "Leaves of Absence" (below).

Untenured faculty members are not eligible for sabbatical leaves but are eligible for "research leaves" and "leaves of absence" (see below). Years of service while untenured do count toward eligibility for the first sabbatical.

III. I. 2. Research Leaves for Untenured Faculty

Assistant professors may apply for one term of leave at full pay to pursue research. To be eligible for leave, the individual must have served two years at Knox prior to the period of leave and have a well-developed plan of research. Since the leaves are an investment in the

future of Knox College, leaves usually will not be granted to individuals who have been notified of non-reappointment.

III. I. 3. Leaves of Absence

Leave without pay may be granted for scholarly and professional purposes or for other purposes. Both tenured and non-tenured faculty are eligible to apply. Whenever feasible the College grants leaves without pay to those with research grants or other unusual opportunities such as ACM or other non-Knox program directorships. In granting such leaves the Dean must consider both the benefits to the College through the development of the faculty member and the costs through the loss of services during the period of leave.

Application should be made well in advance to the Dean of the College. Faculty members applying for grants or posts, which, if received, will require a leave should, prior to such application, discuss their plans with the Dean.

Unless otherwise stipulated when the leave is granted, leaves of absence for professional development, including service as an ACM program member, will be counted for sabbatical leave.

Years including leave may also not count as full-time service for determining the maximum of seven years prior to tenure as defined in the Knox College By-Laws. However, when leaves have been for professional development the College usually does not choose to delay the tenure decision. Faculty requesting leaves for professional or other reasons should consult in advance with the Dean regarding the impact of the leave on eligibility for tenure or sabbatical consideration.

III. I. 4. Leaves for Illness, Disability, Military Service, Jury Duty, and Other Reasons

When faculty members must be absent because of illness, they should report the absence to the Dean of the College immediately and should make arrangements with other departmental members to carry their duties. Salaries are not affected if the illnesses are infrequent and of short duration.

If the absence is anticipated to be longer in duration, recurring, or related to other important events in the life of the faculty member, the faculty member may be entitled to leave according to provisions in state and federal law as explained in the *Employee Handbook*. Human Resources, in consultation with the Dean of the College, can provide guidance on how rules surrounding these leaves may apply in the context of the academic calendar.

III. I. 5. New Parent Leave

The College's *Employee Handbook* allows ten weeks of leave with pay for benefits-eligible birth mothers and five weeks for non-birth parents. In interpreting this policy as it relates to academic obligations, the College recognizes the special nature of faculty responsibility in the academic term system by granting a birth giving parent one term of leave with pay. For fathers, non-birth giving parents, and adoptive parents, the policy is a one-course reduction in teaching responsibility. Consistent with policies for all employees, paid leave must be used within four months following the birth or arrival of a new baby/child.

III. I. 6. Fringe Benefits During Leaves

The fringe benefits during sabbatical leaves are the same as during a regular appointment except for those benefits, such as retirement and Social Security, which are a fixed proportion of actual salary paid by Knox College. Life insurance and disability insurance continue at the normal amounts since they are based on normal base pay.

When a faculty member is on a leave without pay for up to one year, the life insurance, health insurance, and disability insurance are continued with the individual and the College continuing their regular contributions. If a leave continues beyond one year, the insurance may be continued by the individual paying the full cost for up to 18 months in accordance with COBRA.

III. I. Appointment Year; Outside Employment

The appointment year normally runs from September 1 to August 31.

"During the academic year when service is performed in residence, or when on a sabbatical, a full-time member of the Faculty shall not engage in other regular remunerative activities without written permission of the President" [Knox College By-Laws, Article VI, Section 1. b. (4)]. This provision includes receipt of stipends under research grants. Requests for permission should be made to the Dean of the College.

When the College is not in session, once the faculty member discharges all the obligations normally associated with the academic session (e.g., grading, chair's reports, course preparation), the specific obligations to the College cease. It is expected that each faculty member will use the remainder of the appointment year for such activities of professional renewal and development as seem to be most appropriate, and to carry out such additional duties for the College as the faculty member accepts.

IV. Salaries and Benefits

1. **Salaries**
 1. Salary Payments, Deductions, Advances
 2. Determination of Salaries
 3. Salary Review Schedule

2. **Fringe Benefits**
 1. Retirement Program with TIAA
 2. Social Security
 3. Life Insurance
 4. Medical Insurance
 5. Disability Insurance
 6. Flexible Benefit Plan
 7. Unemployment Compensation
 8. Worker's Compensation
 9. Tuition Benefit
 10. Travel Accident Insurance
 11. Employee Assistance Program
 12. Services to Emeriti Faculty

3. **Other Benefits and Personal Services**
 1. Theater and Cultural Events
 2. Student Publications
 3. Athletic Facilities
 4. Green Oaks

IV. Salaries and Benefits

IV. A. Salaries

Faculty Handbook Revision Effective September 2001

IV. A. 1. Salary Payments, Deductions, Advances

Salaries are paid in equal monthly installments over the period of the appointment year that runs from **September 1 to August 31**. Salary checks are distributed at the end of each month by the Business Office, or, at the option of the payee, may be deposited directly to a bank. In exceptional circumstances small advances on the salary of the month may be made. All such advances require the approval of the Dean of the College.

All deductions from salary show on the check stub. These include withholding of federal and state income taxes, the employee's contribution to social security, retirement, and other fringe benefits. Questions should be addressed to the Director of Payroll in the Business Office.

IV. A. 2. Determination of Salaries

Each year the Board of Trustees specifies the amount of money that may be allocated for increases in salary to continuing faculty members. The President, with advice from the Faculty Personnel Committee and the Dean of the College, decides general policies for the allocation, e.g., the basic raise for a satisfactory performance in each rank.

The Dean and the Faculty Personnel Committee review faculty salaries annually and make recommendations regarding compensation to the President. The final decision on salaries rests with the President. The Faculty Personnel Committee regularly reviews compensation guidelines and engages the faculty in discussion of these guidelines as a basis for recommendations to the President.

IV. A. 3. Salary Review Schedule

Salary reviews follow the approximate schedule below. It should be noted that the calendar is advisory in nature since there is no mandatory notification date for salaries in the College By-Laws.

1. **By April 1.** Dean distributes to all faculty members requests for curriculum vita updates (CV Updates) on their professional activities in teaching, scholarship/creative work, and other service to the College.
2. **During April or May.** President, Dean, and Faculty Personnel Committee meet to confer on faculty salaries.
3. **In June.** The President makes the final decision on individual salaries.
4. **By July 1.** Faculty members submit requested CV updates online
5. **By September 1.** Faculty are notified of salary adjustments for the academic year.

IV. B. Fringe Benefits

The following is an unofficial summary of the fringe benefits available to salaried employees at Knox College. The College reserves the right to amend or discontinue any of these benefits at any time. Full details of the insurance and retirement programs are provided in separate plan documents, available from the **Office of Human Resources**. The plan documents supersede any details provided here. Knox College extends full benefits to both same and opposite sex **domestic partners** of its employees.

IV. B. 1. Retirement Program with TIAA

This program provides benefits eligible employees with the option to invest their retirement funds in TIAA, which offers numerous investment options. The College contributes 6% of basic annual salary. Regular employee contribution is 5% of annual salary. The total contributions (College and employee) are immediately vested.

Employees may enter into a tax-deferred annuity agreement with the College that is within the limits of Sections 403(b) and 415 of the Internal Revenue Code. Under this arrangement the employee may make contributions to TIAA on a before-tax basis, thereby lowering current taxable income.

Waiting period: two years and attainment of age 21; mandatory after 6 years and attainment of age 35.

IV. B. 2. Social Security/Medicare Tax

College employees are covered by the Social Security/Medicare Tax. The employee contribution is matched by an equal contribution from the College. The base amount and the percentage rate are subject to revision by law annually.

IV. B. 3. Life Insurance

The College provides group life insurance for all benefits eligible employees. The amount of insurance is 250% of the basic annual salary with a \$100,000 maximum. Accidental death and dismemberment benefits are provided. Spouses/partners and dependent children are covered for dependent life benefits: \$2,000 for spouse/partner and each child age birth to 19 years or 24 years if a full-time student. Employees who were hired prior to January 1, 1992 and who retire after age 55 with ten years of service may continue coverage for themselves and their spouses/partners. The amount of insurance for eligible retirees is \$5,000 and for spouses/partners of retirees it is \$2,000.

The College pays the entire cost of the life insurance for employees, dependents and retirees. Waiting period: none.

IV. B. 4. Medical Insurance

The College offers a group health insurance plan that is administered by a third party administrator. This plan is available to all benefits eligible employees. Consult with Human Resources for up-to-date information on current health care plan benefits and options. Employees who were hired prior to January 1, 1992, and who retire after age 55 with ten years of service may continue coverage for themselves and their spouses/partners. Coverage becomes a supplement to Medicare for qualified retired persons at age 65. The cost of retiree insurance is determined by the plan documents.

IV. B. 5. Disability Insurance

The College offers group long-term total disability insurance. In case of permanent disability, after six months, this insurance provides income (including Social Security benefits) equal to 60% of the employee's monthly salary with a maximum monthly benefit of \$10,000. This insurance also continues to make all contributions, until normal retirement date, into the retirement plan at the rate prevailing when the employee became disabled.

Waiting period: None

IV. B. 6. Flexible Benefit Plan

Under Section 125 of the Internal Revenue Code, benefits eligible employees are allowed to pay for certain expenses with "before-tax" dollars. This means employees do not pay

federal and state income tax or social security tax on dollars deducted from their pay for the Flexible Benefit Plan.

There are three options offered under the FBP. Employees may elect to participate in any one or all three options.

Option 1: *Health Insurance Premiums* may be tax sheltered.

Option 2: *Medical Expense Reimbursement* allows employees to set aside up to \$2,650 per year to pay for medical, dental, and vision expenses on a “before-tax” basis. The amount elected is deposited into a personal account and reimbursement is made from that account for expenses that are not covered by insurance.

Option 3: *Child Care Reimbursement* allows employees who pay for child care while they work to have up to \$5000 per year deducted from their pay on a “before-tax” basis. The dollars are deposited in an account and reimbursed upon request after the expense is incurred.

IV. B. 7. Unemployment Compensation

The College pays unemployment compensation for former employees under certain conditions regulated by state statutes. The entire cost of this program is paid by the College.

IV. B. 8. Worker’s Compensation

The College provides workers’ compensation insurance on all employees. This insurance, the details of which are established by state laws, provides for medical expenses and loss of earnings for employees who are injured on the job. All work related accidents must be reported promptly to Human Resources by the employee or the supervisor. The entire cost of this insurance is paid by the College.

IV. B. 9. Tuition Benefits

Eligible employees, retirees, and/or dependents may be able to take advantage of tuition benefits at Knox including tuition remission at Knox, ACM Tuition Exchange Program (TREP), Tuition Exchange (TE), or a \$500 tuition reimbursement for classes taken at other colleges or universities. For a description of each, see the **Tuition Benefit Programs Summary**. There is a two-year waiting period to be eligible for tuition benefits.

IV. B. 10. Travel Accident Insurance

All employees of the College are covered by a travel accident insurance policy while traveling on business for Knox College.

IV. B. 11. Employee Assistance Program

Employees and their family members may receive counseling for a wide range of personal problems, including marriage and family problems, alcoholism, drug abuse, financial problems, eating disorders, stress, depression, and anxiety. The EAP provides up to five hours of assessment and counseling per presenting problem with no cost to Knox employees. Services are completely confidential; no one at the College knows the identity of any employee who uses this program. Services are provided by Precedence, Inc.. For additional information or to make an appointment, phone (800) 383-7900.

IV. B. 12. Services to Emeriti Faculty

If the retiring faculty member is granted Emeritus/a status by a vote of the Faculty Personnel Committee, he or she will be eligible for additional benefits that may include, but may not be limited to, the following: a Knox email address; adjunct teaching at compensation typically higher than a regular adjunct would receive; access to office space on campus, if such space is available; library privileges; use of the fitness center, swimming pool, and other athletic facilities; listing in the *College Catalog* under "Professors Emeriti"; the opportunity to attend faculty meetings in a non-voting capacity. A campus mailbox may be available for emeriti faculty living locally.

These benefits are in addition to specific provisions for retired faculty included in the fringe benefit programs of the College.

IV. C. Other Benefits and Personal Services

IV. C. 1. Theater and Cultural Events

Admission to college-sponsored events is free. Tickets for theater productions and other events, when required, are obtainable in advance at the Campus Life Office in the Student Union, or at the time of performance at the box office in the Center for Fine Arts. I.D. cards may be requested. No tickets are required for athletic events. Tickets to the Knox-Galesburg Symphony are not free.

Most events sponsored by the Union Board are free. A small charge is made for a few, primarily social occasions and for some movies.

IV. C. 2. Student Publications

Faculty members receive without charge copies of *The Knox Student* and *Catch* but they must buy the *Gale* (the student yearbook) if they wish a copy, although they are under no obligation to do so.

IV. C. 3. Athletic Facilities

Faculty are welcome to free use of all athletic facilities during the academic year. I.D. cards may be requested.

IV. C. 4. Green Oaks

Green Oaks is a biological field station providing an outdoor classroom for teaching and an undisturbed and protected area for research. Basic principles of plant and animal ecology govern management and use policies.

Recreational use of Green Oaks has been traditional and continues, subject to reasonable regulations. The property is available at specified times for the kind of recreation that it can uniquely provide, such as hiking, camping, fishing, boating, bird watching, and other facets of the enjoyment of nature. It is not available for the kind of recreation that can be provided elsewhere, such as social parties and games.

It is necessary to limit the number of people using Green Oaks for recreation, particularly for fishing, to preserve the esthetic qualities of the area and to prevent disturbance to the research and conservation projects. The use of Green Oaks is restricted to members of the Knox College community--employees and their immediate families, currently enrolled students, and alumni.

All persons are expected to abide by the regulations available at the Field Station registration booth. Times for recreational use: Wednesday, Saturdays and Sundays year round; overnight camping on Saturday nights (and Friday nights with permission from the Director). For additional information, see the Director of Green Oaks.

V. Support Services and Miscellany

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V. Support Services and Miscellany

V. A. Academic Resources and Services

V. A. 1. Library

Seymour Library and the Amott Science Commons contain 310,000 books, and offer a variety of individual and group study spaces for students. The College Archives and Special Collections contain material relating to the history of the College and other manuscript and archival material of interest to students and researchers. Most book and periodical holdings in science, math, and psychology are housed in the Amott Science Commons. Librarians provide access to over 100 electronic resources including databases, periodicals, and streaming videos.

The library's homepage connects students, faculty, and staff to the library's collections and services: <https://knox.libguides.com/libraryresources>. The page includes:

- Knox Primo, the library's online catalog
- Digital full-text periodical and newspaper collections and indexes licensed by the library and accessible via the Internet;
- Brief descriptions of the library's many special collections of rare books and other materials;
- Submission forms for interlibrary loan requests;
- Instructions and forms for putting course materials on reserve in the libraries.

Knox's librarians and faculty collaborate on instruction designed to further students' abilities to locate, evaluate, and apply information resources both to academic study and to their professional, public, and personal lives. Each department or program has a designated librarian who will work with its members individually or collectively to achieve unique departmental information literacy goals. Other services include:

- orientation and instruction sessions on use of the library as related to particular courses;
- interlibrary loan of books, periodical articles, microforms, and non-print materials through I-Share and Tipasa;
- circulation of course-specific reserve books, articles, and non-print materials;
- assistance with research at all levels from first year to senior seminars and honors projects..

Faculty may borrow books for six months but are expected to return books promptly if recalled for use by another member of the community. All books must be returned or

renewed at the end of each calendar year and each academic year. Faculty are not exempt from fines for interlibrary loans or charges for items borrowed from the library that have been lost.

Requests from the faculty for book purchases appropriate for undergraduate use are strongly encouraged by the Director of the Library, who in consultation with subject librarians is ultimately responsible for the overall collection. Faculty submit orders via [the purchase request form](#). Subject liaison librarians will then contact faculty with any questions. Faculty with special needs for new courses should consult with the Director and liaison librarian as part of the process for proposing new courses.

V. A. 2. Information Technology Services

Computing facilities are available for use at no charge to faculty and students. The Director of Information Technology Services and staff will assist faculty with use of the computers for classroom needs and with research use. An extensive library of programs is maintained. Information Technology Services will conduct training sessions on software for a class upon request, either during or outside of class hours, and will assist faculty in developing computer-based tools for their classes. The staff will also assist faculty by ordering and installing software required for courses; software required during the school year should be specified by early summer to insure it is installed in time.

V. A. 3. Audio Visual Services

Audio Visual Services is a department in Informational Technology Services. Please visit the "Help Desk" site, accessible through My.Knox, to review classroom AV and computer equipment configurations. Please submit an AV request through the Help Desk site as well.

The library's non-print collections of compact discs, DVDs, and other formats can be identified through the library's online catalog. The library staff can assist faculty in the preparation of some audio-visual materials for instructional use.

V. A. 4. Center for Teaching and Learning

The primary purpose of the Center for Teaching and Learning is to provide short-term individual help with specific study problems when such help is needed and desired by the student. Assistance, especially with problems in writing college-level work, but also with reading ability, mathematical thinking, study skills and note taking, is not confined to a remedial level. Faculty who believe a student would benefit from help should refer the student to the Center. Students may also come in without referral. The Center also provides remedial services including two half-credit courses in basic English and one half-credit

course in mathematics and some individual tutoring. Before arranging for a tutor or working with a student on an assignment for a current course, the staff member obtains the approval of the instructor of the course.

V. A. 5. Faculty Development Program

The mission of the Knox Faculty Development Program is to assist and support faculty in their professional development--to help faculty shape and realize goals in the areas of teaching, research/creative work, and other professional activities. A variety of programs and workshops are scheduled throughout the year, and individual teaching consultations are also available. For further information on the range of activities, contact the Associate Dean for Faculty Affairs.

V. B. Business and Budget Matters

V. B. 1. Faculty Offices and Keys

Faculty offices are assigned by the Provost / Dean of the College. Keys must be obtained from the Office of Campus Safety after approval is sent by the Provost / Dean of the College. Keys are the personal responsibility of the person to whom they are issued and should not be loaned or given to others. Keys may not be duplicated under any circumstances.

Faculty leaving the College are expected to vacate their offices no later than August 1 of their last year of employment in order to permit cleaning and other preparations for new faculty.

V. B. 2. Administrative Assistant Services

During the academic year, professional administrative assistants that provide support to the Faculty are available in each main academic building. Most departments/programs have students to help with various chores. The department chair is responsible for supervision of student employees. All student employees are hired through the Business Office with preference given to those who have campus employment as part of their financial aid package. During the academic year, professional secretaries to serve the Faculty are available in each main academic building. Most departments have student secretaries to help with various chores. The department chair is responsible for supervision of student employees. All student employees are hired through the Business Office with preference given to those who have campus employment as part of their financial aid package.

V. B. 3. Textbook Orders

As a general policy, lists of required textbooks for a course should be submitted through the “Faculty” login of the Knox College Online Bookstore prior to the pre-enrollment period for the academic term. Faculty who wish desk or examination copies should contact the publisher directly. Publishers' policies on such copies vary and are subject to change. Consult publishers' websites, many of which allow online requests.

V. B. 4. Budgets, Supplies, and Equipment

The department/program chair is responsible for the administration of the department budget and should ensure spending within budget. All purchase requisitions, travel vouchers, or other major charges against the account must have the department chair's approval. Each chair may determine the most suitable system for allocation of funds within the department and control of expenditures. The department/program chair is responsible for the administration of the department budget and should ensure spending within budget. All purchase requisitions, travel vouchers, or other major charges against the account must have the department chair's approval. Each chair may determine the most suitable system for allocation of funds within the department and control of expenditures.

Administrative assistants can assist faculty in making purchases of office supplies or other materials; they also can prepare purchase orders. Faculty wishing to make out-of-pocket expenditures for later reimbursement should contact the administrative assistant or the Business Office first to obtain the College's tax ID number. Receipts are required for reimbursement and must be submitted within 30 days of expenditure.

The fiscal year runs from July 1 to June 30. All department members should keep the chair informed of the needs they foresee in supplies and equipment. When possible the College obtains grant funds or special gifts, particularly for major equipment. The support of faculty members in assessing future needs is an essential part of this process.

V. B. 5. Duplicating and Fair Use of Copyrighted Material

Duplicating of materials for class use, e.g., syllabi or examinations, is charged to department budgets. Duplicating of research material may also be charged to departmental budgets. The department chair is responsible for seeing that the total duplicating costs of the department remain within budget. Faculty are strongly encouraged to use Moodle to share materials with students in accordance with federal copyright law.

Knox College recognizes and adheres to federal copyright law governing the reproduction and dissemination of copyrighted materials even as it exercises and supports the fair use exceptions to federal copyright law that allow some educational uses of copyrighted material. Faculty, students, and staff are strongly encouraged to review and apply these guidelines when they are developing materials for courses, designing, and completing course assignments, and engaging in all other scholarly and creative work at the College.

Topics:

- Permitted Uses of Copyrighted Material
- Fair Use of Copyrighted Material
- What do I do now?
- US Code: Title 19, §107. Limitations on exclusive rights: Fair use

Permitted Uses of Copyrighted Material

Copyright laws and fair use aside, we may often use - for readings linked to course pages, as textbooks, in course packs, etc. -

- Digital works licensed by Knox College, such as articles in e-journals and e-books in collections such as the digital Loeb Classical Library
- Works in the public domain (see definitions of public domain at: <https://copyright.cornell.edu/resources/publicdomain.cfm>)
- Works published with a Creative Commons license (see <http://creativecommons.org/about>)
- Our own publications when copyright or other use rights have been retained. See Middlebury College's web page on retaining or sharing copyright of your published work at: http://www.middlebury.edu/academics/lib/lis4faculty/author_rights.

For further information about the appropriate use of various copyrighted material, see "Know Your Copyrights", a publication of the Association of Research Libraries:

<http://www.knowyourcopyrights.org/resourcesfac/kycrbrochure.shtml>

Fair Use of Copyrighted Material

Other copyrighted material may be used by Knox faculty, staff, and students without the permission of the copyright owner only within the "fair use" provisions of federal copyright law (US Code Title 17, section 107). The complete text of section 107 appears below.

Almost forty years of litigation over fair use as an affirmative defense has not resulted in firm definitions or regulations of what constitutes fair use for purposes such as criticism,

comment, news reporting, teaching, scholarship, and research. Fair use offers, instead, four broad measures or factors, which should be weighed to decide on your own whether any use of copyrighted material qualifies for a fair use exception to copyright law.

These four factors are:

1. The purpose and character of the use: Educational uses, such as teaching, scholarship, research, criticism, and comment are more likely to be seen as fair use than is commercial use. However, not all nonprofit educational uses are automatically "fair." In addition, fair use is more likely to be found when the use of the work is "transformative" rather than a mere reproduction of the work. A transformative use transforms the material taken from the original work by adding new expression or meaning, or by creating new information, new insights, or understandings (e.g., parody, criticism).
2. The nature of the copyrighted work: Greater copyright protection is given to "creative" works (e.g., fiction, poetry) than work that is more factual in nature. If a work is unpublished, use may be found to be unfair because in some circumstances, a copyright owner is entitled to determine the work's first publication.
3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole: Fair use favors using peripheral and/or small portions of a work over essential or large parts of a work. There is no specific number of words from a poem, paragraphs or chapters from a book, notes from a musical composition, or minutes from a film that may safely be used without permission. It is therefore important to consider the amount of the work used in proportion of the work as a whole. In addition, consider whether the portion used might be considered to be the "heart of the work," in which case use of even a small amount is less likely to be "fair."
4. The effect of the use upon the potential market for, or value of, the copyrighted work: Does the use threaten or compromise the commercial value of the work? If the work can be purchased or licensed, or is otherwise commercially available for the educational market, that fact weighs strongly against a finding of fair use. The fourth factor underscores the need to weigh all four of the factors together to reach a fair use decision.

The distinction between what is fair use and what is copyright infringement in a particular case will not always be clear or easily defined. Take these steps to determine the degree to which your current or potential uses of copyrighted materials meet Knox's adherence to federal copyright law:

- Discuss with your department's librarian published material in any format that you wish to use in a course; they can advise you about the library's licensed access to a

wide variety of publications, and identify possible alternatives to copyrighted material.

- Use this Fair Use Checklist to assess your use of any copyrighted material against the fair use factors; discuss the application of the fair use exception to your course materials with your department's librarian.
<http://departments.knox.edu/facdev/fairuse/fairusechecklistform2015.pdf>
- Retain a completed checklist for any fair use you make of copyrighted material for future reference when you may want to use the material again or in the case of a legal challenge. This will also alert you to your repeated use of the same material for the same course, which would probably fall outside any definition of spontaneous fair use.

Sooner or later you may identify a course reading that falls outside both fair use and permitted use. Alternatives to consider then include licensing and selling single or multiple readings through the Knox bookstore, requesting permission to use an item directly from the publisher, or adapting a reading to fall within fair use. Some readings will one way or another involve costs - either to students or to your department.

In general, frequent reviews of the currency and the publication formats in which your course readings appear are a good strategy for avoiding copyright issues and providing accessible and cost-efficient required readings for your students.

US Code: Title 19, §107. Limitations on exclusive rights: Fair use

Notwithstanding the provisions of sections 106 and 106A, the fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use the factors to be considered shall include-

1. the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
2. the nature of the copyrighted work;
3. the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work.

The fact that a work is unpublished shall not itself bar a finding of fair use if such finding is made upon consideration of all the above factors. (previously released April 2015)

Copyright laws also apply to computer software. Any questions regarding the duplication of software should be directed to the Director of Information Technology Services.

V. B. 6. Telephone Calls

The College has a Voice-Mail service for all campus extensions. For information and set-up procedures for this automatic answering feature contact the ITS Help Desk.

V. B. 7. College-Furnished Vehicles

Travel to be charged to a department budget should be approved in advance by the department chair, who is responsible for ensuring that costs are not incurred in excess of the budgeted funds. Travel to be charged to another budget must be approved in advance by the individual responsible for that budget.

Cars and vans rented by the College are available by reservation for use on College business. The use of these vehicles is charged to departmental or club budgets according to a daily rate. Reservations for the use of a vehicle are made at the Facilities Services Office. When faculty members use their own automobiles for College business, they may obtain reimbursement for mileage by submitting a Knox College Travel Expense Report. All faculty travel must follow the "Knox College Policy on Travel, Entertainment, and Business-Related Expenses," available here.

V. B. 8. Review of Grant Proposals

Faculty developing proposals for external grants must complete an "External Grant Authorization Form." Faculty should contact the Office of Corporate, Foundation, and Sponsored Research Support early in their planning processes. Most grant proposals to foundations or public agencies require the endorsing signature of the President or the Dean of the College and, for most, the College acts as fiscal agent. All authorization forms and proposals should be prepared in sufficient time to permit review by the endorsing officers. Grant proposals and accompanying budgets are reviewed by appropriate personnel, which may include the department chair, the Provost & Dean of the College, the Director of Corporate, Foundation, and Sponsored Research Support, and the Vice President of Finance & Administrative Services.

V. B. 9. Mail Service

Faculty mail is delivered to the campus mailroom located in the basement of the Student Union. Combination-lock mailboxes are assigned to all faculty and students. Notices to students to be placed in their boxes should include box numbers.

V. B. 10. Classroom Assignments

Room assignments are made by the Registrar, who should be informed of any special needs for blackboard space, audio-visual facilities, etc., when pre-registration materials are submitted to that office.

Lounge areas in academic buildings or in dormitories, and dining rooms in the Student Union may not be used for regular class sessions.

V. B. 11. College Calendar

The academic calendar is established by the Executive Committee and posted on the Registrar's webpage.

Flunk Day in spring term can cause scheduling problems. The Union Board chairs put out a request in winter term that they be told in advance of speakers and other events scheduled for spring term. Getting this information to the Union Board chairs can help avoid conflicts between such events and Flunk Day.

V. B. 12. Room Reservations

Rooms in various buildings may be reserved for meetings of campus groups. Many campus spaces can be reserved through the online reservation calendar. (See instructions under "Help Desk" on My.Knox.). Contact the Music Department Chair for events in Kresge, and the Theatre Department Chair for events in Harbach. Contact the Athletic Director to schedule events in the Memorial Gymnasium or the T. Fleming Fieldhouse. Contact the Registrar to reserve a classroom during times when classes are scheduled.

For catering of campus events, call Dining Services.

Not all floors of campus buildings are accessible to individuals with disabilities. Public events should be scheduled in accessible locations only, whether on the first floor of a building or in a building with an elevator (Alumni Hall, Seymour Union, the Ford Center for the Fine Arts, the Umbeck Science-Math Center, Whitcomb Art Center).

V. B. 13. Outside Events

Planning for two types of campus events needs to be reviewed in advance by the Outside Events Committee (OEC):

- an event that is sponsored by an organization other than the College, particularly an event that members of the public are expected to attend.
- an event set up by Knox faculty member or group for which the main audience or participants are people from outside the College (for example, a participatory Arts event for school children or a workshop for high school students).

The Outside Events Committee should be contacted through the Office of the Vice President for Finance and Administrative Services. The OEC, chaired by the Vice President for Finance and Administrative Services, reviews proposals for such events with regard to institutional capacity and potential legal liability.

V. B. 14. Funds for the Entertainment of Students

A modest amount of money is budgeted to help defray the cost of faculty entertainment of students in their homes. The funds are primarily for hosting first-year and sophomore advisees, and for meals at language table. These funds may not be used for the purchase of alcoholic beverages. Requests for funds should be made to the department chair. Food may be obtained from Dining Services for students on board.

V. B. 15. Bulletin Boards

Bulletin boards in classrooms are for posting materials relating to classes taught in the room. Other bulletin boards in academic areas are for notices related to academic-related activities, including departmental clubs, speakers, graduate fellowships, music recitals, etc. All other material, especially private advertisements for commercial services, should not be posted, and if posted should be removed.

Walls, doors, windows, etc., should not be used as bulletin boards.

V. B. 16. General Employee Policies

As employees of Knox College, faculty are responsible for complying with policies and benefits concerning employment at Knox College, as found in the Knox College *Employee Handbook*. Updated January 2018.

V. C. Political Activities

The College is subject to judicial and IRS rulings, the Federal Election Campaign Act of 1971, Federal Election Commission regulations, and additional state laws regarding political activities. Conduct that violates these laws and regulations not only can jeopardize the institution's tax-exempt status, but also can involve other risks, including government lawsuits and investigations.

The College and its faculty provide programs for students, including internships, forums and speakers, study groups, class assignments, and field placements, intended to provide opportunities for engaging contemporary issues and for interacting with the men and women who shape politics and public policy. It is entirely consistent with the College's educational mission, on a non-partisan basis, to stimulate and nurture student interest in public service in its broadest sense.

Faculty who sponsor such activities as part of the educational program of the College should ensure that the events/activities are defined in ways that do not create the perception that the College endorses or supports any particular candidate for public office (e.g., the College cannot determine which candidate's campaign a student may have an internship with). Faculty with questions about proposed activities should contact the Dean of the College.

Knox College employees may not use campus offices, telephones, addresses, mailboxes, or Knox letterhead in support of any political candidate or campaign. Employees may not deliberately publicize or otherwise exploit their relationship to Knox College in order to benefit a partisan political cause.

V. D. Miscellany

V. D. 1. News of Academic Activities of Faculty and Students

The Office of Communications needs news on academic activities, particularly news reflecting credit on Knox, its faculty and students. Information is sought on curricular developments, research, grants, honors, etc. The Office is responsible for developing the information into material suitable for publication in college publications such as the Knox Magazine or for release to the press.

V. D. 2. Faculty Emergency Fund

The Faculty, by occasionally voting an assessment of \$1.00 upon each member, maintains this fund. The fund is disbursed by the Secretary of the Faculty for such courtesies as purchase of books in the Library as memorials and messages of sympathy at funerals for members of the families of faculty or staff.

Appendices

- A. Statement of Rights and Responsibilities
- B. Statement on Romantic or Sexual Relationships Between Students and Knox College Employees
- C. Drug and Alcohol Policies
- D. Increasing Faculty Diversity -- Opportunity Hires
- E. Family Education Rights and Privacy Act (Student Records)
- F. Guidelines for Use of Institutional, External, Start-Up, and Moving Expense Funds
- G. Faculty Research and Conference Travel Funds
- H. Investigations of Allegations of Research Misconduct
- I. Policy on Intellectual Property Ownership
- J. Financial Conflict of Interest Policy for Federally Funded Research Grants
- K. Policy on Acceptable Use of Information Technology Resources
- L. Policy Concerning Investigations Involving Human Subjects
- M. Policies and Procedures Regarding Closing Students Out of Courses
- N. Guidelines for Course Scheduling and Course-Related Activities
- O. Tenure Clock Extension Policy
- P. Institutional Animal Care and Use Committee (IACUC) Animal Study Proposal Form

A. Statement of Rights and Responsibilities

Faculty Handbook Revision Approved by the Knox College Faculty, April 9, 1973

Faculty regulations on student social (nonacademic) conduct state that the College expects its students to be responsible citizens and to cooperate in creating a campus community in which the objectives of the College may be most fully realized.

Students who violate College social (nonacademic) rules or principles of conduct are subject to disciplinary procedures or penalties established by the faculty through the Student Life Committee. All disciplinary actions are subject to review by the President. As a general guide for living in the Knox Community, the faculty adopted the following policy statement on April 9, 1973.

Faculty, students, administrators, staff and trustees of Knox College have an obligation to fulfill the responsibilities incumbent upon all citizens. They also have the responsibilities of their particular roles within the academic community. All members share the obligation to respect:

1. The fundamental rights of others as citizens,
2. The rights of others based upon the nature of the education process,
3. The rights of the institution,
4. And the rights of members to fair and equitable procedures for determining when and upon whom penalties should be imposed for behavior contrary to campus regulations.

These are listed in detail below.

1. As citizens, members of the Knox Community enjoy the same basic rights and are bound by the same responsibilities to respect the rights of others, as are all citizens.

Among the basic rights are freedom of speech, freedom of press, freedom of peaceful assembly and association, freedom of political beliefs and freedom from personal force and violence, threats of violence and personal abuse.

Each member of the Knox community has a right to organize his or her personal life and behavior, so long as it does not violate reasonable standards of conduct, established to safeguard the educational process.

The Campus is not a sanctuary from the general law.

2. All members of the Knox community have other responsibilities and rights based upon the nature of the educational process and the requirements of the search for truth and its free presentation. These rights and responsibilities include:
 - the obligation to respect the freedom to teach, to learn and to conduct research and publish findings in the spirit of free inquiry;
 - the obligation of the teacher not to divert significant time to material extraneous to the subject matter of his or her course;
 - the obligation not to interfere with the freedom of the members of campus to pursue normal academic and administrative activities, including freedom of movement;
 - the obligation not to infringe upon the rights of all members of the campus to privacy in offices, laboratories and residence hall rooms and in keeping of personal papers, confidential records and effects, subject only to general law and to conditions voluntarily accepted by the members of the campus community; records on its members should contain only information which is possibly related to the educational purposes or safety of the campus;
 - the obligation not to interfere with a member's freedom to hear and study unpopular and controversial views on intellectual and public issues;
 - the right to identify oneself as a member of the campus and a concurrent obligation not to speak or act on behalf of the institution without authorization;
 - the right to be heard and considered at appropriate levels of the decision-making process about basic policy matters of direct concern.

Members of the community who have a continuing association with the institution and who have substantial authority and security have an especially strong obligation to maintain an environment conducive to respect for the rights of others and fulfillment of academic responsibilities.

3. The institution has right and responsibilities of its own. The rights and responsibilities of the institution include:
 - rights and obligations to provide and design an open forum for members of the campus to present and debate public issues;
 - the right and obligation not to take a position, as an institution, in electoral politics or on public issues, except on those issues which directly

affect its autonomy, the freedom of its members, its financial support and its academic functions;

- the rights and obligations to protect the members of the campus and visitors to it from physical harm, threats of harm or abuse; its property from damage and unauthorized use; and its academic and administrative process from interruption.
4. All members of the Knox community have a right to fair and equitable procedures which shall determine the validity of charges of violation of the College regulations. Members of the campus charged with or convicted of violations under general law may be subject to campus sanctions for the same conduct, in accord with campus policies and procedures, only when the conduct is in violation of a College rule, essential to the continuing protection of other members of the College, or to the safeguarding of the educational process.

Respect for Others

Perhaps the best general guiding principle for any residential academic community is one which emphasizes tolerance for a diversity of ideas and the necessity of mutual sensitivity and respect in interpersonal relationships. Special care should be taken to avoid actions or words which suggest racial prejudice, sexism or prejudice of any other nature.

Common courtesies and respect for the dignity of others go a long way toward making community life what it ought to be. Fighting, hazing, physical attacks or intimidation perpetrated against any member of the College community will not be tolerated.

B. Statement on Romantic or Sexual Relationships Between Students and Knox College Employees

Romantic or sexual relations between persons of unequal power, authority, or influence at the College, are inherently problematic because they include the potential for a conflict of interest, favoritism, and exploitation. Maintaining appropriate boundaries in relationships can be especially difficult in a community like ours where informal, supportive relations among faculty, staff, and students outside the classroom are not only permitted but encouraged.

Because the difference in institutional power and the inherent risk of coercion are so great, the College has determined that with limited exceptions, no faculty or staff member shall enter into a romantic, dating, or sexual relationship with a currently enrolled Knox College student.

Exceptions to this Policy fall into two categories:

Pre-existing Relationships.

Preexisting relationships between an employee and student must be disclosed by the employee to a supervisor or appropriate College official. Accommodations for preexisting relationships between a student and a faculty or staff member will be considered by the College on a case-by-case basis, and, when necessary, will lead to development of a management plan in consultation with the supervisor or chair of the relevant office, department or program and an appropriate College official. Such a management plan might, for instance, include alternate supervisory or evaluation mechanisms. For faculty, the appropriate College official will be the Dean of the College; for staff members, the Associate Vice President for Human Resources. Failure to comply with the required notification, removal of evaluative authority or management plan shall be considered a violation of this Policy.

Student Workers.

This Policy does not prohibit student workers from engaging in romantic, dating or sexual relationships with other Knox College students over whom they do not exercise supervisory or evaluative authority. However, some student workers, such as teaching assistants or resident advisors, do hold supervisory or evaluative roles over other students. These student workers must notify their supervisors before engaging in any romantic, dating or sexual relationships with students over whom they exercise supervisory or evaluative roles. These cases will be considered by the College on a case-by-case basis and, if appropriate, may lead to development of a management plan in consultation with the

supervisor or chair of the relevant office, department or program and an appropriate College official. Such a management plan might, for instance, include alternate supervisory or evaluation mechanisms. Failure to comply with the required notification, removal of evaluative or supervisory authority or management plan shall be considered a violation of this Policy.

Romantic, dating or sexual relationships between faculty or staff members and Knox students, whether formal or informal, whether within or outside the institution context, that are not covered by the two exceptions above will be considered misconduct, and may constitute a form of sexual harassment governed by the [Policy Against Title IX Sexual Harassment and Sexual Misconduct \(PDF\)](#).

As noted above, failure to comply with the required notification, removal of supervisory or evaluative authority or management plan is also considered a violation of this Policy. If any faculty, staff, or student worker of Knox College is found to be in violation of this Policy, disciplinary action will be taken on a case-by-case basis and in accordance with appropriate disciplinary procedures contained in relevant handbooks, policies, procedures, practices, or contracts. Disciplinary actions may include but are not limited to written warnings, loss of privileges, mandatory training or counseling, probation, suspension, demotion, and termination of employment, including revocation of tenure.

C. Drug and Alcohol Policies

Compliance with Federal Legislation

The federal government has enacted two phases of legislation aimed at preventing substance abuse. The first phase, called The Drug-Free Workplace Act of 1988, requires Knox College to establish a policy on drug use by employees, including student employees, and to take additional steps toward maintaining a drug-free workplace. The second phase of legislation, called The Drug Free Schools and Communities Act Amendments of 1989, requires the College to implement a program aimed at preventing the use of illicit drugs and the abuse of alcohol. We have adopted policies and related programs, which comply with the legislation, as a prerequisite to receiving any federal funds, including grants, contracts, and participation in federally funded or guaranteed student loan programs.

Drug-Free Workplace Policy

The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in and on property owned or operated by Knox College. No College employee may report to or engage in college-related work while under the influence of illegal drugs.

Employees who are convicted of a violation of a criminal drug statute that occurred in the workplace must notify the College's Personnel Office within five days of their conviction. Such a conviction will be grounds for mandatory evaluation and possible treatment for a substance abuse disorder and for disciplinary action up to and including dismissal. Failure to comply with the foregoing will be grounds for disciplinary action up to and including dismissal.

The terms of this policy statement are conditions of employment at Knox.

Drug and Alcohol Abuse Prevention Policy

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

Prohibited Conduct

Knox College prohibits the unlawful possession, use, or distribution of illicit drugs or alcohol by students and employees on College property or as any part of its activities.

Applicable Legal Sanctions

1. 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.

<u>Category of Offense</u>	<u>Monetary Fines</u>	<u>Imprisonment</u>
Class A Misdemeanor	\$1,000	Up to 1 year
Class 4 Felony	\$15,000	1 to 3 years
Class 3 Felony	Up to \$150,000	2 to 4 years
Class 2 Felony	Up to \$200,000	3 to 7 years
Class 1 Felony	Up to	4 to 15 years
Class X Felony	Up to \$500,000	6 to 60 years

2. The law of the State of Illinois requires that persons be 21 years of age or older to purchase, possess, or consume alcoholic beverages, including beer and wine. State law prohibits charging for alcoholic beverages without proper licensing arrangements. In addition, anyone under the age of 21 who receives or accepts liquor, even as a gift, or who borrows or defaces the identification of any person for the purpose of obtaining liquor, is guilty of a Class C misdemeanor and is subject to penalties and fines of up to 30 days in jail and \$500 (Chapter 43, Section 134a-Illinois Revised Statutes). A person injured by an intoxicated individual has the right to sue for damages the supplier of the liquor as well as the intoxicated individual (Chapter 43, Section 135-Illinois Revised Statutes).
3. The applicable Federal penalties and sanctions for illegal possession of a controlled substance are given on Table A, below.
4. The City of Galesburg controls and regulates the sale, possession, and distribution of alcohol according to Ordinance No. 84-940. Each of the following offenses is punishable by a monetary fine of \$50 to \$500: unlicensed sale, to minor, sale to minor by licensee, sale to incompetent persons by licensee, sale off premises by licensee, illegal possession/transportation, illegal possession/consumption by minor, unlawful purchase by minor, minor frequenting licensed premises, allowing minors to frequent,

employment of minor, conduct on licensed premises, gambling on licensed premises, weapons, misrepresentation of age by minor, providing fraudulent identification.

Health Risks

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 Table B below.

A summary description of health risks associated with alcohol is also given below.

Counseling, Treatment, and Rehabilitation Services

Employees and students are urged to seek assistance for drug and alcohol related problems. There are provisions in the College's group health insurance plan to help with the expenses of such assistance for those who are insured. Students may seek assistance from either the College's Counseling Center or some other qualified source. Additional information may be obtained from the Personnel Office or a member the Division of Student Development. Any inquiries will be treated confidentially.

Drug and alcohol counseling, treatment, or rehabilitation services are available in the community to students and employees.

College Sanctions and Penalties

Knox College employees or students found in violation of the prohibitions set forth under Prohibited Conduct in this Section will be subject to disciplinary action up to and including dismissal, suspension, or termination 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.

Biennial Policy Review

Knox College will review this policy biennially to determine its effectiveness and to recommend changes in the program to the President if they are needed. Such a review will also determine that the College's disciplinary sanctions are consistently enforced.

Health Risks Associated with Alcohol

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 the 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. (*What Works: Schools Without Drugs*, 1989 edition).

More information is available at: www.edc.org/hec.

D. Increasing Faculty Diversity -- Opportunity Hires

Vetted with FASCom and distributed to Department Chairs, Fall Term 1999

For many years the College has pursued its commitment to diversity in the work force in two ways: by an assertive affirmative action dimension in searches to fill new or vacated faculty positions, and by pursuing special opportunities, where they have arisen, to make appointments that help further diversify the faculty and the curriculum.

It is still possible for the College to respond to those latter opportunities. If departments are able to identify individuals whose appointment would enrich the curriculum and further diversify the faculty, you should bring them to the attention of the Dean of the College. In doing so, you should consider the following four guidelines:

1. The appointment must enhance the ethnic diversity of the faculty.
2. The appointment fits within the curriculum and enriches existing programs (majors, concentrations, FP, AP).
3. The appointment fits into the curriculum in areas where there are strong enrollments.
4. The candidate is an individual with the credentials and talents commensurate with our collective expectations for effective teaching, productive research/creative work, and institutional service.

Persons appointed in this way can become tenured, although should such positions be vacated there is no assurance that the position will be continued in the same department/program.

These special appointments can occur only in departments which are not already advertising positions for vacated existing or new positions.

The College remains strongly committed to diversifying the work force and the kinds of appointments described here remain an important opportunity to advance a key part of Knox's educational mission.

E. Family Education Rights and Privacy Act (Student Records)

The Family Educational Rights and Privacy Act of 1974 as amended (FERPA), provides educational institutions and students certain rights and protections concerning access to student educational records, as well as the content of those records. A brief unofficial summary of these rights and protections follows.

Within the Knox community, only those persons acting on College business are allowed access to student education records. These persons include personnel in the Office of the President, Vice President for Finance, Registrar, Counseling Services, Financial Aid, Admission, Dean of Students, Dean of the College, the Business Office, Career Services, members (including student members) of faculty committees, academic advisors and academic personnel, within the limitations of their need to know.

The College may disclose "Directory Information" to the public unless a student specifically requests, in writing, that some or all of the information not be released. Directory information includes: student's name, ID picture, email addresses, home and campus addresses, home and campus telephone numbers, date and place of birth, parents, or guardians, name, address and phone number, name of faculty advisor, major(s), concentration, academic course and program enrollment (including participation in off-campus study programs), dates of attendance at Knox, class year, degrees and awards received, previous educational institutions, participation in extracurricular activities, and weight and height of members of athletic teams. Students may withhold all or categories of directory information by submitting a Federal Educational Rights Privacy Act Form to the Office of the Registrar. A withholding request is valid only for the remainder of the academic year after the date of submittal. The College reserves the right to release directory information in campus directories prepared for publication prior to the receipt of a withholding request. Students must submit a withholding request for every academic year they attend Knox.

No other information in the student's educational records will be released to the public without the student's written authorization to do so, unless the student has previously waived his or her right to access and release of the information.

The College may disclose educational record information to parents of a student who is treated as a dependent for income tax purposes. If the student does not qualify as a dependent, a formal release must be submitted by the student to permit a parent to have access to the student's educational record.

This act also provides that the student has the right of access to his or her own records, the right to challenge the contents of those records if the student believes the information contained in the record is inaccurate or misleading, and the right to have explanatory

statements included in the records. Students who wish to review materials which are part of their record should make a request to the Dean of Students.

Within FERPA guidelines, the Division of Student Development and other College offices make every effort to cooperate when parents raise concerns about their daughter's or son's academic progress or personal adjustment.

Information about FERPA is available at

<https://www2.ed.gov/policy/gen/guid/fpco/ferpa/> and <https://studentprivacy.ed.gov/>

F. Guidelines for Use of Institutional, External, Start-Up, and Moving Expense Funds

Approved by the Executive Committee, January 2014

Knox College provides funding to support faculty teaching and pedagogy, and research, scholarship and creative activity. The funds derive from several sources, including start-up funds provided to new faculty, restricted funds, and operating funds. These funds are not considered personal compensation, therefore they are not taxable as income. They also cannot be used to supplement a faculty member's academic year salary, or to cover personal expenses, except for moving expenses.

General Institutional Support Funds

These funds are allocated by the College for specific purposes in support of faculty development, including teaching and pedagogy and research, scholarship, or creative activity. These funds may be included in a department or program's operating budget, allocated by the Committee on Faculty Resources (CoFR), or provided from discretionary accounts.

1. All equipment and materials purchased from College funds are the property of Knox College.
2. The College provides a computer for each faculty member's office, either a desktop or a laptop. Not all software is available on all operating systems and Information Technology Services (ITS) provides full support only for Windows and the Macintosh OS. Faculty may upgrade their office computer from a standard configuration (either increasing the capability of the desktop system or to a laptop computer) using grant or start-up funds, or upon approval by the Dean. While a laptop may be removed from campus, the College does not provide, through start-up funds or other funds, a dedicated computer or printer for home use.
3. The College will provide a second on-campus computer for faculty to meet certain approved needs, for example, if needed to control an experiment, etc.
4. Ordinarily, all computer equipment and software must be purchased through Information Technology Services (ITS). Exceptions to this may involve specific computer units, software, or peripherals that are part of a larger piece of equipment (e.g., in the sciences). While consultation with ITS is the preferred manner of making purchases, in some time-sensitive cases, faculty may purchase equipment and software on their own. If a department wishes to routinely make purchases on its own, this must be discussed with ITS and the Dean of the College to establish a clear understanding of the need and procedures to be followed. A department or faculty member should ensure that purchases result from appropriate consultation with all relevant departments (e.g., ITS, Audiovisual, Instructional Technology

Support) in order to ensure compatibility of equipment and availability of institutional support.

5. Ordinarily, all College-owned computers are serviced by or through ITS. All used computers are recovered by ITS.
6. Software purchased with College funds is the property of Knox College. Licensing agreements should be signed by a College official, not a department head or individual faculty member. Faculty may install personal software on their college computer provided that they have the legal right to do so. The College assumes no responsibility for insuring that such software will run or be compatible with college applications, and reserves the right to remove such software if it interferes with the operation of College equipment.
7. Whenever possible, smart phones, stereos, amplifiers, projectors, scanners, other equipment, routine supplies and consumables should be purchased through the College.
8. The College has a tax-exempt number to use when making purchases. If a purchase is made through the normal purchase order process, the College's tax-exempt number will be conveyed to the vendor by the College. If a purchase is made with a College credit card, the purchaser must give the vendor the tax-exempt number. Taxes will not be reimbursed for any purchases made with out-of-pocket funds or personal credit cards.
9. Purchases of equipment and materials not specifically covered by these guidelines may be permissible based on consultation with the Dean of the College.
10. All purchases require detailed receipts.

External Funding

Equipment purchased through external grants must follow the policies set by the funding agency. Unless otherwise noted, equipment is the property of Knox College.

Start-Up Funds

In addition to the guidelines for General Institutional Support Funds, Start-Up Funds also follow these guidelines:

1. Start-up funds allocated to new faculty are to be used for initial expenses in establishing the faculty member's instructional program and in establishing the faculty member's research, scholarly, or artistic program.
2. Start-up funds provide institutional support to help new faculty establish a basis for their continued teaching excellence, research, scholarship or creative work, and

make initial progress on projects that will strengthen proposals for external support. Start-up funds are meant to complement, rather than replace, external funding. Faculty should begin, early in their tenure at Knox, working with the Sponsored Programs office for external grant support.

3. General uses of start-up funds include specialized equipment, expendable supplies, specialized software, expenses related to research (e.g., travel to field sites, special collections and libraries). In some cases, start-up funds may be used for facilities renovation expenses.
4. Start-up funds may be used for the purchase of books required for new course preparation or for specialized research needs beyond those considered appropriate for the College library collections.
5. If a person's employment with the College is terminated prior to the expenditure of start-up funds, or if a person accepts an appointment elsewhere prior to the use of all start-up funds, the remaining balance cannot be used except with approval of the Dean of the College prior to the expenditure of funds.
6. The terms and duration of start-up funds are established at the initial appointment. Ordinarily, start-up funds cannot be used for a period longer than three years. These terms may subsequently be revised or extended after consultation and approval by the Dean of the College.
7. Equipment and materials purchased by the College are the property of the College.
8. Equipment purchased with start-up funds is not automatically replaced or upgraded by the College. Faculty should consult with the Dean well in advance of any expected replacement need.

Relocation Expenses

Knox College offers relocation expenses to eligible employees, as articulated in the *Moving Expense Reimbursement Guidelines*.

G. Faculty Research and Conference Travel Funds

Funds to support faculty research and creative work, conference travel, and professional development are available according to the schedule published by the Associate Dean for Faculty Affairs in consultation with the Committee on Faculty Resources (CoFR).

Allocations of these resources are based on the recommendations of CoFR, subject to final authorization by the Dean of the College.

I. Research/Creative Work Funds Guidelines

A. Eligibility: All faculty with rank of instructor, assistant professor, associate professor, or professor (excluding emeritus status) are eligible to apply for funding.

B. Priority of Projects

1. First priority - Projects of research, study, performance, exhibition, and other scholarly and professional activities.
2. Second priority - Professional and curricular development projects (Subject matter conferences and workshops, pedagogy and curriculum study, language and other research method skill training) that are not normally considered scholarly research or creative work.

C. Types of Expenditures Eligible for Grant Support

1. Wages for student research assistants.
2. Research supplies and postage.
3. Manuscript preparation and publication costs (normally on a one-to-one matching basis)
4. Travel expenses in accordance with College guidelines.

Transportation at cheapest air or train rate or automobile travel, whichever is least expensive.

Lodging.

Meals, when related to short-term travel. Meal expenses are not covered during sabbaticals / scheduled leaves, and may be limited for extended travel (more than 10 days).

5. Registration fees for subject matter conferences / workshops, i.e., conferences that are devoted to improving the teaching expertise or matters central to the major scholarly activities of the applicant.
6. Honoraria for consultants necessary to the success of the proposed project.
7. Equipment purchases. All such equipment is the property of Knox College.

D. Limitations on Support

1. Funds are not available for faculty salaries or stipends, for release time for faculty, or for salaries for replacement faculty.
2. Research/creative work funds are not available for the costs of attending regular professional meetings.
3. Faculty members on terminal contracts have lowest priority for academic-year support and are not eligible for summer grants.
4. Faculty in the process of completing their dissertations may not receive grants for projects other than their dissertation. Proposals will be considered for support of dissertation research.
5. Personal Expenses (including alcohol, clothing, toiletries/cosmetics, entertainment, health care expenses, childcare expenses, etc.) are normally excluded.

E. Application Procedure

1. Applications are made to the Committee on Faculty Resources, which makes recommendations to the Dean of the College. Application forms and instructions on submission are available at the at the **Faculty Development website**.
2. Application deadlines are announced by the Committee on Faculty Resources. Normally, applications must be received by October 1 for academic year awards, and April 1 for summer awards.

F. Payment Procedures

Reimbursements will be authorized by the Associate Dean for Faculty Affairs upon submission of evidence of the costs incurred. Student wages are paid through the College's payroll.

II. Travel to Conferences and Professional Meetings

All regular full-time faculty and those with at least half-time appointments are eligible for funds for travel to professional meetings. Conference Travel Allocations are made annually to support travel within a given fiscal year.

Funding priority is given to those presenting scholarly papers or participating in formal conference proceedings. "Participation in formal conference proceedings" is defined as activities that involve significant contribution to the conference proceedings such as paper presentation, poster presentation, panel or roundtable discussant, and/or service on conference committees or association governing boards. Roles such as timekeeper,

ceremonial chair, and participant in informal gatherings are not normally included. Consult with the Associate Dean for Faculty Affairs or the Chair of the Committee on Faculty Resources if you are uncertain whether your proposed conference activity qualifies as "formal participation."

Conference Travel Allocations are made on a rolling basis with the requirement that application be made before conference travel commences. Application forms and instructions on submission are available at the **Faculty Development website**.

Reimbursements will be authorized by the Associate Dean for Faculty Affairs upon submission of evidence of the cost incurred. The following expenses are eligible for reimbursement (with receipts):

1. transportation to the conference location
2. hotel expenses
3. meal expenses up to a maximum of \$40 per day
4. conference registration fees
5. necessary local ground transportation

The following expenses are ineligible:

1. alcohol
2. books or any other materials
3. professional association membership dues

A copy of the paper/poster presented and evidence of participation must be submitted with the request for reimbursement.

The Committee on Faculty Resources will announce procedures to allow funding of extraordinary cases of faculty conference travel need that do not fit within the established allocations. Such cases may include opportunities for multiple conference presentations within a single fiscal year, international conferences, discipline-specific issues, and the particular needs of junior faculty, if start-up funds have been exhausted. Funding for these special circumstances will be awarded on a competitive basis.

H. Investigations of Allegations of Research Misconduct

Approved by the Executive Committee, April 2015

Institutions of higher education with one or more faculty members who receive research support from the National Institutes of Health (NIH) or any other agency under the Public Health Service (PHS) are required to develop policies and procedures for handling allegations of research misconduct in projects supported by the PHS. This statement of policy and procedures is intended to carry out Knox College's responsibilities under the Public Health Service (PHS) Policies on Research Misconduct, 42 CFR Part 93. However, this policy applies to Knox College research and related activities, regardless of funding source. The aim of this policy is to promote a culture of honesty in all research, reflecting the closely held values of academic integrity throughout the institution, as represented but not limited to the Knox College Honor Code. Any successful policy must distinguish between deliberate fraud and instances of honest error or debatable interpretation. This policy expresses the College's core commitments to *Veritas*, a spirit of scientific inquiry, and open and equitable processes to promote learning.

General Procedures

1. The Dean of the College (the "Dean") shall be responsible for the receipt of allegations regarding research misconduct and is responsible for their proper handling, ensuring the competence and fairness in the application of the procedures presented in this document and communicating all findings to the Office of Research Integrity (ORI).
2. The College shall take all reasonable steps to ensure impartial and unbiased research misconduct proceedings to the maximum extent practicable. Prior to selection, the College will screen those conducting the inquiry or investigation for any unresolved personal, professional, or financial conflicts of interest with the respondent, complainant, potential witnesses, or others involved in the matter. Any such conflict, which a reasonable person would consider to demonstrate potential bias, shall disqualify the individual from selection. If the Dean is determined to have a conflict of interest in any particular case, the Associate Dean of the College shall carry out the responsibilities of the Dean in that case.
3. The Dean shall inform the College's faculty and staff of these policies and procedures and the importance of compliance with them.
4. Reports of suspected research misconduct must be presented to the Dean of the College. The report should include a description of the alleged misconduct and

provide available evidence. Allegations can be submitted by any means of communication.

5. The Faculty Affairs Subcommittee of the Executive Committee and a representative designated by the Dean will carry out an "Inquiry" into the allegations. An inquiry is an initial review of the evidence to determine if the criteria for conducting an investigation have been met. This committee will report its findings to the Dean.
6. If inquiry committee deems the allegations to meet the definition of research misconduct as defined in this policy and to warrant further action, the Dean will launch an "Investigation" of the allegations. The Investigation shall be conducted by a committee appointed by the Dean in consultation with the Faculty Affairs Subcommittee.
7. After a thorough investigation of the allegations, the appointed committee will submit a written report to the Faculty Affairs Subcommittee.
8. In the case of a report of substantiated allegation of misconduct, the Faculty Affairs Subcommittee, in consultation with the Dean of the College, will make recommendations to the President of the College on appropriate sanctions and institutional action.

Definitions

"Research misconduct" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

- a. Fabrication is inventing data or results and recording or reporting them.
- b. Falsification is altering or manipulating equipment, materials, or procedures or changing or selectively reporting data or results in a way that constitutes an inaccurate record of the research undertaken.
- c. Plagiarism means to present someone else's work as one's own without proper attribution and accurate citation.
- d. Serious deviation from commonly accepted practices would include violations of confidentiality agreements in peer review settings; stealing, damaging, or otherwise disrupting the research activities of others; directing, encouraging, or permitting others to engage in the forms of conduct outlined above.

Complainant: Any individual presenting an allegation of scientific misconduct is a complainant. Respondent: An individual facing an allegation of research misconduct is a respondent.

Rights and Responsibilities of the Complainant and Respondent

9. Complainant

Any individual presenting an allegation of scientific misconduct (“complainant”) is responsible for making such allegations in good faith, maintaining confidentiality (as described in this policy) throughout the procedure, and cooperating with any inquiry or investigation that occurs. Members of the institution may not retaliate against a complainant or anyone participating in the inquiry/investigation in any way. Instances of alleged or apparent retaliation should be reported immediately to the Dean of the College. The complainant is entitled to be notified of whether the inquiry found that an investigation is warranted

10. Respondent

An individual facing an allegation of research misconduct (“respondent”) must be notified in writing of an inquiry or investigation before the inquiry or investigation begins. The respondent is responsible for maintaining confidentiality (as described in this policy) throughout the procedures and cooperating with any inquiry or investigation that occurs. The respondent is entitled to:

- be notified of whether the inquiry found that an investigation is warranted and provided with the inquiry report and a copy of this policy, and will be given the opportunity to respond in writing, which must be included in the inquiry report.
- if the inquiry subsequently identifies additional respondents, they also shall be promptly notified in writing.
- be interviewed during an investigation. The College will notify the respondent sufficiently in advance of the scheduling of his/her interview in the investigation so that the respondent may prepare for the interview.
- have the College interview witnesses that might have information relevant to allegations addressed in the investigation.
- read the draft of the investigation report and be given the opportunity to respond in writing, which must be considered and included in the investigation report. Concurrently, the respondent will be given a copy of, or supervised access to, the evidence on which the report is based. The respondent must submit any comments regarding the draft report within 30 days of the date on which the respondent receives the draft report. The Committee will consider and address the respondent’s comments before issuing the final report.
- be notified in writing of the findings of an investigation and the resulting consequences, if relevant.
- present an admission of guilt and, after consultation with the ORI, have procedures

of inquiry and investigation into research misconduct terminated.

Confidentiality, Interim Protective Actions, and Protection of Records

Confidentiality

The College shall, as required by 42 CFR § 93.108, limit disclosure of the identity of respondents and complainants, to the extent possible, to: (1) those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding; and (2) ORI as it conducts its review of the research misconduct proceeding and any subsequent proceedings. Except as otherwise prescribed by law, any information obtained during the research misconduct proceeding that might identify research subjects shall be maintained securely and confidentially and shall not be disclosed, except to those who need to know in order to carry out a research misconduct proceeding.

Interim Protective Actions

At any time during a research misconduct proceeding, the Dean shall take appropriate interim administrative actions to protect public health, Federal funds and equipment, and the integrity of the PHS supported research process. At any time during a research misconduct proceeding, the College shall notify ORI immediately if it has reason to believe that any of the following conditions exist: (1) health or safety of the public is at risk, including an immediate need to protect human or animal subjects; (2) HHS resources or interests are threatened; (3) research activities should be suspended; (4) there is a reasonable indication of violations of civil or criminal law; (5) federal action is required to protect the interests of those involved in the research misconduct proceeding; (6) the College believes the research misconduct proceeding may be made public prematurely, so that HHS may take appropriate steps to safeguard evidence and protect the rights of those involved; or (7) the College believes that the research community or the public should be informed.

Maintenance and Custody of Research Records and Evidence

Either before or concurrent with notice to the respondent the allegation, the College shall promptly take all reasonable and practical steps to obtain custody of all research records and other evidence needed to conduct the research misconduct proceeding, inventory those materials, and sequester them in a secure manner. Where appropriate, the College will give the respondent copies of, or reasonable, supervised access to, the research records. In cases where the research records or evidence encompasses scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.

Unless custody has been transferred to HHS, or ORI has advised the College in writing

that it no longer needs to retain the records, all records of research misconduct allegations and proceedings – including documentation of a decision not to investigate – will be maintained by the College in a secure manner for 7 years after the completion of the proceeding or the completion of any PHS proceeding involving the research misconduct allegation, whichever is later. Irrelevant or duplicate records (as determined by the Dean) need not be retained; however, the Dean must document the determination of irrelevant or duplicate records.

Inquiry

Upon receipt of allegations of research misconduct, the Dean shall promptly assess whether the allegation to determine if:

- (1) it meets the definition of research misconduct in this policy; and
- (2) in the allegations is sufficiently credible and specific so that potential evidence of research misconduct may be identified. If the allegation is found to meet these three criteria, the Dean shall order an immediate inquiry into the matter to be conducted by a designated representative of the Dean and the Faculty Affairs Sub--committee of the Executive Committee (collectively, the “inquiry committee”).
 - a. Such inquiry will be completed within 60 calendar days including the submission of a written report to the Dean, unless the inquiry committee determines that more time is required. If the inquiry takes longer than 60 days to complete, the inquiry committee shall include documentation of the reasons for the delay in the inquiry record.
 - b. Due precautions against real or apparent personal, professional, or financial conflicts of interest in an inquiry shall be taken.

Inquiry Process

The inquiry committee will normally interview the complainant, the respondent, and key witnesses, as well as examining relevant research records and materials.

The inquiry committee will then evaluate the evidence, including the testimony obtained during the inquiry. An investigation is warranted if the committee determines: (1) there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct; and, (2) the allegation may have substance. After consultation with the Dean, the committee members will make a written determination of whether an investigation is warranted based on the criteria in this policy.

The inquiry committee shall prepare an inquiry report and give the respondent a reasonable opportunity to comment on it. The inquiry report shall contain the following information: (1) the name and position of the respondent(s); (2) a description of the allegations of research misconduct; (3) relevant funding sources including PHS support

involved (e.g., grant numbers, grant applications, contracts, and publications), if any; (4) the basis for recommending that the alleged actions warrant an investigation, if such a recommendation is made; and (5) any comments on the report by the respondent or the complainant.

An inquiry is not required to and does not normally include deciding whether misconduct definitely occurred, determining definitely who committed the research misconduct, or conducting exhaustive interviews and analyses. However, if a sufficient admission of research misconduct is made by the respondent, misconduct may be determined at the inquiry stage if all relevant issues are resolved. In such cases, the institution shall promptly consult with ORI to determine the next steps to be taken.

Notifications to and Cooperation with ORI

If the inquiry committee determines that an investigation is warranted, the Dean will provide ORI with the inquiry committee's written decision and a copy of the inquiry report within 30 calendar days of the determination and on or before the date on which the investigation begins. The Dean will also notify those institutional officials who need to know of the committee's decision. The Dean must provide the following information to ORI upon request: (1) the institutional policies and procedures under which the inquiry was conducted; (2) the research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and (3) the charges to be considered in the investigation.

The Dean shall promptly advise ORI of any developments during the course of the investigation which disclose facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.

The Dean shall notify the ORI of the final outcome of the investigation with a written report that thoroughly documents the investigative process and findings.

The College shall, upon request, provide records relevant to a research misconduct allegation, including the research records and evidence, to authorized Department of Health and Human Services (HHS) personnel.

The College shall cooperate fully and on a continuing basis with ORI during its oversight reviews of this institution and its research misconduct proceedings during the process under which the respondent may contest ORI findings of research misconduct and proposed HHS administrative actions. This includes providing, as necessary to develop a complete record of relevant evidence, all witnesses, research records, and other evidence under the College's control or custody, or in the possession of, or accessible to, all persons that are subject to the College's authority.

Investigation

If findings from an inquiry provide sufficient basis, a formal investigation shall be initiated within 30 calendar days of the completion of an inquiry. Such an investigation shall be conducted by a committee of impartial experts appointed by the Dean upon the recommendation of the Faculty Affairs Sub---committee. The investigation shall be completed within 120 calendar days, including conducting the investigation, preparing the report of findings, providing the draft report for comment, and sending the final report to ORI. If unable to complete the investigation within 120 days, the College must ask ORI for an extension in writing.

11. The investigation committee will have five (5) members.
12. Due precautions against real or apparent conflicts of interest in an investigation shall be taken.
13. The affected individual(s) shall be accorded confidential treatment to the maximum extent possible, a prompt and thorough investigation, and an opportunity to comment on allegations and findings of the investigation.
14. The Public Health Service's (PHS) Office of Research Integrity (ORI), at the National Institutes of Health (NIH), shall be informed at the outset of the determination to have a formal investigation.
15. Should a reasonable indication of possible criminal violations be discovered, ORI shall be informed within 24 hours.

Investigation Process

The Dean will define the subject matter of the investigation in a written charge to the committee that:

- Describes the allegations and related issues identified during the inquiry;
- Identifies the respondent;
- Informs the committee that it must conduct the investigation as prescribed in section E;
- Defines research misconduct;
- Informs the committee that it must evaluate the evidence and testimony to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, the type and extent of it and who was responsible;
- Informs the committee that in order to determine that the respondent committed research misconduct it must find that a preponderance of the evidence establishes that: (1) research misconduct, as defined in this policy, occurred (respondent has the burden of proving by a preponderance of the evidence any affirmative

defenses raised, including honest error or a difference of opinion); (2) the research misconduct is a significant departure from accepted practices of the relevant research community; and (3) the respondent committed the research misconduct intentionally, knowingly, or recklessly; and

- Informs the committee that it must prepare or direct the preparation of a written investigation report that meets the requirements of this policy and 42 CFR § 93.313.

Initial Meeting: The Dean will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided with a copy of this statement of policy and procedures and 42 CFR Part 93. The Dean will be present or available throughout the investigation to advise the committee as needed.

Committee activities: The investigation committee will interview the complainant, the respondent, and key witnesses, as well as examining all relevant research records and materials. The committee shall be diligent in ensuring that the investigation is thorough, maintaining a spirit of impartiality to the maximum extent possible, and pursue all significant issues and leads, including any evidence of additional instances of misconduct. The committee must determine, for each allegation, whether the preponderance of evidence substantiates the claim of research misconduct or the evidence indicates a case of honest error or difference of opinion.

Maintenance of records: The committee will maintain complete and thorough records of all material examined and all interviews conducted. Transcripts or recordings of all interviews must be produced and maintained.

Investigation report: The committee must submit a written draft report on its investigation and deliberations to the Dean of the College. The Dean must provide the respondent with an opportunity to respond to the draft report; any response must be included in the final report.

The Dean will return the final report to the committee.

This report must include:

- Description of the specific allegations investigated.
- Detailed description of PHS support.
- A copy of institutional policies and procedures used.
- The charge to the investigation committee

- A summary of the records and evidence reviewed, identifying any evidence taken into custody but not reviewed. The report should also describe any relevant records and evidence not taken into custody, and explain why.
- Analysis of each specific allegation of misconduct, including evidence used in evaluating the allegation and any reasonable explanations provided by the respondent.
- Identify any specific PHS support related to each allegation
- Identify whether the misconduct was fabrication, falsification, plagiarism, or other serious deviation from accepted practices.
- Identify the person(s) responsible for the misconduct
- The criteria used for determining a finding of misconduct
- Identify any publications needing correction or retraction
- List any current support or known applications or proposals for support that the respondent has pending with non-PHS federal agencies
- An opportunity for the respondent to comment and inclusion and consideration of the comments.

Determination of Findings and Institutional Action

The Final Investigation Report will be forwarded to the Faculty Affairs Subcommittee of the Executive Committee. In the event that an allegation of research misconduct has been substantiated, the Faculty Affairs Subcommittee, in consultation with the Dean, will determine appropriate sanctions and make recommendations to the President of the College for institutional action. The respondent will be notified in writing of any institutional action resulting from the investigation.

Upon completion of an investigation, the Dean shall make all reasonable and practical efforts to protect or restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, and to protect or restore the positions and reputations of any complainant, witness, or committee member and to counter potential or actual retaliation against those complainants, witnesses, and committee members.

The College will also cooperate with and assist ORI as needed to carry out any administrative actions HHS may impose as a result of a final finding of research misconduct by HHS.

I. Policy on Intellectual Property Ownership

Approved by Executive Committee, April 2015

In furtherance of the College's goal to encourage creative and scholarly works, Knox College has adopted this Policy on Intellectual Property Ownership.

Copyright Ownership

As "works made for hire" are defined under Section 101 of the Copyright Act of 1976, works created by an employee within the scope of his or her employment are owned by the employer. The College does not intend for this "works made for hire" doctrine to apply to faculty-created works unless extraordinary resources of the College are used in the creation of a work. Therefore, faculty members will own the copyrights in works that result from a faculty member's pursuit of traditional teaching, research and scholarly activities, including the creation of books, articles and other literary works; computer software; inventions; artistic, musical or dramatic works; or course materials, whether in traditional or electronic form, unless extraordinary resources of the College were used in the creation of the work. With regard to any particular creative work, the College and the faculty member(s) may mutually agree on an alternative ownership arrangement, including joint ownership.

Any work created by a staff member or officer of the administration (including a faculty member when acting in his or her capacity as an officer) generally constitutes a "work made for hire," and the College asserts copyright ownership in such works unless an alternative ownership arrangement is agreed upon.

Copyright in works created by students are owned by the student unless: (1) the work is created within the scope of the student's employment at the College; (2) the student is assisting a faculty member with research or creation of a faculty work; (3) the student is working on a project funded by external research grants that govern the ownership of a work; or (4) an alternative ownership arrangement is agreed upon. In most cases of faculty-student work, the student will not obtain any copyright ownership in the resulting work; however, in some circumstances, a student may contribute significantly to the creative aspect of development of the work. In such cases, it may be appropriate for the faculty and the student to enter into an agreement regarding ownership and/or attribution. Such agreements should be made in consultation with the Dean of the College.

Patent Ownership

Under patent law, inventions are owned by the inventor and not the employer unless the inventor agrees to assign his or her rights in an invention to the employer. Unless extraordinary resources of the College are used in the creation of a work, the College will not expect the faculty member to assign his or her rights in an invention conceived,

developed, or discovered during the faculty member's employment with the College. With regard to any particular invention, the College and the faculty member may mutually agree on an alternative ownership arrangement. Use of funds provided through external research grants awarded to individual faculty members will follow the restrictions of the granting organization.

Definition of Extraordinary Resources

"Extraordinary resources" may consist of special released time from regularly assigned duties (but not a sabbatical or similar leave); investment by the College through funds or staff; the College's purchase of special equipment for the project; or extraordinary use of the College's computing resources. Use of incidental supplies, use of a college computer in a faculty office, or use of college personnel or shared facilities on an occasional basis will not be considered use of extraordinary resources. (As noted above, use of funds provided through external research grants awarded to individual faculty members will follow the restrictions of the granting organization.) The College will determine whether extraordinary resources have been used on an individual basis. Faculty members have the right to receive clarification of the status of institutional resources for their work at any time but are encouraged to obtain such clarification as early as possible in the life of the project.

Further Actions

For all works in which the College retains ownership, the faculty member agrees to cooperate with the College and take any further actions necessary to effectuate ownership by the College.

College Name and Logo

Any use of the College's name or logo (other than to identify the creator by his or her title at Knox College) in connection with a work created by a faculty member or other employee may create an impression of sponsorship by or other connection to the College and therefore must be approved in advance by the Dean of the College.

Administration

This Intellectual Property Ownership Policy will be administered by the Dean of the College. Disputes concerning application of this policy will be resolved by a review panel of three members consisting of the President, a representative appointed by the creator of the work, and a representative appointed by the Dean of the College.

*Adapted with permission from the St. Olaf College Policy

J. Financial Conflict of Interest Policy for Federally Funded Research Grants

A. Summary

The Federal Government requires Knox College to maintain and make available to the public a written policy regarding the identification, management, and disclosure of Investigators' financial conflicts of interest that may, or may reasonably seem to, affect research funded or partially funded by federal grants. The College is also required to provide conflict of interest training to Investigators who design, conduct or report on federally funded research grants. This policy shall fulfill the requirements of applicant and grantee institutions as delineated by the National Institutes of Health and the National Science Foundation.

B. Background

In August 2011, the U.S. Department of Health and Human Services revised its regulations regarding financial conflict of interest held by scientific Investigators conducting research funded by the federal government. The regulations were revised in response to the increasing complexity of relationships among Investigators, private industry, and the government, and the increasing likelihood that such relationships might have, or seem to have, the potential to affect research integrity.

The revised regulations were enacted to ensure that research funded by the Public Health Service (PHS) is free of bias stemming from Investigator financial conflicts of interest (FCOIs). The regulations follow:

- 42 CFR Part 50, Subpart F, *Responsibility of Applicants for Promoting Objectivity in Research for Which Public Health Funding is Sought* (pertaining to grants and cooperative agreements)
- 45 CFR Part 94, *Responsible Prospective Contractors* (pertaining to contracts)

NIH awards made before August 24, 2012 are subject to the prior (2005) regulations. Awards made on or after August 24, 2012 are subject to the revised regulations.

In response to the same circumstances, the National Science Foundation also maintains conflict of interest policies that stipulate most of the same requirements of funded institutions, differing slightly in some respects from those of the National Institutes of Health. (NSF 15-1 and NSF 16-1 Award and Administration Guide, Chapter IV--Grantee Standards, A. Conflict of Interest Policies).

C. Purpose

The public relies upon the validity of research conducted in colleges and universities, medical research centers, and other academic research centers. Public funds support much of this research, and it should be held to the highest ethical standards in order for it to

benefit society. Institutions receiving federal research funding must therefore insure that Investigators' financial interests do not create unacceptable risks to research integrity.

The government regulations promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of federally funded research will be free from bias resulting from Investigators' financial interests.

D. Disclosure of Significant Financial Interests

Who must disclose

All individuals who are responsible for the design, conduct, or reporting of research funded, or proposed for funding, by NIH, NSF, FDA, or other federal agencies ("Investigators") are required to disclose to the College the Significant Financial Interests (SFIs) of self, legal spouse, and dependent children.

Investigator is defined as principal Investigator (PI), co-PI, project director (PD), co-PD, or any other person—regardless of title or position—who is responsible for the design, conduct, or reporting of research funded, or proposed for funding, by NIH, NSF, or other federal agency. In some circumstances, this may include Senior Personnel, collaborators or consultants. In general, this does not include undergraduate researchers or trainees, but it may under certain circumstances.

When and how disclosures are made

Each Investigator subject to this policy must submit a written disclosure regarding Significant Financial Interests *before* a federal research proposal is submitted. These disclosures must be updated in writing:

- Annually within the period of the federal award including any extensions, during the month of January; *and*
- Within 30 days of discovering or acquiring a new Significant Financial Interest within the period of the federal award, including any extensions.

Investigators shall be make these disclosures using a form and process that Knox College administers through the Office of Corporate, Foundation, and Sponsored Research Support.

What must be disclosed

Each Investigator subject to the policy must disclose all Significant Financial Interests (SFIs)—their own, as well as those of any spouse, legal partner, and dependent children—that reasonably appear to be related to the Investigator's institutional responsibilities.

Institutional responsibilities are defined as teaching, research, service to the College, and any other professional work undertaken as an employee of Knox.

Significant Financial Interests (SFIs) are defined as things of monetary value (whether or not the value is readily ascertainable) received or owned by the Investigator or by the Investigator's spouse, legal partner, or dependent children. For all SFIs described below, the aggregated value of interests received or owned by the Investigator, the Investigator's spouse or legal partner, and the Investigator's dependent children should be used to determine whether disclosure is necessary and what information to disclose.

Types of SFIs include: equity (stock, stock options, ownership) in publicly or privately held companies; salary or other payments for services; reimbursed or sponsored travel; and intellectual property rights.

1. With regard to any *publicly traded entity*, a Significant Financial Interest exists if the combined value of any equity interest as of the disclosure date plus any remuneration received from the entity in the twelve months preceding the disclosure exceeds \$5,000.
2. Equity interest includes any stock, stock option, or other ownership interest as determined through reference to public prices or other reasonable measures of fair market value.
3. Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship).
4. With regard to any *non-publicly traded entity*, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or spouse, legal partner, or dependent children) owns any equity interest in the entity, regardless of dollar value.
5. Income (e.g., royalties) from intellectual property rights and interests (e.g., patents, copyrights), except that covered under Exception #1 (below).
6. Sponsored or reimbursed travel related to the Investigator's institutional responsibilities, except for travel covered under Exception #4 (below).

Exceptions. The term Significant Financial Interest does not include the following:

1. Salary, stipends, royalties, or other remuneration paid by Knox College to Investigators employed or appointed by Knox. This includes any intellectual property rights assigned to the College, and agreements to share in royalties related to such rights.
2. Income from investment vehicles, such as mutual funds and retirement accounts, need not be disclosed so long as the Investigator does not directly control the investment decisions made in these vehicles.

3. Income from seminars, lectures, or teaching engagements sponsored by—or services on advisory committees or review panels for—a federal, state, or local government, institution of higher education, academic teaching hospital, medical center, or research institute that is affiliated with an institution of higher education.
4. Travel reimbursed or sponsored by Knox, or by a federal, state, or local government, institution of higher education, academic teaching hospital, medical center, or research institute that is affiliated with any institution of higher education.

E. Determination and Management of Significant Financial Interests

Disclosures made under this policy will be reviewed by Knox's Vice President for Finance and Administration, who will be responsible for determining:

1. Whether the SFI is related to the federally-funded research, or could reasonably seem to be related: i.e., whether it could be affected by the federally-funded research or is an entity whose financial interest could be affected by the research. The Vice President for Finance and Administration may involve the Investigator in this review.
2. If the Vice President for Finance and Administration determines an SFI is related to, or could reasonably seem to be related to, the federally-funded research, he or she shall then reasonably determine whether the SFI could directly and significantly affect the design, conduct, or reporting of the federally-funded research (i.e., whether the SFI is a Financial Conflict of Interest).

For an initial disclosure, this review shall take place prior to any expense being charged to the grant fund account. For subsequent disclosures, this review shall take place within 60 days.

If the Vice President for Finance and Administration determines that a Financial Conflict of Interest exists, he or she shall work with the Investigator (and any others who may be appropriate, such as the Vice President for Academic Affairs/Dean of the College, faculty or staff with relevant expertise, and/or outside experts) to either eliminate the conflict or develop a management plan.

If an FCOI is promptly eliminated (through means such as selling an equity interest, severance of relationships that create financial conflicts, or change of grant personnel or personnel responsibilities), then the FCOI no longer exists and does not need to be reported.

If eliminating the FCOI is not feasible or desirable, a plan shall be developed to manage the conflict. The plan shall include:

- Name, role, and principal responsibilities of the conflicted Investigator.
- Project title and federal award number.

- Explanation of the nature of the FCOI, including the name of the entity with which the conflict exists and the approximate dollar value of the SFI (or a statement that the value is not readily ascertainable).
- Conditions of the management plan and how compliance with these conditions will be monitored.
- Justification of how the management plan is reasonably expected to safeguard objectivity in the design, conduct, and reporting of the research project.
- Confirmation that the conflicted Investigator and the Vice President for Finance and Administration agree to the plan.
- Other information as determined by the Vice President for Finance and Administration to be appropriate.

Actions that may be specified in the management plan to safeguard the integrity of the research enterprise may include, but are not limited to: public disclosure of financial conflicts of interest in all publications and presentations based upon the research; divestiture of the financial interest; monitoring of the research by an independent reviewer; modification of the research plan; change of personnel or personnel responsibilities, or disqualification of the conflicted personnel from participation in all or a portion of the research.

Knox College will report each FCOI and management plan in compliance with the sponsoring federal agency's requirements.

If, for whatever reason, an FCOI is not disclosed or managed in a timely manner and research work has been undertaken while the conflict exists, the VPFA may convene a task force to conduct a retrospective review; to determine whether the FCOI resulted in any bias in the design, conduct, or reporting of federally-supported research; and to recommend a mitigation plan if necessary. This retrospective review shall be undertaken, and its findings and recommendations reported, in a manner consistent with the requirements of the sponsoring federal agency.

Subrecipients

Knox College must take reasonable steps to ensure that all subrecipients of federal research award funds granted to it comply with federal regulations regarding Financial Conflicts of Interest. To that end, the College will include, in written agreements with each subrecipient, terms that specify whether this policy, or the applicable policy of the subrecipient's institution, will apply to subrecipient Investigators. If the subrecipient institution's policy will be used, the agreement will further include a certification that the subrecipient institution has adopted and enforces FCOI policies that comply with applicable federal regulation, and will specify the timing of subrecipient reports to Knox

College of identified FCOIs such that Knox can timely complete its FCOI report (if any) to the sponsoring federal agency.

F. Required FCOI Training, FCOI Policy Administration and Enforcement

Required FCOI training shall be provided to Knox College Investigators by the office of Corporate, Foundation, and Sponsored Research Support. This training will be required:

1. Before submittal of a new Federal research grant, by each proposed Investigator (as defined previously) under the grant. This training must be completed before the proposal is submitted.
2. Of any Investigator who has not participated in FCOI training in the prior four years.
3. Of all Investigators, any time Knox College revises this policy or related procedures in a manner that affects the requirements of Investigators.
4. Of an Investigator is new to Knox College.
5. Any time Knox College finds that an Investigator is not in compliance with this FCOI policy or an FCOI management plan.

The Office of Corporate, Foundation, and Sponsored Research Support will solicit financial disclosures during the proposal development process and annually during the award during the month of January, and will also collect financial disclosure statements on behalf of the Vice President for Finance and Administration.

Documentation relating to the implementation of this policy—including financial disclosures, the determinations of the Vice President for Finance and Administration, FCOI management plans, and evidence of plan monitoring—will be maintained as part of the record for each applicable federal research proposal or award for at least three years after the final financial report is submitted. These documents will be treated as confidential records similar to other grant documents containing salary or other personal financial information.

Investigators are required to comply with this policy as a condition of applying for and receiving federal research grants administered by Knox College. Investigators failing to comply with this policy may be subject to disciplinary proceedings and sanctions as appropriate under the relevant institutional policies for faculty, staff, or students.

This policy shall be made publicly available on the Knox College website. Information on identified FCOIs held by senior/key personnel shall be provided by written response to any requestor within five business days of a request.

K. Policy on Acceptable Use of Information Technology Resources

Access to information technology resources owned or operated by Knox College is a privilege and imposes certain responsibilities and obligations, and is granted subject to College policies, and local, state, and federal laws. Acceptable use always is ethical, reflects academic honesty, and shows restraint in the consumption of shared resources. It demonstrates respect for intellectual property, ownership of data, system security mechanisms, and individuals' rights to privacy and to freedom from intimidation and harassment. It does not bring the reputation of the College into disrepute.

Information technology resources are defined as all computer-related equipment, computer systems, software/network applications, interconnecting networks, facsimile machines, voice-mail and other telecommunications facilities, as well as all information contained therein owned or managed by Knox College.

The full policy is available on the Information Technology Services web page at <https://www.knox.edu/offices/information-technology-services/computer-use-policies>.

L. Policy Concerning Investigations Involving Human Subjects

Revised 10.2020

Knox College Institutional Review Board (IRB)

A. Mission, Goals, and Guidelines

A.1 - Mission

The U.S. government requires that any research project involving human subjects conducted at institutions that receive federal funding must be reviewed by an Institutional Review Board (IRB) at that institution before data collection commences; this is true even if the project is not receiving federal funding. The IRB at Knox College is responsible for overseeing all research at Knox College that involves the use of human subjects. The ultimate goal of the IRB is to safeguard the well-being of individuals who participate in research conducted by Knox College and/or its faculty, staff, and students and to ensure that research occurring at Knox College meets accepted ethical standards. The Knox IRB also reviews projects conducted by outside researchers who wish to collect data from members of the Knox College community.

The Knox College IRB is not intended to be an impediment to research; it seeks to work with researchers to develop research protocols that will receive IRB approval.

A.1.a - Definition of Research with Human Subjects

Knox College follows established federal guidelines by defining "research" as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." A research project will usually be defined as using "human subjects" if it involves acquiring information/data from at least one living person and if **any** of the following four conditions are met:

Condition 1 - the researcher(s) will be interacting with the person or intervening in or interrupting the normal daily activities of that individual;

Condition 2 - the researcher(s) will gather information from the person that would ordinarily be private, such as the person's beliefs or attitudes;

Condition 3 - the researcher(s) will be acquiring, either directly from the person or in some other manner, identifiable private information about the individual, such as medical conditions, sexual identity, and so forth; or

Condition 4 - the researcher(s) will observe behavior in a situation in which the person might reasonably expect privacy and freedom from observation.

A.1.b - Basic Standards for Research with Human Subjects

The Knox College IRB ensures that researchers adhere to the following minimum standards for research with human subjects, as specified by U.S. Federal Law.

Standard 1 - Human subjects should not be placed at undue risk. Subjects are considered to be at "minimal risk" if "the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests." If the risk of the study is somewhat higher than minimal, it is absolutely necessary to inform subjects of this possibility during the consent procedures (see below). No research procedures may be used that are likely to cause serious or long-lasting physical or psychological harm to a research subject.

Standard 2 - Informed consent procedures must be established before beginning research. Under most circumstances, subjects must give informed consent before participating in research. The purpose of informed consent is to provide potential subjects with sufficient information in order to make a decision as to whether they would like to participate, to ensure subjects comprehend the nature of their involvement in the research project, and to ensure that subjects have actually chosen to participate. When providing informed consent, researchers shall inform subjects about all aspects of the procedure that may influence the subjects' willingness to participate. The IRB will provide researchers with detailed information as to what sorts of information it expects to be included in informed consent procedures.

- A. Research that imposes more than a minimal risk on participants typically requires written consent signed by the participant. When appropriate, other forms of documentation may be substituted for written signed consent. Research involving no more than minimal risk of harm to human participants still requires the participants' consent, but may not require documentation of that consent. Research that entails deception, or work with vulnerable populations, is unlikely to qualify for a waiver of documentation, as it usually entails more than minimal risk.
- B. The requirement to document informed consent may be waived if: (1) documentation is the only thing tying the identity of your research participant to the study, and (2) the principal risk to participants is a breach of confidentiality. Waiving documentation of informed consent does not release the researcher from the responsibility of obtaining informed consent.
- C. When contact with research participants is only incidental, identifying information is not being recorded about a person, and the study entails no more than minimal risk, consent may be assumed. For instance, in the course of ethnography or direct observation of a large, non-public gathering, a researcher is not required to obtain consent from every attendee. Participants involved in any kind of direct research instrument, including but not limited to surveys, interviews, and direct ethnographic informants usually must provide explicit consent to participate in the research.

- D. Informed consent procedures should ensure that they do not violate local customs, beliefs, and practices. Particularly when working in cultures other than one's own, researchers should take account of communities' beliefs, understandings of appropriate behavior, and concerns when designing their research protocols and consent procedures. Respecting local beliefs and practices often requires going beyond what is strictly required by local legal codes. For instance, where relevant, researchers should account for and, when necessary, modify their research protocols and consent procedures to account for local understandings about: kinship; who is and is not capable of giving consent on behalf of individuals and communities; appropriate treatment of bodily substances and photographs; and/or what kinds of information and knowledge communities consider appropriate for sharing beyond its members. While researchers are always expected to follow the local laws of the jurisdictions in which they are present, it may also be necessary to modify protocols to account for security and/or political concerns. For instance, when there is an elevated risk that notes about vulnerable populations may be subject to confiscation by local authorities, researchers should incorporate extra protections into their protocols. Where appropriate, the IRB may grant modifications to informed consent and/or documentation procedures in cases where these procedures might violate the norms of distinct cultural groups.

Standard 3 - Some potential subjects have limited capacity to consent; examples include children under age 18 years of age, individuals with severe developmental delays or psychotic symptoms, prisoners, etc. If individuals deemed to have limited capacity to give informed consent will participate in the research project, both the consent of a parent (or other responsible adult) and the assent of the child (or other individual who has limited capacity to give consent) are required. Said differently, children and people with limited capacity to consent cannot consent to participate on their own, but they must at least assent to participate.

Standard 4 - Researchers must respect an individual's right to decline participation in the study or to withdraw from research participation without pressure to continue. Any penalties the subjects incur for withdrawing from a study (e.g., loss of extra credit or monetary payment) must be clearly specified during consent procedures.

Standard 5 - All information acquired about individual subjects in research should usually be kept confidential. There are two main exceptions to this rule. First, sometimes researchers are required by law to release information, for example, when they uncover suicidal or homicidal intent, abuse of a child or an elder, etc. Second, researchers may request that a subject allow the researcher to use the subject's name and/or other identifying information in research reports and presentations; confidentiality may be waived if the subject gives explicit permission to do so.

Standard 6 - After subjects have participated in a research project, they have the right to learn more about their role in the project, the nature of the study, and any deception that may have been involved. That is, the subjects must have the opportunity to be debriefed. Ideally, debriefing occurs immediately after the subject is done with the project; it must be done immediately if the procedures were highly stressful or if the subjects received information (accurate or bogus) that could affect them negatively after they leave the research situation. In other cases, the opportunity for debriefing may be delayed until all data have been collected for the project. If subjects have been deceived, during the debriefing the researcher must: a) explain why the deception was necessary; b) provide information about who the subject should contact if s/he feels that the deception was harmful; and c) provide the subject with the option of withdrawing his/her data from the study without penalty.

A.2 - Types Of Projects and Their Relation To The IRB

Researchers might conduct a variety of types of projects. In terms of their relationship to the IRB, these can be classified into four groups, each of which has a distinct relationship to the IRB.

A.2.a - Projects that do not fit the Federal Definition of Research

As noted above, the federal government defines research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." Some projects might include the collection of data from human subjects but not fit this definition of research.

For example, "oral history, journalism, biography, and historical scholarship activities that focus directly on the specific individuals about whom the information is collected" are usually not aimed at developing or contributing to generalizable knowledge. As such, they are typically not considered to be research and usually do not have to be reviewed by the IRB. That said, if an oral history, journalism, biography, or historical project uses methods of systematic investigation (like surveys or experiments) that are typically used in the testing of hypotheses or theories, or if such projects are attempting to develop or contribute to generalizable knowledge, then a proposal should be submitted to the IRB.

Similarly, projects conducted by a professor, or by students in his/her class, that are only for pedagogical/educational purposes would not fit the definition of research. For example, a professor who runs a mock experiment (or conducts a survey) using the students in the class as subjects during a teaching demonstration or a class project does not need IRB approval to do so. IRB approval is also not required if students conduct a project with people outside of the class, so long as the project does not meet the definition of research specified above. On the other hand, professors must seek IRB approval before collecting

data if they or their students are conducting a project that does fit the definition of research specified above.

A.2.b - Projects that are Exempt from IRB Review

According to federal guidelines "Research conducted in established or commonly accepted educational settings, involving normal educational practices" is typically exempt from IRB review. This typically includes "(i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods."

Federal guidelines also specify that "Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior," is exempt "unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation." As such, most research conducted by the Knox College Office of Institutional Research and Assessment that tracks longitudinal and/or comparative data from Knox students and/or students at other colleges and universities would be exempt. Further, most data gathered from Knox students by faculty or administrators with the goal of informing policy decisions, and other information-gathering activities consistent with the advancement of the mission of the college, would also be exempt.

The analysis of data collected in an earlier study is also usually exempt from further IRB review. If existing data of this type have been stripped of any identifying information about the human respondents, the project does not count as "research with human subjects" and no IRB approval is required. For example, suppose that a professor in the Political Science department gains access to survey data about voter attitudes toward controversial political topics that were collected by a consulting firm one week before the 2004 presidential election. The people in the survey were a random sample of 500 voters from Knox County, Illinois. The professor wants to take a new look at the data to answer questions that were not addressed in the original analysis. As long as no individual voter can be identified via the survey data, this project would not need approval by the IRB.

A.2.c - Projects that are Eligible for Expedited IRB Review

If a project meets the definition of research with human subjects and is judged by the IRB chair(s) as having a low probability of creating risk for subjects, and the magnitude of the possible risk is minimal, then the project will undergo an expedited review (see B.2.a below).

A.2.d - Projects that Require Review by the Full IRB

If a project meets the definition of research with human subjects and is judged by the IRB chair(s) as either having a moderate or high probability of creating risks for subjects OR having moderate to high magnitude of risk, then the project will undergo review by the full IRB (see B.2.b below).

A.3 - Commencing Research

If a project meets the definition of research with human subjects and is not exempt, data collection may not begin until the IRB has approved the project.

A.4 - Organization and Composition of the Knox College IRB**A.4.a - The IRB's Standing in the College**

The IRB is a standing committee of the faculty, and it is also subject to the regulations of the U.S. Department of Health and Human Services (DHHS). The Executive Committee appoints Knox faculty members to the IRB for renewable terms of three years. An outside member of the committee is appointed by the chair(s) of the IRB (see below).

A.4.b - Composition of the IRB

The Knox IRB consists of five individuals. Four of these individuals are Knox College faculty members, at least one of whom represents a non-science field. The fifth member of the committee is recruited from outside of the Knox College community, per federal guidelines. The IRB will never consist solely of members of one gender or from one academic discipline.

B. IRB Procedures**B.1 - The IRB Application Process****B.1.a - The Application Mechanism**

The Knox College IRB will provide a mechanism for researchers to submit applications for review by the IRB.

B.1.b - Minimum materials required with an IRB Application

In their applications, researchers will be asked to answer a series of questions about their research projects. The purpose of these questions is to provide the IRB with enough information to determine whether the research project meets all necessary ethical standards and whether they might harm subjects.

Student researchers are required to supply the name and email address of a Knox College faculty or staff member who is sponsoring the research project.

Researchers will provide a description of the procedure(s) to be used in the study. There is no need to inform the IRB of the hypotheses or the rationale for the hypotheses. The description of the research procedures should explain who the subjects will be and how they will be recruited. For most experimental, survey, and interview studies, the researcher should provide the IRB with copies of any materials that will be used in the project, such as questionnaires, interview scripts, stimuli the subjects will see or hear, and so forth. If the researcher is using ethnographic methodologies, such as semi-structured interviews or participant observation, the researcher should provide as much information as possible about the nature of the interviews (including sample questions and the overall goal of the interviews) and about the settings in which participant observations will occur.

Researchers must also provide detailed information about the means by which informed consent (and/or assent) will be attained, given the particular research methodologies they are employing. If consent procedures entail written consent forms, a copy of such forms should be provided. In addition to the names and contact information of the researchers, the form should also provide the name and contact information of the IRB chair(s). If the researcher will use multiple semi-structured interviews or participant observation methodologies, or will have numerous contacts with participants, the researcher should specify the means by which subjects will be reminded of their rights as subjects, including means of assessing ongoing consent to participate in the project.

B.2. - The IRB Review Process

Applications from faculty/staff members will be automatically forwarded to the chair(s) of the IRB. If the researcher is a student, the researcher must also have a mentor approve the IRB application before the IRB chair(s) will begin the review process.

B.2.a - Expedited Reviews

Research projects that have a low probability of risk and that pose a minimal magnitude of risk to the subjects will receive an expedited review from one of the IRB chair(s) or another member of the IRB with expertise in the methodologies used by the project; the IRB will strive to provide a decision within one week's time. The IRB chair(s) will provide the full IRB with regular updates regarding, and access to information concerning, projects approved via the expedited review process.

B.2.b - Full IRB Reviews

When one of the IRB chair(s) decides that a proposal does not meet the criteria for an expedited review, then s/he will send the application to the full IRB for review and discussion. The IRB will meet in person, and in closed session, to discuss the proposal. Approval of the application in this case requires a majority of members of the full IRB to vote in favor of approving the project. Given this more involved process, decisions

regarding these types of projects are likely to take a bit longer. The full IRB will strive to provide a decision for this type of proposal within two weeks.

B.2.c - Review of Research Previously Approved by an IRB at another Institution

Researchers collecting data from individuals at Knox College need to apply for approval from the Knox College IRB. If the study has been previously approved by an IRB at another institution, this information should be included with the Knox College IRB application.

B.2.d - Applications that have been Rejected

If the IRB finds that it cannot approve a proposal, the IRB chair (or the member of the IRB with primary responsibility for reviewing the proposal) will inform the researcher of the additional information that must be submitted or the changes that must be made to the procedures of the research project; the researcher may then submit a new, revised proposal to the IRB. If a proposal is rejected, explicit feedback concerning the reason for denial and instructions for improving the application will be provided. Appeals concerning the need to revise the proposal should be taken up with the IRB chairs.

B.2.e - Amendments to Approved Research Projects

If, during the course of the research project, the researcher wants to change any procedures from what the IRB already approved, or finds that the direction of questioning in semi-structured interviews has changed substantially from what was proposed, the researcher must contact the IRB and request an amendment to the project before continuing with the revised procedure. Amendment requests should include a clear statement of exactly what has changed and exactly what the proposed new procedure will entail.

B.2.f - Conflicts of Interest

If a researcher is a member of the IRB or a student whose project is being supervised by a member of the IRB, the member of the IRB with the conflict of interest will not review the application.

B.3 - IRB Record Keeping

As stipulated by federal law, records of proposals submitted to the IRB, correspondence between the IRB and researchers, and other IRB activities and decisions will be retained for a minimum of three years after the completion of the relevant research project.

B.4 - IRB Reporting Mechanisms

The full IRB will meet in person at least once per academic year. This meeting will be announced in advance to the Knox College community and is open to any of its members. Minutes of all meetings of the full Knox IRB will be recorded and kept by the IRB chairs. As

is the case with other standing committees of the faculty, a report of the activities of the IRB will be made to the faculty at the end of each academic year.

M. Policies and Procedures Regarding Closing Students Out of Courses

Faculty Handbook Revision Approved by the Knox College Faculty, January 2006

On-Campus Courses

1. During pre-enrollment, all section limits are temporarily set to 999 to gather all students who want to take the course. Note that for fall 1st year pre-enrollment, returning student enrollments are frozen, so that only new students compete for the available spaces.
2. When pre-enrollment ends, chairs are asked for decisions about revised class size limits, new sections, balancing of sections of a course, and criteria for closing students out. Chairs sometimes defer to individual instructors.
3. The basic procedure when a course is oversubscribed is as follows. Students who do not meet the prerequisites for the course are eliminated. Students who have been closed out in the most recent term when the course was offered are allowed in first. If spaces remain, then the criteria set by the department are applied. In the large majority of cases, these criteria are: (1) enroll majors first; (2) accept students by class standing, usually seniors first, but sometimes, especially in 100 level courses, first year students first. Other criteria, however, may apply. If at any point in the procedure, i.e. within the recent close-out group, the majors group, the seniors, juniors, etc., the class would become over-subscribed if all of the members of the group were allowed in, then a sufficient number of students in that group is picked at random to bring the enrollment up to the maximum. In cases where no criteria are set, a random number of still competing students are chosen to achieve the maximum size.
4. Language 101 courses sometimes eliminate students with previous high school experience in the language. These decisions are made by the faculty in languages based on an evaluation of high school records and/or language placement exams.
5. **To ensure fairness, in no case is a department or an individual instructor permitted to select individual students. Criteria must identify unambiguous groups (e.g., majors, sophomores, research students), and the group definition must be pertinent to the needs of the course and the program. Discrimination of any kind against individuals or groups is prohibited.**

Off-Campus Programs and Off-Campus Courses

1. *Off-Campus Study Programs* may require additional procedures. Approved off-campus programs, sponsored by Knox or by others, may use an application process by which they select students most able to benefit from, and meet any special challenges of, a

particular program. This process may include (i) applicant essays that provide an educational rationale for program participation or explain preparation and motivation, (ii) assurances of careful student course planning, (iii) letters of reference, and (iv) transcripts. All students should be aware of the information requested prior to submitting their applications. In the case of over-subscribed programs, no additional information from students should be requested by the College; in those cases, remaining acceptance decisions should follow (3) above. The application process for Off-Campus Study is the responsibility of the Center for Global Studies.

2. *Knox-sponsored courses with off-campus components* (e.g., London Arts Alive, Quick-Start language courses) may use the regular on-campus course registration procedures or the off-campus program application methods described in (a) above. In the case of over-subscribed courses, no additional information from students should be requested; in those cases, remaining acceptance decisions should follow (3) above. Courses with off-campus components are required to have their enrollment procedures approved by the Curriculum Committee.

N. Guidelines for Course Scheduling And Course-Related Activities

Approved by Executive Committee, 14 May 2018

1. The principal basis for course scheduling should be making courses accessible to students. While it is impossible to avoid scheduling problems completely, each department and program will do its best to distribute its classes throughout the daily schedule and to minimize scheduling conflicts.
2. In general, courses are scheduled during the official class periods Monday through Friday, from 8:00 a.m. to 3:50 p.m.
3. During each term, before a department can schedule a second course during 2nd, 3rd, 4th, or 5th period, it must offer either a 1st period or 6th period course. A small department (i.e., two faculty) should avoid any overlaps in course scheduling and is required to offer a 1st or 6th hour course at least one time per year. For purposes of cross-listed courses, scheduling should be based on the departmental affiliation of the instructor.
4. Multiple lab sections should be distributed in ways that anticipate student scheduling needs.
5. Exams (other than final exams) and in-class assignments should be scheduled during the regular class meeting periods associated with a course. Permission to schedule mandatory class meetings, exams or other mandatory class-related activities at times other than the official period associated with a course requires the approval of the Dean of the College.
6. Requests to schedule courses for once per week evening meetings or for a block of time longer than the standard class period must be approved by the Curriculum Committee. Requests for such scheduling must be based upon a compelling pedagogical rationale, rather than instructor preference. Requests for scheduling a newly proposed course during non-standard times should be indicated on the course proposal submitted to the Curriculum Committee; if the initial offering of a course occurs during standard class periods, any subsequent change to a non-standard time must be approved by the Curriculum Committee.
7. Out-of-class (e.g. field trips) learning experiences that will cause students to miss other classes should be organized with the general goal of minimizing student course scheduling conflicts. Faculty should also be mindful of potential conflicts with students'

co-curricular activities. The following considerations should guide faculty in their planning for such experiences:

- a. Field trips should be scheduled for weekends, when possible.
- b. To the extent possible, such learning experiences should not be mandatory, or, if mandatory, should have a reasonable alternative option for students who cannot participate due to scheduling conflicts.
- c. Course syllabi should include as much information as possible about such out-of-class experiences at the beginning of the term.
- d. While it is the instructor's obligation to provide detailed information about dates and times for such experiences, it is the student's obligation to inform other instructors about potential scheduling conflicts as soon as possible.
- e. There is no presumption that an out-of-class experience takes precedence over a regularly scheduled class. As per *Faculty Regulations*, individual instructors set their own attendance policies. Students must discuss with each instructor the consequences of missing class and how to make up for missed assignments.

O. Tenure Clock Extension Policy

Approved by Faculty Personnel Committee, December 2015; Updated November 2019

Knox College has developed a tenure clock extension policy for tenure-track faculty. Extensions are intended to accommodate faculty and the College in those unusual cases in which compelling circumstances have the potential to (i) significantly delay the development of the faculty member's progress toward tenure on the normal schedule dictated by the faculty member's original appointment term; or (ii) undermine the integrity of the College's internal processes or procedures.

This policy permits a one-year extension to the tenure-clock (assuming the request meets one or more of the criteria set forth below), which a faculty member may opt to utilize or to refuse. If a faculty member requires a one-year extension to the tenure-clock, prior to the date on which the faculty member's dossier is due to be filed to initiate the tenure review, the faculty member must submit the "Tenure Clock Extension Form" to the Dean of the College for review and approval. Under certain circumstances where an unexpected situation arises (i.e. medical leave, bereavement), department chairs or other College officials may initiate the extension on behalf of the faculty member, with full consent of the faculty member.

This policy provides a one-year extension for personal circumstances, including but not limited to:

- a. the birth or adoption of a child, or for a faculty member who, at the start of the tenure-track position, has a child or children under six years old;
- b. the death of the faculty member's spouse, domestic partner, or child;
- c. a serious illness or health condition (as defined by the Family and Medical Leave Act) persisting for a substantial period of an academic term/academic year, during which the faculty member is unable to perform the full functions of her or his position, and which may or may not include a medical leave of absence (see *Faculty Handbook* III. I. 4.);
- d. a serious illness or health condition (as defined by the Family and Medical Leave Act) persisting for a substantial portion of an academic term/academic year, which requires the faculty member to act as the primary caregiver for a parent, child, spouse, or domestic partner;
- e. public or military service that requires extended periods of time away from campus or from one's scholarly/creative work;
- f. a faculty member's spouse or domestic partner is on active military duty or called to active duty;
- g. catastrophic loss of research, data, or scholarly/creative work;

- h. catastrophic residential property loss;
- i. other extraordinary circumstances of a personal nature that significantly alters progress toward tenure.

In all cases, faculty members who benefit from this policy are expected to fulfill their normal responsibilities during the probationary period extension unless they also have been granted a period of modified duties or unless other arrangements have been made.

Tenure candidates who receive extensions will be evaluated for tenure using the same academic standards applicable to candidates who do not receive extensions. During the tenure review, the Dean of the College will inform external evaluators and others within the College of this standard. The presumptive maximum length of the probationary period, with all extensions, is eight years, although extraordinary circumstances may result in a more extended probationary period.

The “Tenure Clock Extension Form” is to be submitted to the Dean of the College after the faculty member has consulted with the member’s department / program chair. If the request is approved, the Dean of the College will send a letter to the faculty member informing the member of the revised reappointment and tenure review schedule. The faculty member must sign the letter to confirm acceptance of the new schedule. The Dean’s office will inform the department / program chair of the new schedule. The Dean may forward to the Faculty Personnel Committee any relevant documents as the Dean may deem appropriate. The Dean will report annually to the Board of Trustees on the number of extensions granted.

Knox College
TENURE CLOCK EXTENSION FORM

Name _____

Department _____

Dates of your initial probationary period _____

Are there any previously approved changes in your probationary period? _____

Are there any previously approved changes to your initial contract? _____

Please check the appropriate box below

Automatic Extension*

A tenure-track faculty member is eligible for an automatic one-year extension of the probationary period for the birth or adoption of a child, or the death of a spouse, domestic partner, or child (as outlined in the Faculty Handbook, Appendix O).

Requested Extension

A tenure-track faculty member may request a one-year extension of the probationary period for extraordinary circumstances that could significantly alter progress toward tenure (as outlined in the Faculty Handbook, Appendix O).

Personal Circumstances

Professional (please attach a brief description of opportunity or circumstances)

SIGNATURES

Faculty Member

Date

Department / Program Chair

Date

Approve Deny**

Dean of the College

Date

Approve Deny**

* Approval is automatic in cases of childbirth or adoption, or the death of a spouse, domestic partner, or child. **In the case of a denial, the department chair and dean must include a written justification. [A copy of this document and any related ones will be made available to the Faculty Personnel Committee, by the Dean]

P. Institutional Animal Care and Use Committee (IACUC) Animal Study Proposal Form

<https://www.knox.edu/documents/Academics/AnimalResearch.pdf>

