



Firefighters' Pension Investment Fund Board of Trustees

NOTICE OF MEETING

Monday, April 20, 2020
9:00 AM

Double Tree by Hilton Hotel
Board Room
3003 Corporate West Drive
Lisle, IL 60532

Teleconference:

844-992-4726 or 408-418-9388
Meeting ID: 967 318 954

WebEx:

Go to: <https://mb.webex.com>
Meeting ID: 967 318 954
Password: MRt6JpSRs88

The subject matters to be discussed are included on the attached proposed agenda.

In accordance with Executives Order 2020-07 and 2020-10 issued by Governor Pritzker and guidance issued by the Illinois Attorney General's Office, this meeting will be conducted at the location indicated above and by teleconference and WebEx (which includes document presentation and video-conference). Public participants may join the teleconference line and/or the WebEx presentation by using the telephone number and WebEx link indicated above. ***Because of the COVID-19 emergency and to comply with social distancing guidance, public participants are encouraged to participate by teleconference and/or WebEx. The meeting room capacity will be limited.***

To facilitate public comments, the Illinois Attorney General's Office encouraged public bodies to solicit written submission of public comments by e-mail. Public comments may be sent to information@ifpif.org and will be read during the meeting.



Firefighters' Pension Investment Fund Board of Trustees

MEETING AGENDA

Monday, April 20, 2020
9:00 AM

- I. Call to Order
- II. Taking of the Roll
- III. Approval of March 30, 2020 Minutes
- IV. Report of the Chairperson
- V. Resolution (2020-07) to Elect a Secretary of the Board of Trustees and to Designate the Ethics and FOIA Officer
- VI. Resolution (2020-08) to Elect a Treasurer of the Board of Trustees
- VII. Report of the Audit Committee
 - A. Resolution (2020-09) to Adopt an Agency Directives Manual
 - B. Resolution (2020-10) to Approve Substitution of Certain Budgeted Personnel Expenses
- VIII. Report of the Elections Committee
- IX. Report of the Ad Hoc Committee on Near-Term Operations
 - A. Resolution (2020-11) to Create the Ad Hoc Committee on Near Term Operations
 - B. Resolution (2020-12) to Adopt Certain Job Descriptions
- X. Report of the Executive Director
- XI. Resolution (2020-13) to Adopt a Procurement Policy
- XII. Other Business
- XIII. Schedule of Upcoming Meetings
- XIV. Public Comment
- XV. Adjournment



Item III.

Approval of March 30, 2020 Minutes



Firefighters' Pension Investment Fund Board of Trustees

MINUTES OF MEETING

Monday, March 30, 2020
9:00 A.M.

Double Tree by Hilton Hotel
Rosewood Room
3003 Corporate West Drive
Lisle, Illinois 60532

Teleconference:

844-992-4726 or 408-418-9388
Meeting ID: 969 723 523

WebEx:

Go to: <https://mb.webex.com>
Meeting ID: 969 723 523
Password: g4NPMd6KtJ8

I. Call to Order

Chairperson Chuck Sullivan called the meeting to order at 9:00 AM. He stated that notice and an agenda of the meeting of the Board of Trustees (the "Board") of the Firefighters' Pension Investment Fund (the "Fund") had been duly posted. He further noted that in accordance with Executive Orders 2020-07 and 2020-10 issued by Governor Pritzker, and further guidance issued by the Illinois Attorney General's Office, the meeting would be conducted via teleconference and WebEx, and that to facilitate public comments, written submission of public comments would be accepted by e-mail, and any such submitted comments would be addressed in Item 12 of the Agenda.

II. Taking of the Roll

At the request of the Chairperson, the Board's counsel, Mitch Holzrichter of Mayer Brown LLP, acted as clerk for the meeting and took the roll of Trustees in attendance. Trustees Kevin Bramwell, Steve Chirico, Brad Cole, Russ Hunt, Matthew Kink, Patrick Nichting, Jeff Rowitz, George Schick, and Chuck Sullivan were present in person.

Mr. Holzrichter announced that a quorum of Trustees was present.

III. Approval of February 28, 2020 Minutes

The Chairperson presented the minutes of the meeting of the Board held on February 28, 2020. The Chairperson asked for any edits, additions, or corrections to the minutes; no changes were suggested.



Trustee Chirico moved to approve the minutes of the meeting of the Board held on February 28, 2020, as presented. The motion was seconded by Trustee Bramwell. The motion passed unanimously by voice vote.

IV. Report of the Chairperson

Chairperson Sullivan reported that since the Board met in February, our world and our communities have been confronted with a historic pandemic that has required the State and the Board to adapt. He commended Governor Pritzker's leadership and ability to make fast, prudent decisions. The Chairperson described that the Governor issued EO 2020-07, which among other things suspended some sections of the Open Meetings Act and directed public bodies, such as the Board, to meet remotely if necessary. He further described that the Board consulted with counsel to ensure the meeting was being held in conformance with all relevant statutes, the Executive Order, and best practices. He described the Board's plan to post information on its website.

The Chairperson cited that the global pandemic does not mitigate the Board's statutory and fiduciary responsibilities, so the Board will continue with its work to the best of its ability. Finally, he recognized the Fund's participants, and thanked the firefighters across the State on the front lines serving the victims of this disease.

V. Resolution 2020-01 to Approve Employment Agreement with Executive Director

Vice Chairperson Cole recommended that the Board approve the employment of William Atwood as Executive Director. An employment agreement was provided to the Board and posted for public inspection. It is effective March 2, 2020 and details the responsibilities of the position. Vice Chairperson Cole described that, in addition to serving as Executive Director, the position will act as Chief Executive Officer and Chief Investment Officer. He also noted that the Board has been provided with a copy of the proposed employment agreement. Vice Chairperson Cole moved that the Board approve the employment agreement with Mr. Atwood, as Executive Director of the Fund, as presented (Resolution 2020-01). The motion was seconded by Trustee Chirico.

A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.

VI. Resolution 2020-02 to Approve By-Laws

Executive Director Atwood presented the proposed Bylaws. He described that the Bylaws create two committees and four officers and address statutory requirements particular to the Board's authorizing statute, including certain voting requirements. He suggested that at the next meeting, the Board elect a Secretary and a Treasurer. Trustee Kink moved that the Bylaws be adopted as presented (Resolution 2020-02). The motion was seconded by Trustee Rowitz.

A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.

VII. Resolution 2020-03 to Appoint Committees

Executive Director Atwood described that under the Bylaws, committee members are recommended by the Chairperson and appointed by the Board. The Chairperson recommended



the following appointments to the Audit and Compliance Committee: Trustees Hunt, Kink, and Rowitz; and the following appointments to the Elections Committee: Trustees Bramwell, Nichting, and Schick.

Trustee Chirico moved to approve the committee appointments as presented (Resolution 2020-03). The motion was seconded by Trustee Bramwell.

A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.

The Chairperson recommended that the committees begin work as soon as possible.

VIII. Resolution 2020-04 to Adopt Fiscal Year 2020 Budget

Executive Director Atwood presented the Fiscal Year 2020 budget for approval by the Board. The amount proposed for this fiscal year is about \$383,000. He described the management approach used in developing the budget and the need to ramp up operations quickly. He described the proposed senior hires in order to move forward to prudently transfer assets in compliance with applicable standards. He also described the need for near-term legal and operational professional services and insurance for the Board.

Vice Chairperson Cole noted that the Fund's fiscal year will be from July 1 through June 30 of each year, and the proposed budget therefore ends June 30, 2020. He further noted that the budget for certain items are without formal proposals from vendors and service providers, and the numbers may therefore change. The intent is to authorize up to the amount recommended, and with the understanding that certain numbers are tentative and amounts that change will come back to the Board for further consideration. He noted that later in the meeting the Board would be considering a loan agreement with the Illinois Finance Authority to fund the expenditures authorized by the budget. For subsequent budgets, the Board will need to consider draw down authority of funds. Vice Chairperson Cole moved to approve the Fiscal Year 2020 budget as presented in the amount of \$383,385 (Resolution 2020-04). The motion was seconded by Trustee Chirico.

The Chairperson called for further discussion of the budget. Trustee Rowitz expressed appreciation for the comments made, and concern over the staffing being budgeted for before the Board has reviewed job descriptions. He also recommended that the Board consider outsourcing work instead of staffing in the beginning. Executive Director Atwood assured the Board that job descriptions would be brought for Board approval before any positions are filled. He also noted that outsourcing of certain functions is a good idea, and that leveraging technology will be needed. He described that the task ahead of the Board is new as they attempt to transfer 280 individual funds to their portfolio in line with GASB best practices and no margin for error. His intent is to recruit individuals that would not require a learning curve.

Trustee Rowitz also asked for further description of the legislative and operations services provided for. Executive Director Atwood described the desire to ramp up and develop capacity quickly by entering into a contract with a provider of certain services to draft the legislation, staff the elections committee, set up training programs, develop a communications plan, and prepare trailer legislation. Vice Chairperson Cole clarified that it is not the intent of the Board to hire a lobbyist or engage a lobbying firm at this time.



A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.

IX. Resolution 2020-05 to Authorize Loan Agreement with IFA

Executive Director Atwood presented the resolution to authorize a loan agreement with the Illinois Finance Authority ("IFA") (Resolution 2020-05). The topic was discussed at the Board's first meeting, when the IFA circulated a draft term sheet that would authorize a loan of \$7,500,000. Since then, the world has changed, and he has been in contact with the IFA to adjust those terms. In particular, the minimum interest rate was reduced from 3.0% to 1.5%, reflecting the significant reduction in the Federal Funds Rate since February. The loan period statutorily ends in 2022 or when the Fund is successful in transferring assets.

He noted that the Board can also consider private lenders. After being in contact with at least one private lender and summarizing the terms of the transaction, the lender declined to submit a proposal. These terms appear to at market or below market.

Trustee Nichting inquired whether the funds can be drawn over time, and Mr. Atwood confirmed that they are currently contemplating monthly draws, based on the budget. Trustee Nichting did not see any interest or draws reflected in the budget that was passed. Mr. Atwood indicated that capitalized interest would be reflected in budgets going forward.

Trustee Rowitz expressed concern with voting for an agreement that the Board has not yet seen. Executive Director Atwood clarified that the resolution before the Board authorizes the Executive Director to enter into the agreement on behalf of the Board in consultation with counsel. The Board is represented by Reinhart law firm on this transaction, and the attorneys are working on certain details. Mr. Atwood stated he will only sign if the attorneys advise that the agreement is in line with this resolution. The Chairperson stated that he is comfortable authorizing the Executive Director to enter into the agreement.

Trustee Nichting moved to approve the resolution as presented (Resolution 2020-05). The motion was seconded by Trustee Chirico.

A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.

After the vote, Chairperson Sullivan reminded the Board that all Trustees will receive a copy of the Loan Agreement when it is finalized and executed.

X. Resolution 2020-06 to Authorize Bank Accounts

Executive Director Atwood presented the resolution authorizing a bank account with Wintrust Bank. The authorized signatories are Executive Director Atwood, the Chairperson, the Vice Chairperson, Trustee Hunt, and Trustee Rowitz. Trustee Bramwell moved to approve the resolution as presented (Resolution 2020-06). The motion was seconded by Trustee Rowitz.

A roll call vote was taken: Trustees Bramwell, Chirico, Cole, Hunt, Kink, Nichting, Rowitz, Schick, and Sullivan voted in favor; none voted against; and the motion passed.



XI. Other Business

No other business was brought before the Board.

XII. Schedule of Upcoming Meetings

The next meeting of the Board will be held on Monday, April 20, 2020, at 9:00 a.m., to be conducted in the same way this meeting was conducted in light of the ongoing pandemic.

Chairperson Sullivan expressed appreciation for all that Executive Director Atwood has done for the Board to date.

XIII. Public Comment

There was no comment from the public.

XIV. Adjournment

Vice Chairperson Cole moved to adjourn the meeting. The motion was seconded by Trustee Rowitz. The motion passed unanimously by voice vote, and the meeting was adjourned at 9:47 AM.



Item V.

Resolution (2020-07)

**To Elect a Secretary of the Board of Trustees
and to Designate the Ethics and FOIA Officer**



Board of Trustees

RESOLUTION 2020-07

ELECTING A SECRETARY OF THE BOARD OF TRUSTEES AND DESIGNATING THE ETHICS AND FOIA OFFICER

April 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code (the "**Code**"); and

WHEREAS, the By-Laws of FPIF (the "**By-Laws**") establish that certain officers of the Board of Trustees of FPIF (the "**Board**") shall be elected by the Board; and

WHEREAS, the office of Secretary is one such elective office; and

WHEREAS, Section 2.4 of the By-Laws provides that the role of the Secretary shall include authenticating any resolutions of the Board, recording minutes of meetings of the Board, and performing such other duties as may be prescribed by the Board; and

WHEREAS, the By-Laws require that the Secretary "shall be elected from amongst the members of the Board or the staff of FPIF"; and

WHEREAS, the Illinois State Officials and Employees Ethics Act (5 ILCS 430/1-1 *et seq.*), provides for the designation of an Ethics Officer and prescribes certain duties for such officers; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that:

1. Russ Hunt, so long as he is a Trustee of the Board, is hereby elected to the office of Secretary of FPIF, to serve until the annual meeting of the Board in 2021 or until his successor is duly qualified and elected or until the earlier of his resignation, removal from office by the Board, or ceasing to be a member of the Board for any reason.
2. The Secretary shall serve as the Freedom of Information Act Officer and be responsible for performing the duties for which Freedom of Information Act Officers are responsible under the Illinois Freedom of Information Act. The Secretary also shall be responsible for ensuring that the Board complies with its obligations under the Illinois Open Meetings Act ("**OMA**"), including facilitating the training required by Section 1.05 of OMA, and under the By-Laws to provide public notice of its meetings and to conduct its meetings in accordance with OMA, with assistance of the Executive Director and legal counsel to FPIF.
3. The Secretary shall serve as the Ethics Officer of FPIF and be responsible for performing the duties for which ethics officers are responsible under the Illinois State Officials and Employees Ethics Act.
4. This Resolution shall take effect immediately.



Item VI.

Resolution (2020-08)

To Elect a Treasurer of the Board of Trustees



Board of Trustees

RESOLUTION 2020-08

ELECTING A TREASURER OF THE BOARD OF TRUSTEES

April 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code (the "**Code**"); and

WHEREAS, the By-Laws of FPIF (the "**By-Laws**") establish that certain officers of the Board of Trustees of FPIF (the "**Board**") shall be elected by the Board; and

WHEREAS, the office of Treasurer is one such elective office; and

WHEREAS, Section 2.3 of the By-Laws provides that the role of the Treasurer shall include the authority to open, maintain, and close bank, depository, brokerage, and other accounts for depositing, keeping, expending, and investing funds of FPIF in accordance with policies adopted by the Board, maintaining financial accounts and records of FPIF, and reporting financial information to the Board regularly; and

WHEREAS, the By-Laws require that the Treasurer "shall be elected from amongst the members of the Board or the staff of FPIF"; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that:

1. Jeff Rowitz, so long as he is a Trustee of the Board, is hereby elected to the office of Treasurer of FPIF, to serve until the annual meeting of the Board in 2021 or until his successor is duly qualified and elected or until the earlier of his resignation, removal from office by the Board, or ceasing to be a member of the Board for any reason.
2. This Resolution shall take effect immediately.



Item VII.A.

**Resolution (2020-09)
To Adopt an Agency Directives Manual**



Board of Trustees

RESOLUTION 2020-09

ADOPTING THE AGENCY DIRECTIVES MANUAL

APRIL 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code; and

WHEREAS, FPIF is authorized, and the Board of Trustees of FPIF finds it appropriate and necessary, to adopt an Agency Directives Manual to provide its trustees and staff with policies and guidance on the various privileges and obligations of employment and service with FPIF, not inconsistent with applicable law; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that the Agency Directives Manual attached hereto is adopted and approved and, subject to compliance with applicable law, shall govern the various standards of conduct and rules of employment contained therein for members of the Board of Trustees and FPIF staff.

DRAFT

AGENCY DIRECTIVES MANUAL

**Illinois Firefighters' Pension
Investment Fund**

Table of Contents

SECTION 1: GENERAL ADMINISTRATION.....	6
1.1 OVERVIEW	6
1.2 EMPLOYEE RECEIPT AND ACCEPTANCE	7
1.3 CONFIDENTIALITY POLICY AND PLEDGE	7
1.4 ADMINISTRATIVE CHAIN OF COMMAND	8
SECTION 2: EMPLOYMENT HOURS, PAYROLL AND REIMBURSEMENT	8
2.1 OFFICE HOURS AND FLEX TIME	8
2.2 STAFF MEETINGS	8
2.3 DAILY ATTENDANCE RECORDS	9
2.4 PAYROLL AND DEDUCTIONS	9
2.5 EXPENSE REIMBURSEMENT POLICY	9
2.6 TUITION REIMBURSEMENT	11
SECTION 3: PERSONNEL POLICIES.....	13
3.1 WORK RULES	13
3.2 EMPLOYEE PERSONAL INFORMATION	13
3.3 PERFORMANCE REVIEWS.....	13
3.4 PERSONNEL RECORD REQUESTS	14
3.5 IT POLICY	14
SECTION 4: EMPLOYEE BENEFITS.....	17
4.1 HOLIDAYS	17
4.2 VACATION LEAVE.....	17
4.3 PERSONAL LEAVE DAYS.....	18

4.4	SICK LEAVE.....	18
4.5	HEALTH INSURANCE.....	19
4.6	RETIREMENT	19
4.7	WORKERS' COMPENSATION	20
SECTION 5: EMPLOYEE ACCOMODATIONS		20
5.1	REASONABLE ACCOMMODATION FOR PREGNANCY	20
5.2	ACCOMMODATIONS FOR INDIVIDUALS WITH DISABILITIES	21
5.3	ACCOMMODATIONS FOR RELIGIOUS BELIEFS	22
SECTION 6: LEAVES OF ABSENCE.....		23
6.1	DISABILITY LEAVE.....	23
6.2	PARENTAL LEAVE AND ADOPTION LEAVE	24
6.3	BREAKS FOR NURSING MOTHERS	24
6.4	FAMILY RESPONSIBILITY LEAVE.....	24
6.5	BEREAVEMENT LEAVE.....	26
6.6	CHILD BEREAVEMENT LEAVE ACT	27
6.7	LEAVE UNDER THE VICTIMS ECONOMIC SAFETY AND SECURITY ACT	28
6.9	MILITARY LEAVE	30
6.10	VETERANS HOSPITAL LEAVE.....	31
6.11	DISASTER SERVICE LEAVE WITH PAY	32
6.12	JURY DUTY	32
6.13	LEAVE UNDER THE ILLINOIS SCHOOL VISITATION RIGHTS ACT	32
6.14	LEAVE OF ABSENCE WITHOUT PAY	33
6.15	SEVERE WEATHER/EMERGENCY CLOSINGS/TIME OFF	33
SECTION 7: SECURITY.....		33

7.1	RECORDS MANAGEMENT	33
7.2	ACCESS TO PREMISES, RECORDS AND PROPERTY.....	33
7.3	OFFICE USE POLICY	33
SECTION 8: STANDARDS OF CONDUCT.....		34
8.1	HARASSMENT AND COMPLAINT PROCEDURE.....	34
8.2	POLITICAL ACTIVITY	40
8.3	OUTSIDE EMPLOYMENT.....	40
8.4	STATE GIFT BAN ACT	40
8.5	ATTENDANCE.....	40
8.6	SAFETY	41
8.7	WORKPLACE VIOLENCE	41
8.8	PRIVACY.....	41
8.9	TELEPHONES	42
8.10	CAMERAS AND VIDEO/AUDIO RECORDERS.....	42
8.11	EMAIL AND INTERNET SYSTEM	42
8.12	COPYRIGHT AND INTELLECTUAL PROPERTY POLICY	43
8.13	SOCIAL MEDIA POLICY	43
8.14	SOLICITATIONS AND DISTRIBUTIONS	45
8.15	SMOKING.....	45
8.16	LOSS PREVENTION	45
8.17	PROHIBITION OF FIREARMS IN THE WORKPLACE.....	45
8.18	DRUGS AND ALCOHOL	46
8.19	DISCIPLINE	52
SECTION 9: SEPARATION OF EMPLOYMENT.....		53

9.1 TERMINATION 53

9.2 RESIGNATIONS..... 53

9.3 RETURN OF PROPERTY UPON SEPARATION 53

SECTION 10: EXHIBITS..... 53

SECTION 1: GENERAL ADMINISTRATION

1.1 OVERVIEW

The Illinois Firefighters' Pension Investment Fund ("FPIF"), including its Board of Trustees (the "Board"), and staff members (the "Staff") are responsible for managing, investing and reinvesting the assets of participating pension funds, as set forth in the Illinois Pension Code. (40 ILCS 5/22B et seq.) The Board and Staff have fiduciary responsibilities for managing and investing assets of participating pension funds.

FPIF's Agency Directives Manual (the "Manual") has been developed to provide general guidelines about FPIF policies and procedures for employees. It is a guide to assist you in becoming familiar with some of the privileges and obligations of your employment, including FPIF's policy of voluntary at will employment. None of the policies or guidelines in the Manual are intended to give rise to contractual rights or obligations, or to be construed as a guarantee of employment for any specific period of time, or any specific type of work.

The personnel policies of FPIF are established by the Board, which has delegated authority and responsibility for their administration to the Executive Director ("ED"). The ED may, in turn, delegate authority for administering specific policies to the Chief Operating Officer ("COO"). Employees are encouraged to consult the ED for additional information regarding the policies, procedures, and privileges described in this Manual. The Board or their designee may change any terms or conditions of employment, whether stated in the policies and procedures or established through employment practices, at any time. No employee is authorized to vary the provisions of these policies and procedures orally. Descriptions of employment, policies, procedures and benefits contained in these sections are prepared to provide the employee with an overview and are not intended to be complete in themselves.

FPIF is an equal employment opportunity employer. We do not discriminate against applicants or employees on the basis of race, color, sex, religion, creed, marital status, sexual orientation, gender-related identity, pregnancy, childbirth or related medical conditions, national origin, age, military status, unfavorable discharge from military service, ancestry, citizenship status, physical or mental disability, genetic information, arrest record, order of protection status, or any other protected classifications. This policy of nondiscrimination extends to all terms, conditions, and privileges of employment and to all personnel actions.

FPIF will provide each individual a copy of this Manual upon employment. All employees are expected to abide by it. The highest standards of personal and professional ethics and behavior are expected of all FPIF employees. Questions about personnel matters also may be reviewed with the ED and COO. Further, FPIF expects each employee to display good judgment, diplomacy and courtesy in their professional relationships with members of FPIF's Board of Trustees, managers, vendors, staff, and the general public.

1.2 EMPLOYEE RECEIPT AND ACCEPTANCE

I hereby acknowledge receipt of the Illinois Firefighters’ Pension Investment Fund (“FPIF”) Agency Directives Manual (the “Manual”). I understand that it is my continuing responsibility to read and know its contents. I also understand and agree that the Manual is not an employment contract for any specific period of employment or for continuing or long-term employment.

I have read, understand and agree to all of the above. I have also read and understand the FPIF’s Directives Manual. I agree to review the Manual once a year and to return the Manual upon termination of my employment.

Signature: _____

Print Name: _____

Date:

1.3 CONFIDENTIALITY POLICY AND PLEDGE

Any information that an employee learns about FPIF, or the Board, as a result of working for FPIF that is not otherwise publicly available constitutes confidential information. Employees may not disclose confidential information to anyone who is not employed by FPIF or to other managers, vendors, agents, or consultants contracted by FPIF who do not need to know such information to assist in rendering services.

The disclosure, distribution, electronic transmission or copying of FPIF’s confidential information is prohibited. Any employee who discloses confidential information will be subject to disciplinary action (including possible separation), even if he or she does not actually benefit from the disclosure of such information.

I understand the above policy and pledge not to disclose confidential information.

Signature: _____

Print Name: _____

Date:

1.4 ADMINISTRATIVE CHAIN OF COMMAND

An essential ingredient of an effective administrative organization is a well-defined and properly executed chain of command. A copy of the FPIF Organizational Chart is attached as Exhibit A.

At FPIF, the chain of command originates with the Board and flows through the ED. The COO acts for the ED in his/her absence.

The nature of our operation is such that the handling of transactions normally involves the activities of more than one person. It is imperative, therefore, that each person works in close cooperation with each other in transmitting activities from one area to another. It is the policy of FPIF that all staff adheres to this procedure.

SECTION 2: EMPLOYMENT HOURS, PAYROLL AND REIMBURSEMENT

2.1 OFFICE HOURS AND FLEX TIME

The normal work schedule for all employees is 37 ½ hours per week with office hours being 8:30 a.m. to 5:00 p.m. Monday through Friday. Employees are allowed a 60 minute lunch period each day. Lunch hour should be scheduled so that there is monitoring at all times of incoming telephone calls and/or visitors to the office. Staffing needs and operational demands may necessitate variation in starting and ending times. Subject to FPIF work assignments and ED approval, the employee's supervisor shall determine the hours of employment that best suits the needs of the work to be done by the individual employee.

Flexible scheduling (flex-time) is available upon ED approval so as long as the flex-time does not impede on the operation of FPIF.

Attendance is an important factor in your job performance. Punctuality and regular attendance are expected of all employees. If you are absent or plan to arrive late or leave early, you must notify your supervisor, the ED, and Administrative staff.

For all absences extending longer than one day, please notify your supervisor, the ED, and Administrative staff on the expected length of your absence.

2.2 STAFF MEETINGS

Staff meetings of FPIF employees will be held as determined to be necessary by the ED. Staff is expected to attend all scheduled meetings, unless their absence is approved by the ED.

2.3 DAILY ATTENDANCE RECORDS

Every employee shall complete timesheets covering each pay period and submit such timesheets to the COO or his/her designee within five (5) workdays of the end of the reporting period. The timesheets must document to the nearest quarter hour the time the employee spent each day on official FPIF business. Timesheets may be maintained on paper or in electronic format. Contractual employees may satisfy the timesheet requirement by complying with the terms of their contract, which shall provide for a means of compliance with this requirement.

The COO is designated to maintain attendance records for all personnel. At the end of every month each employee's attendance is to show time earned and used during that month. Attendance reports are submitted and verified with employees quarterly. An employee shall have the right to review his/her attendance record.

2.4 PAYROLL AND DEDUCTIONS

Paydays shall be on the 1st and 15th of each month. Paydays falling on weekends or holidays will be handled in the most equitable way possible according to the payroll system in effect.

FPIF is required by law to withhold certain deductions from your paycheck. This includes deductions for federal income tax, state income and unemployment tax, and FICA contributions (Social Security and Medicare). FPIF is also required to withhold deductions pursuant to legal orders, such as orders for child support, bankruptcy, tax levy, money owed to a state agency, or general creditor debts.

FPIF will withhold certain deductions from your paycheck that you have voluntarily authorized. This includes deductions for health insurance premium contributions, retirement plan contributions, or other services. Voluntary deductions not required by law will only be made with written authorization signed by the employee.

All employees should routinely examine every paycheck and immediately report any inaccuracies to their immediate supervisor and/or the appropriate member of management.

2.5 EXPENSE REIMBURSEMENT POLICY

FPIF reimburses employees for all necessary expenditures or losses incurred by the employee within the employee's scope of employment and directly related to services performed for FPIF in accordance with the provisions of the Wage Payment and Collection Act (820 ILCS 115/9.5). FPIF is not responsible for losses due to an employee's own negligence, losses due to normal wear or losses due to theft unless the theft was a result of FPIF's negligence.

Definitions

"Necessary expenditures" means all reasonable expenditures or losses required of the employee in the discharge of employment duties and that inure to the primary benefit of, subject to the provisions of this policy.

Guidelines for Necessary Expenditures

Authorized expenditures include: mileage, meals, registration fees, training expenses, tolls and parking fees.

Unauthorized expenditures include: home Internet service, personal cell phone expenses, alcoholic beverages and entertainment expenses.

Any expenditure that is not requested and approved prior to purchase is deemed an unauthorized expenditure and reimbursement shall occur in the sole and exclusive discretion of FPIF in accordance with applicable law.

Pre-Approval for Authorized Expenditures

Employee shall submit a written request to purchase any authorized expenditures at least 3 business days prior to incurring the expense on the "Expense Reimbursement Form" attached to this Manual as Exhibit B. Following approval of the expense, the employee will be reimbursed as provided herein. If the expense is not approved following a written request, the employee will not be entitled to reimbursement.

Authorized expenditures of employees shall be subject to ED approval. Expenses of the ED shall be approved by the CFO, or in the absence of a CFO, the Chair. In the event that an expense is not pre-approved, reimbursement will be subject to the discretion of management.

Reimbursement Procedure for Authorized Expenditures

Employees shall submit the previously approved Expense Reimbursement Form and appropriate supporting documentation not later than 30 calendar days after incurring the expense. Where supporting documentation is nonexistent, missing or lost, the employee shall submit a signed statement regarding any such receipts. Employees may not be entitled to reimbursement if the employee has failed to comply with this policy.

Mileage Reimbursement Rate

Reimbursement for miles driven by an employee driving a personal vehicle for FPIF business shall be equal to the standard mileage rate for business use established by the Internal Revenue Service for the calendar year in which the travel occurred.

2.6 TUITION REIMBURSEMENT

Tuition reimbursement is intended to serve as a management tool for the development of employees and for the attainment of FPIF's goals. It should be administered as a mechanism through which mutual advantages are gained by both the employee and the Fund. Tuition reimbursement is not an unconditional or unilateral employee right or benefit. Introduction of this policy will not alter, replace or diminish the content or use of Federal Grant in Aid, agency sponsored stipend or educational leave of absence programs. In administering this policy, other programs should be distinguished from tuition reimbursement programs and treated separately.

Policy Guidelines

The following tuition reimbursement guidelines have been developed so as to provide maximum flexibility consistent with a decentralized administration of a uniform policy. These guidelines do not preclude FPIF from imposing additional requirements or procedures with regard to tuition reimbursement in response to unique training requirements or budgetary restrictions.

Eligibility: Utilization of the Tuition Reimbursement benefit must be approved in advance by the ED and may only be utilized by employees with three years tenure at FPIF. Any full-time employee is eligible for reimbursement consideration. Employees hired on a temporary or emergency basis are not eligible for consideration.

Tuition and Lab Fees: Reimbursement will apply toward tuition, lab fees, and books only. Additional costs such as for matriculation, activity and health fees will not be reimbursable expenses.

Reimbursement: Normally, this tuition reimbursement program is designed to support those courses taken from State supported schools. Reimbursement is not to exceed 100% of tuition and lab costs at public institutions, and 80% at private institutions (this includes on-line classes). Nonetheless, reimbursement for a member of FPIF Staff of tuition at a private institution is not to exceed 100% of tuition for a comparable program at the University of Illinois.

Satisfactory Course Completion: Reimbursement for an approved course is contingent upon the employee submitting evidence of satisfactory completion (i.e. at least a grade of "B"), together with itemized receipts documenting the amount of tuition monies paid. Reimbursement will be granted by means of a standard invoice voucher. At no time shall tuition be paid or reimbursed prior to completion of the course.

Course Load: The employee and his/her supervisor should mutually agree upon course load. Ordinarily, no more than two courses should be taken simultaneously to avoid harm to an employee's on-the-job effectiveness.

Course Scheduling: Education and/or career development work should be scheduled as an off-duty activity. When a desired course is not available as an off-duty activity, an employee may use vacation or personal time, or in some cases may arrange a flexible work schedule, provided this does not adversely affect the work load in the employee's assignment.

Full Participation: Priority should be given to those courses in which full participation is required on a regular basis and where final grades are issued. These conditions provide a reasonable basis against which satisfactory completion can be measured.

Degree Program: Reimbursement may be approved for work-related courses, which are taken to complete requirements for courses that lead to the upgrading of skills for the performance of an employee's assigned work responsibilities. Reimbursement may also be approved for work-related courses toward completion of college or graduate level degree programs.

Enrollment: Applicants will be required to gain approval from their supervisors and the ED prior to course enrollment. Employees should give their supervisor a memo with the name and cost of the course prior to enrolling. Supervisors should approve or disapprove and forward to the ED.

Aid from Other Sources: In applying for tuition reimbursement, an employee will indicate whether he/she is or is not receiving aid from other sources (such as the G.I. Bill, Federal Grants, Scholarships, etc.) The fact that an employee is eligible for receiving aid from another source does not render him/her ineligible for participation in the Tuition Reimbursement Program. However, tuition reimbursement will be made only toward the balance between the outside aid awarded and the remaining tuition due. An employee is required to demonstrate that they have pursued any available aid from other sources before applying for tuition reimbursement.

Exclusions: Reimbursement is not intended to apply to in-service training conducted within the agency, nor is it intended to include workshops, professional conferences, seminars, or other short-term programs.

Work Commitment/Pay Back: Employees receiving tuition reimbursement shall incur a work commitment to the FPIF. If FPIF-paid training did not lead to a post-secondary degree, employees shall be obligated to continue in the employ of the Fund for a period of at least 18 months following completion of the most recent course. If FPIF-paid training did lead to a post-secondary degree and the Fund paid for 50% or more of the required credit hours, employees shall be obligated to continue in the employ of the FPIF for a minimum of four (4) years after receiving the degree.

If the employee voluntarily leaves FPIF employment prior to fulfilling this work commitment, the FPIF may recover payments in addition to interest at the rate of 1% per month from the time the FPIF makes the payment until the time the Fund recovers the payment. The amount owed by an employee shall be reduced by 25% for each year the employee works for the Fund after the employee receives a post-secondary degree, or by 1/18th of the gross amount for each month the employee works for the Fund after completing the most recent course which course that does not lead to a post-secondary degree. Consistent with its fiduciary obligations, upon the recommendation of the ED, the Board may approve exceptions to the work commitment payback.

SECTION 3: PERSONNEL POLICIES

3.1 WORK RULES

The maintenance of an orderly and efficient work environment is the foremost responsibility of FPIF management. A clean and uncluttered workplace is essential to proper FPIF operation. The intent of these directives is the achievement of a professional level of operations and the provision of fair and equitable treatment for all employees.

Employees are expected to present themselves at work properly groomed and attired as appropriate for conducting business with the public. "Business Casual," which should be neat and clean, has become acceptable on a permanent basis. Employees may wear "casual" attire on Fridays of each week. "Casual" attire does not mean that employees may look sloppy or unprofessional. During Board Meetings or other events deemed important by the ED, employees are required to dress in Business Professional attire.

3.2 EMPLOYEE PERSONAL INFORMATION

To ensure that personnel records are current, it is the responsibility of each employee to promptly notify the COO of any changes in personal data. Personal mailing addresses, telephone numbers, names and social security numbers of dependents, individuals to be contacted in the event of an emergency, etc. should be accurate and current at all times.

3.3 PERFORMANCE REVIEWS

The work of each employee is reviewed on an ongoing basis with the supervisor to provide a systematic means of evaluating performance.

The annual performance review is a formal opportunity for the supervisor and employee to exchange ideas that will strengthen their working relationship, review the past year, and anticipate FPIF's needs in the coming year. The purpose of the review is to encourage the exchange of ideas in order to create positive change within FPIF. To that end, it is incumbent upon both parties to have an open and honest discussion concerning the employee's performance. It is further incumbent upon the supervisor to clearly communicate the needs of FPIF and what is expected of the employee in contributing to the success of FPIF for the coming year.

Both supervisor and employee should attempt to arrive at an understanding regarding the objectives for the coming year. This having been done, both parties should sign the performance review form, which will be kept as part of the employee's personnel record and used as a guide during the course of the year to monitor employee progress relative to the agreed upon objectives.

The ED shall conduct the performance review of all supervisory positions. Performance reviews for other staff are the responsibility of the appropriate supervisor, subject to review and approval by the ED.

Employees may request a review of a personnel action or an unsatisfactory performance review. Employees are expected first to discuss their concern with their immediate supervisor. If further discussion is desired, the employee may then discuss the situation with the ED. The decision of the ED is final.

3.4 PERSONNEL RECORD REQUESTS

FPIF maintains certain personnel records for each employee. These records may include, among other things, information regarding an employee's job status, pay, performance, disciplinary action, and attendance.

In accordance with the Employment Personnel Record Review Act (820 ILCS 40/0.01 *et seq.*), an employee may, upon request, inspect those records maintained by FPIF which are, have been, or are intended to be used in determining the employee's qualifications for employment, promotion, transfer, additional compensation, discharge or other disciplinary action. Such records may not include those described in 820 ILCS 40/10 including, but not limited to, letters of reference, information of a personal nature about a person other than the requesting employee, documents related to employee testing (other than an employee's score), and certain records relating to a pending investigation or claim.

Employees shall be provided with the opportunity to inspect the above-described records within 7 working days after their request for inspection. However, if FPIF can reasonably show that such deadline cannot be met, FPIF shall have an additional 7 days to comply.

3.5 IT POLICY

Computer

FPIF will provide Staff with computers to use during their term of employment and Staff is required to abide by the Internet and e-mail policies stated within this document, in addition to the following:

- Staff will immediately notify FPIF's COO or external IT Support ("IT Support") in the event an FPIF computer is compromised in any way and follow the given instructions.
- Staff is prohibited to make any changes to any security setting preset by IT Support.

Each device is and shall remain the exclusive property of FPIF. Users are expressly prohibited from using the device for any personal use. The device is to be used solely by the approved user only in connection with FPIF business involving the utilization of the device as approved by the Board. Staff using laptop computers must maintain custody of the laptop at all times and keep it

stored in a secure location when not in use. Staff is expressly prohibited from downloading, transmitting, storing or running any inappropriate content on their FPIF-issued device. This includes pornographic or criminal materials, copyrighted media, illegal software, and any activities that would be prohibited under the Illinois State Officials' and Employees' Ethics Act.

Remote log in to the network is available to Staff using VPN on their FPIF issued laptop. This may be set up by IT Support on an FPIF issued laptop, with the understanding that all business-related data is the intellectual property of FPIF.

Employment changes require Staff to return the FPIF-issued computer in working condition, including all accessories, software, and data to IT Support prior to leaving. Users may take the device home with them for continued use if they so choose, however Users will be held liable for costs incurred if the computer is in need of any repairs or replacements due to misuse, loss, or theft during their possession.. Any personal data should be removed by Staff should remove any personal data prior to returning any and all devices.

To ensure the proper functionality and security, all FPIF-issued computers will automatically update on a nightly basis. Updates include: all standard computer programs and any other third-party applications. If manual updates are required, Staff is permitted to update the installed software by themselves or request assistance from IT Support.

Staff should not have any expectation of privacy with respect to messages or files created, drafted, sent, received, or stored on FPIF technology systems. FPIF reserves the right to access all such data and communications for reasons including, but not limited to, (a) system administration and maintenance, (b) when there is an urgent business reason, (c) to ensure compliance with this policy, and (d) as required to comply with a court order or other legal obligation to produce records or information. Even if material is erased or deleted from these electronic systems, it often can be reconstructed and retrieved; assume, therefore, that every message you create might become public information.

Use of FPIF's technology systems will be deemed to constitute Staff's consent to comply with this policy and recognition that any such data may be monitored or recorded.

E-mail

All Staff and Board Members will be assigned FPIF e-mail accounts. Once hired, the e-mail account will be set up on all FPIF-issued devices, and by request, on non-FPIF devices with the understanding that all business-related communications are the intellectual property of FPIF.

Any unwanted, offensive, or harassing e-mails should be reported to the ED and/or General Counsel in accordance with the Sexual Harassment policy.

E-mail addresses of the Board and Staff who leaves FPIF, will no longer be active and will be removed from system.

Passwords

All Staff members are required to change their passwords every 90 days following industry standards in an effort to keep the network more secure. This applies to both Staff computers and e-mail accounts. The passwords must be at least 8 characters and have the following complexity requirements:

- 1) Not contain the user's account name or parts of the user's full name that exceed two consecutive characters
- 2) Contain characters from three of the following four categories:
 - a) English uppercase characters (A through Z)
 - b) English lowercase characters (a through z)
 - c) Base 10 digits (0 through 9)
 - d) Non-alphabetic characters (for example, !, \$, #, %)
- 3) Complexity requirements are enforced when passwords are changed or created.

Internet

During work hours, Staff may use the Internet for business-related purposes only. Utilizing FPIF-issued property for any purpose other than that which relates to the company is prohibited. This includes anything deemed by the ED or the COO to be offensive, harassing, or inappropriate in any way.

Staff is permitted to use the Internet for non-business purposes during personal time only and must still abide by Internet rules stated herein.

Internet usage may be monitored at any time and without prior notice. Abuse of Internet privileges may be subject to denial of access, disciplinary actions, or termination.

If connecting to the internet on a personal device or an FPIF-issued device via Wi-Fi, Staff should avoid submitting any business material via an unsecure network, FPIF provides secure Wi-Fi access for Board and Staff throughout the office; as well as a guest network for visitors.

Telecommunications

FPIF provides all Staff with desk phones, and if requested, mobile devices to conduct business-related work only.

Staff who are terminated or choose to leave FPIF will be required to return device(s) directly to the IO, in proper working condition. Personal devices are permitted for personal use only during personal time.

Website

The COO is responsible for maintaining and updating the FPIF's website, including but not limited to, security, performance, web design, and graphics design. Updates by Board or Staff will be performed in a timely manner.

SECTION 4: EMPLOYEE BENEFITS

4.1 HOLIDAYS

FPIF All regular full-time employees are eligible for holiday pay on the following recognized holidays: Holidays falling on a Sat

- New Year's Day
- Martin Luther King, Jr. Day
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Columbus Day
- Veterans' Day
- Thanksgiving Day
- Friday after Thanksgiving Day
- Christmas Eve
- Christmas Day

Holidays falling on a Saturday will typically be observed on the preceding Friday. Holidays falling on a Sunday will typically be observed the following Monday.

4.2 VACATION LEAVE

All employees shall earn vacation time in accordance with the following schedule:

- From the date of hire until the completion of five (5) years of continuous service – ten (10) work days per year.
- From the completion of five (5) years of continuous service to the completion of nine (9) years of continuous service - 15 work days per year.
- From the completion of nine (9) years of continuous service until the completion of 14 years of continuous service - 17 work days per year.
- From the completion of 14 years of continuous service until the completion of 19 years of continuous service - 20 work days per year.
- From the completion of 19 years of continuous service until the completion of 25 years of continuous service - 22 work days per year.
- From the completion of 25 years - 25 work days per year.

As part of a broader discussion regarding terms of employment for prospective new employees, the Executive Director may propose to amend this schedule if the Executive Director believes that such changes are in the best interest of the FPIF. Such proposed change shall be approved by the Chairman of the Board prior to the issuance of a formal offer of employment and reported to the Audit Committee at its next meeting.

An employee may not have a negative balance in vacation time except as approved by the ED.

Employees will lose vacation time not taken within twenty-four (24) months after the calendar year in which it is earned. The amounts forfeited, however, will be the actual amounts credited for the particular months forfeited. Vacation preferences shall be granted on the seniority basis. Vacation time shall be scheduled sufficiently in advance in order to avoid disruption to FPIF operations.

At the request of the employee and approval of FPIF, absence due to illness may be charged against vacation leave if the employee has exhausted all available sick leave.

Vacation time shall be credited on each employee's creditable service date, in accordance with the eligibility schedule set forth above. In the event of employment termination, credited time will be prorated to allow for any unearned vacation time previously credited.

On each employee's creditable service date any vacation time accumulated in excess of two (2) year's vacation allowance, at the current rate, will be forfeited.

The Board may, from time to time, amend this vacation leave policy.

4.3 PERSONAL LEAVE DAYS

All employees shall be permitted three (3) personal days off each calendar year with pay. In the event an employee does not use sick leave in any calendar year, the employee shall be awarded one (1) additional personal day on January 1 of the next calendar year. A part-time employee who works at least half time shall be awarded pro-rated additional personal leave on January 1 when the employee has not used sick leave during the previous calendar year. A calendar year for purposes of this provision is the period beginning January 1 and ending December 31 of each year. Such additional personal day shall be used in accordance with provisions for personal days. Such personal days may be used for such occurrences as observance of religious holidays, absence due to severe weather conditions, or for other similar personal reasons, but shall not be used to extend a holiday or annual leave except as permitted in advance by the Executive Director through prior written approval. Employees entitled to receive such leave who enter service during the year shall be given credit for such leave at the rate of one-half ($\frac{1}{2}$) day for each two (2) months service for the calendar year in which hired. Such personal leave may not be used in increments of less than two (2) hours at a time. Except for those emergency situations that preclude the making of prior arrangements, such days off shall be scheduled sufficiently in advance to be consistent with operating needs of FPIF. Personal leave may not be carried over from year to year, nor shall any employee be entitled to payment for unused personal leave upon separation from service.

4.4 SICK LEAVE

All employees, excepting those in emergency, intermittent, per diem or temporary status, unless such status is the result of accepting a non-permanent working assignment in another class, shall accumulate sick leave at the rate of one day for each month's service.

Sick leave may be used for illness, disability or injury of the employee, appointments with doctor, dentist or other professional medical practitioner and also may be used in the event of serious illness, disability, injury or death of a member of the employee's immediate family.

It is the responsibility of the employee to report to his supervisor at the earliest possible moment that he/she is unable to report for work due to illness. Absence of an employee for three (3) consecutive workdays without reporting to FPIF office may be cause for discharge.

Evidence may be required to substantiate that such leave days were used for the purpose herein set forth. For periods of absence of more than ten (10) consecutive workdays, the employee shall provide verification for such absence in accordance with the provisions established for Disability Leave. In the case of serious illness, FPIF may require a release from the employee's physician to return to work.

Employees shall be allowed to carry forward from year to year of continuous service any sick leave allowed. In the event an employee does not use sick leave in any calendar year, the employee shall be awarded one (1) additional personal day on January 1 of the next calendar year. A part-time employee who works at least half time shall be awarded pro-rated additional personal leave on January 1 when the employee has not used sick leave during the previous calendar year. A calendar year for purposes of this provision is the period beginning January 1 and ending December 31 of each year. Such additional personal day shall be used in accordance with provisions for personal days.

Sick leave benefits may be used by employees in one-half (½) hour increments. Employees are to be charged for use of sick leave for the amount of time away from work. Any part of a one-half (½) hour will be recorded as a one-half (½) hour. The only exception is one (1) day's sick leave will be recorded as seven and one-half (7 ½) hours.

An employee who is also a veteran shall be permitted four (4) days with pay per year to visit a veteran's hospital for examination of a military service-connected disability. The four (4) days shall not be charged against any sick leave currently available to the employee.

4.5 HEALTH INSURANCE

TBD

4.6 RETIREMENT

TBD

4.7 WORKERS' COMPENSATION

TBD

SECTION 5: EMPLOYEE ACCOMODATIONS

5.1 REASONABLE ACCOMMODATION FOR PREGNANCY

Public Act 98-1050 amended the Illinois Human Rights Act (775 ILCS 5/1 et seq.) to create additional protections for pregnant employees. The burden is on the employee to make the request. Once the employee makes the request, the burden shifts to the employer to grant the accommodation unless that employer can show that the accommodation would impose an undue hardship on the ordinary operation of the business of the employer. An accommodation would impose an undue hardship on the ordinary operation of the business of the employer if granting the accommodation would be prohibitively expensive or disruptive when considered in light of the following factors:

- The nature and cost of the accommodation needed;
- The overall financial resources of the facility or facilities involved in the provision of the reasonable accommodation, the number of persons employed by the facility, the effect on expenses and resources, or the impact otherwise of the accommodation upon the operation of the facility;
- The overall financial resources of the employer with respect to the number of its employees, and the number, type, and location of its facilities; and
- The type of operation or operations of the employer, including the composition, structure, and functions of the workforce of the employer, the geographic separateness, administrative, or fiscal relationship of the facility or facilities in question to the employer.

A reasonable accommodation is a reasonable modification or adjustment to the job application process or work environment, or to the manner or circumstances under which the position desired or held is customarily performed, that enable an applicant or employee affected by pregnancy to be considered for the position or to perform the essential functions of that position. Examples include:

- More frequent or longer bathroom breaks;
- Breaks for increased water intake;
- Breaks for periodic rests;
- Private non-bathroom space for expressing breast milk and breastfeeding;
- Seating;
- Assistance with manual labor;
- Light duty;

- Temporary transfer to a less strenuous or hazardous position;
- The provision of an accessible worksite;
- Acquisition or modification of equipment;
- Job restructuring;
- A part-time or modified work schedule;
- Appropriate adjustment or modifications of examinations, training materials, or policies;
- Reassignment to a vacant position;
- Time off to recover from pregnancy; and
- Leave necessitated by pregnancy.

The employer and the employee must engage in a timely, good faith, and meaningful exchange to determine an effective, reasonable accommodation. An employer is not required to create additional employment that the employer would not otherwise have created unless the employer does so or would do so for other classes of employees who need an accommodation. An employer is not required to discharge any employee, transfer any employee with more seniority, or promote any employee who is not qualified to perform the job, unless the employer does so or would do so to accommodate other classes of employees who need it.

In response to a request for an accommodation, an employer can ask that the employee provide documentation from the employee’s healthcare provider if:

- (1) The employer also requests similar documentation for conditions related to a disability;
- (2) The request is job-related and consistent with business necessity; and
- (3) The request is limited to information concerning:
 - (i) The need or medical justification for the requested accommodation;
 - (ii) A description of the reasonable accommodation medically advisable;
 - (iii) The date the reasonable accommodation became medically advisable; and
 - (iv) The probable duration of the reasonable accommodation.

If an employer requests documentation which documentation that it is entitled to under Public Act 98-1050, an employee requesting the accommodation must submit to the employer the documentation requested.

Nothing in Public Act 98-1050 prohibits an employer from requesting documentation from the employee’s healthcare provider to determine compliance with other laws.

5.2 ACCOMMODATIONS FOR INDIVIDUALS WITH DISABILITIES

In accordance with the Americans with Disabilities Act and other applicable law, FPIF shall make reasonable accommodations for the known disability of an otherwise qualified individual to the extent required by law unless undue hardship would result.

Procedures for Requesting Reasonable Accommodations – Otherwise qualified employees and applicants who require a reasonable accommodation to perform the essential functions of a position should take the following steps:

- Make a request to your supervisor or the appropriate member of management for a reasonable accommodation. Requests shall be submitted in writing.
- Once FPIF has been notified of an employee or applicant's request or need for a reasonable accommodation due to a disability, the employee or applicant may be required to provide current documentation from a physician or other medical professional concerning the existence and extent of the disability. The employee or applicant shall be responsible for requesting the applicable medical documentation from their physician or other medical professional and ensuring it is provided to the appropriate member of management. FPIF will generally not communicate with an employee's physician or other medical professional directly without first obtaining the employee or applicant's written consent for the release of medical information.
- After FPIF has been alerted to an employee or applicant's request or need for a reasonable accommodation, an appropriate member of management will communicate with the employee or applicant regarding what accommodations, if any, would be reasonable under the circumstances. Accommodations will be made if they are reasonable and do not cause undue hardship. All employees must be able to perform the essential functions of their positions, with or without reasonable accommodations.
- Information and documentation related to accommodations, including medical information, will be maintained in a confidential file separate from other personnel records. Information and documentation related to accommodations will only be shared with those individuals who need to know in order to provide the accommodation. Such individuals may or may not include an employee's supervisor.

5.3 ACCOMMODATIONS FOR RELIGIOUS BELIEFS

FPIF will endeavor to accommodate the religious beliefs of its employees to the extent such accommodation does not pose an undue hardship on operations. Employees who wish to request such an accommodation should make a written request to their supervisor and/or an appropriate member of management.

Accommodations for religious beliefs may include the use of voluntary substitutes and swaps, flexible scheduling, or temporary changes in job assignments. Employees should notify their supervisor in writing of any requested time off for religious observations at least 30 days prior to the requested absence.

SECTION 6: LEAVES OF ABSENCE

6.1 DISABILITY LEAVE

An employee who is unable to perform a substantial portion of the employee's regularly assigned duties due to temporary physical or mental disability shall upon request be granted a disability leave of absence for the duration of such disability. A substantial portion of regularly assigned duties means those duties or responsibilities normally performed by the employee which constitute a significant portion of the employee's time or which constitute the differentiating factors which identify that particular position from other positions, provided the balance of duties can be reassigned by FPIF. A request for disability leave shall be in writing except when FPIF is advised by other appropriate means of the employee's disability in which event the employee's signature is not required.

An employee who is injured on the job while performing assigned duties or who contracts a service-connected disease should report the injury or illness immediately to the ED and the General Counsel. Necessary accident report forms and instructions to file a claim will be provided.

The employee shall be permitted to utilize accumulated sick leave or other benefits unless the employee has applied for and been granted temporary total disability benefits in lieu of salary or wages pursuant to provisions of the Workers' Compensation Act (80 ILCS 305) or the FPIF's insurance policy.

During a disability leave, the disabled employee shall provide written verification by a person licensed under the Medical Practice Act of 1987 (225 ILCS 60) or under similar laws of Illinois or of other states or countries or by an individual authorized by a recognized religious denomination to treat by prayer or spiritual means. Such verification shall show the diagnosis, prognosis and expected duration of the disability and shall be made no less often than every 30 days during a period of disability, unless the nature of the disability precludes the need for such frequency of verification.

As soon as an employee becomes aware of an impending period of disability, he/she shall notify the appropriate supervisor of such disability and provide a written statement by the attending physician of the approximate date the employee will be unable to perform his/her regularly assigned duties.

Failure of an employee to provide verification of continued disability upon reasonable request shall on due notice cause termination of such leave.

An employee's disability leave shall terminate when said employee is no longer temporarily disabled from performing his/her regularly assigned duties. An employee is no longer temporarily disabled when he/she is able to perform his/her regularly assigned duties upon advice of the appropriate authority or, in the absence of such authority, the attending physician.

An employee is no longer temporarily disabled when he/she is found to be permanently disabled and unable to perform a substantial or significant portion of his/her regularly assigned duties by the appropriate authority, or in the absence of such authority, by the attending physician.

An employee who returns from a disability leave of six (6) months or less shall be returned by FPIF to the same or similar position in the same class in which the employee was incumbent at the time the leave commenced.

An employee who returns from a disability leave exceeding six (6) months and there is no vacant position available in the same class held by the employee at the commencement of such leave may be laid off in accordance with the Rules on Voluntary Reduction and Layoff, unless such leave resulted from service-connected disability, in which case the employee shall be returned by FPIF to the same or similar position in the same class in which the employee was incumbent at the time the leave commenced.

6.2 PARENTAL LEAVE AND ADOPTION LEAVE

TBD

6.3 BREAKS FOR NURSING MOTHERS

Reasonable break times shall be provided each day to an employee who needs to express breast milk for the employee's infant child. The break time must, if possible, run concurrently with any break time already provided to the employee. Reasonable efforts will also be made to provide a room or other location, in close proximity to the work area, other than a toilet stall, where an employee can express milk in privacy. Leave under this policy shall be unpaid unless otherwise approved by an employee's supervisor and/or the appropriate member of management.

6.4 FAMILY RESPONSIBILITY LEAVE

An employee with at least with who wishes to be absent from work in order to meet or fulfill responsibilities, as defined below, arising from the employee's role in his/her family, as the term is defined herein ("Family"), or as head of the household will normally, upon request and in the absence of another more appropriate form of leave, be granted an unpaid Family Responsibility Leave for a period not to exceed one (1) year. Employees shall not be required to use any accumulated benefit time prior to taking Family Responsibility Leave. Such request shall not be unreasonably denied. The ED will consider whether the need for the family responsibility leave is substantial, whether the action is consistent with the treatment of other similar situations and whether the action is equitable in view of the particular circumstances prompting the request.

Any request for such leave shall be in writing by the employee not less than 15 calendar days in advance of the leave unless such notice is precluded by emergency conditions, stating the purpose of the leave and the expected duration of absence. Such leave shall be granted only to a permanent full-time employee, except that an intermittent employee shall be non-scheduled for the duration of the required leave. An employee in temporary, emergency, provisional, or trainee status shall not be granted such leave.

"Family Responsibility" for purposes of this Family Responsibility Leave is defined as, "The duty or obligation perceived by the employee to provide care, full-time supervision, custody or non-professional treatment for a member of the employee's Family or household under circumstances temporarily inconsistent with uninterrupted employment."

"Family" for purposes of this Family Responsibility Leave is defined as:

A group of 2 or more individuals living under one roof, having one head of the household and usually, but not always, having a common ancestry, and including the employee's spouse; such natural relation of the employee, even though not living in the same household, as parent, sibling or child; or an adoptive, custodial and in-law individuals when residing in the employee's household or any relative or person living in the employee's household for whom the employee has custodial responsibility or where such person is financially and emotionally dependent on the employee and where the presence of the employee is needed, but excluding persons not otherwise related of the same or opposite sex sharing the same living quarters but not meeting any other criteria for Family, as defined herein.

Standards for granting a Family Responsibility Leave are:

- 1) To provide nursing (breastfeeding) and/or custodial care for the employee's newborn infant, whether natural born or adopted;
- 2) To care for a temporarily disabled, incapacitated or bedridden resident of the employee's household or member of the employee's Family;
- 3) To furnish special guidance, care or supervision of a resident of the employee's household or a member of the employee's Family in extraordinary need thereof;
- 4) To respond to the temporary dislocation of the Family due to a natural disaster, crime, insurrection, war or other disruptive event;
- 5) To settle the estate of a deceased member of the employee's Family or to act as conservator if so appointed and providing the exercise of such functions precludes the employee from working; or
- 6) To perform Family responsibilities consistent with the intention of this Family Responsibility Leave but not otherwise specified.

FPIF shall require substantiation or verification of the need by the employee for such leave, the substantiation or verification shall be consistent with and appropriate to the reason cited in requesting the leave, such as:

1. A written statement by a physician or medical practitioner licensed under Medical Practice Act of 1987 (225 ILCS 60) or under similar laws of Illinois or of another state or country or by an individual authorized by a recognized religious denomination to treat by prayer or spiritual means, such verification to show the diagnosis, prognosis and expected duration of the disability requiring the employee's presence;
2. A written report by a social worker, psychologist, or other appropriate practitioner concerning the need for close supervision or care of a child or other Family member;
3. Written direction by an appropriate officer of the courts, a probation officer or similar official directing close supervision of a member of the employee's household or Family;
or
4. An independent verification substantiating that the need for such leave exists.

Such leave shall not be renewed; however, a new leave shall be granted for any reason consistent with "Standards for Granting a Family Responsibility Leave" other than that for which the original leave was granted.

If FPIF has reason to believe that the condition giving rise to the given need for such leave no longer exists during the course of the leave, it should require further substantiation or verification, and if appropriate, direct the employee to return to work on a certain date.

Failure of an employee, upon reasonable request by FPIF, to provide such verification or substantiation is cause on due notice for termination of the leave.

Such leave shall not be used for the purpose of securing alternative employment. An employee during such leave may not be gainfully employed full-time; otherwise the leave shall be terminated.

Upon expiration of a Family Responsibility Leave, or prior to such expiration by mutual agreement between the employee and FPIF, the agency shall return the employee to the same or similar position classification that the employee held immediately prior to the commencement of the leave.

ILPIF shall continue payment of its portion of employee and dependent health and dental insurance premiums for up to six (3) months while an employee is on a Family Responsibility Leave consistent with the Federal Family and Medical Leave Act of 1993 and Standards 1-4 of this Family Responsibility Leave. For leaves defined by Standards 5-7 of this Family Responsibility Leave, FPIF shall not continue payment of its portion of employee and dependent health and dental insurance premiums.

6.5 BEREAVEMENT LEAVE

Except as otherwise provided in this Manual, FPIF may grant up to 3 workdays of leave to regular full-time employees in the event of the death of an immediate family member to attend

the funeral (or alternative to a funeral) of the employee's immediate family member, make arrangements necessitated by the death of an employee's immediate family member, or grieve the death of the employee's immediate family member. For purposes of this policy, an employee's "immediate family member" shall be defined as the employee's husband, wife, domestic partner, mother, father, brother, sister, children, grandchildren, grandparents, mother-in-law, father-in-law, step parents, or any other relative within the first degree living in the same household. An employee may also be granted 1 workday of leave due to the death of a relative outside the immediate family or household. This would include an employee's aunt, uncle, niece, nephew, brother-in-law, sister-in-law, daughter-in-law, son-in-law, and cousin (within the first degree).

This leave must be completed within 60 days after the date on which the employee receives notice of the death of the family member. FPIF may require reasonable documentation to support any requested bereavement leave, which may include a death certificate, a published obituary notice, or written verification of death, burial, or memorial services from a mortuary, funeral home, burial society, crematorium, religious institution, or government agency.

Leave under this policy shall be paid. Nothing in this policy shall be interpreted as increasing the total amount of time off available to an employee under the Family and Medical Leave Act or any other policy.

6.6 CHILD BEREAVEMENT LEAVE ACT

Employees shall be entitled to 5 workdays of paid bereavement leave to attend the funeral (or alternative to a funeral) of the employee's child, make arrangements necessitated by the death of the child, or grieve the death of the child. For purposes of this policy, an employee's "child" shall be defined as the employee's son or daughter who is the biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing in loco parentis.

This leave must be completed within 60 days after the date on which the employee receives notice of the death of the child. In the event of the death of more than one child in a 12-month period, an eligible employee is entitled to up to six (6) weeks of child bereavement leave during the 12-month period. FPIF will not discriminate or retaliate against employees who take this leave.

Leave under this policy shall be unpaid unless otherwise approved by your supervisor and/or the appropriate member of management. Employees may use their accrued vacation days in lieu of taking otherwise unpaid leave under this policy. Nothing in this policy shall be interpreted as increasing the total amount of time off available to an employee under the Family and Medical Leave Act or any other policy.

6.7 LEAVE UNDER THE VICTIMS ECONOMIC SAFETY AND SECURITY ACT

The Victims' Economic Security and Safety Act (VESSA) provides an employee who is a victim of domestic or sexual violence, or who has a family or household member who is a victim of domestic or sexual violence, with up to 12 weeks of unpaid leave per any 12-month period.

VESSA leave may be taken intermittently or on a reduced leave schedule. VESSA leave will run concurrently with any other applicable leave. For instance, leave taken under VESSA, which also qualifies under the FMLA, will be simultaneously designated as both VESSA and FMLA leave.

Qualifying Reasons for VESSA Leave

Eligible employee may use VESSA leave for the following reasons:

- To seek medical attention for, or recovery from, physical or psychological injuries caused by domestic violence to the employee or the employee's family or household member;
- To obtain victim services for the employee or employee's family or household member;
- To obtain psychological or other counseling for the employee or the employee's family or household member;
- To participate in safety planning, including temporary or permanent relocation or other actions to increase the safety of the victim from future domestic or sexual violence; and/or
- To seek legal assistance to ensure the health and safety of the victim, including participating in court proceedings related to the violence.

Employees are eligible take this leave if the victim of domestic or sexual violence is: (i) the employee themselves; (ii) a covered family member (spouse, child, parent); or (iii) a person jointly residing in the employee's household (who is currently residing with the employee).

Notice Requirements

Employees must provide their supervisors and/or the appropriate member of management with at least 48 hours' notice in advance of taking VESSA leave unless doing so is not practicable under the circumstances. If an unscheduled absence occurs which an employee desires to be covered under VESSA leave, the employee must, upon request and within a reasonable period of time after the absence, comply with the certification requirements below. Failure to do so may result in the absence being treated as unexcused and/or other disciplinary action.

Certification Requirements

An employee requesting VESSA leave must be able to provide the following:

- A sworn statement by the employee showing that the leave qualifies for a purpose covered by VESSA; and
- Written documentation from the source from whom assistance was sought or who could otherwise verify the nature of the leave, such as documentation from:
 - A representative of a victim services organization, an attorney, a member of the clergy, or a medical or other professional, from whom the employee has sought services on behalf of a covered victim to address domestic or sexual violence or the effects of the violence;
 - A police or court record; and/or
 - Other corroborating evidence.

If an employee fails to produce adequate certification within a reasonable time period after it is requested, or if the certification does not confirm a VESSA-qualifying purpose, the employee's absence will be treated as unexcused and/or may result in disciplinary action up to and including termination.

Pay and Benefits

VESSA leave is unpaid. However, employees may be required or permitted to use their accrued vacation days in lieu of taking otherwise unpaid leave under this policy. During an approved VESSA leave, an employee's health benefits will continue as if they continued to be actively employed. If an employee uses accrued vacation days in lieu of taking otherwise unpaid leave, the employee's portion of any applicable health plan premium will be deducted from their paycheck. If the leave is unpaid, the employee must pay its portion of any applicable health plan premium during the leave. Group health care coverage may cease if employees fail to make timely payments of their portion of the premium(s). Benefits, including vacation days and sick days, will not accrue while an employee is on unpaid VESSA leave. However, employees who take VESSA leave shall not suffer loss of seniority or any other benefits previously accrued.

Return from VESSA Leave

Employees who timely return to work following approved VESSA leave will be restored to the same or an equivalent position. Employees who fail to timely return to work may be subject to disciplinary action up to and including termination. Employees will not be retaliated against for exercising their rights under VESSA. If you believe you have subjected to any unlawful discrimination or retaliation, you should promptly register a complaint with your supervisor or the appropriate member of management.

6.9 MILITARY LEAVE

FPIF shall grant leave from employment to eligible full-time and part-time employees who are members of any active or reserve component of the Armed Services of the United States of America, any “military service” as defined in the State Guard Act (20 ILCS 1815/0.01 *et seq.*), or the National Guard of any state for any period actively spent in military service, whether voluntary or involuntary, including basic training, annual training, and special or advanced training.

Military leave shall be uncompensated, except to the extent required by Article 5 of the Illinois Service Member Employment and Reemployment Rights Act (330 ILCS 61/1-1 *et seq.*). Employees may use their accrued vacation days in lieu of taking otherwise unpaid leave under this policy.

Notice

Employees shall provide their supervisor with advance notice of the need for military leave, unless military necessity prevents such notice or it is otherwise impossible or unreasonable. Unless otherwise provided by law, such leave shall not exceed a cumulative period of 5 years.

Health Benefits During Military Leave of Absence

Unless otherwise provided by law, employees who are on military leave in excess of 31 days may elect to continue their employer-sponsored health insurance coverage for up to 24 months. Upon return from military leave, employees shall be entitled to reinstatement of health insurance benefits. Employees who take military leave shall not suffer loss of seniority or any other benefits previously accrued.

Military Leave for Training Purposes

- Employees who are members of any reserve component of the United States Armed Services of the United States of America, any “military service” as defined in the State Guard Act (20 ILCS 1815/0.01), or the National Guard of any state, shall be granted leave for any period actively spent in military service, including:
 - Basic training;
 - Special or advanced training, whether or not with the state, and whether or not voluntary;
 - Annual training; and
 - Any other training or duty required by the United States Armed Forces.
- During leaves for annual training, full-time employees who are in the Reserves shall continue to receive their regular compensation.
- During leaves for basic training, for up to 60 days of special or advanced training, and for any other training or duty required by the United States Armed Forces, full-time

employees who are in the Reserves shall receive their regular compensation minus the amount of their base pay for military activities if their daily rate of compensation for military activities is less than their daily rate of compensation as a full-time employee. Calculations under this section shall be made in accordance with applicable law.

- During leaves for basic training, full-time employees who are in the Reserves shall continue to accrue seniority and other applicable benefits.
- FPIF recognizes and fully complies with the provisions listed in the Illinois Service Member Employment and Reemployment Rights Act (330 ILCS 61/1-1 *et seq.*).

Employees in the Reserves Who Are Called to Active Duty

Employees who are members of any reserve component of the Armed Services of the United States of America, any “military service” as defined in the State Guard Act (20 ILCS 1815/0.01 *et seq.*), or the National Guard of any state, and who are mobilized to active military duty as a result of an order of the President of the United States, shall continue to receive their compensation as an employee for the duration of their active military service, as well as any health insurance and other benefits they were receiving or accruing at the time they were mobilized to active military duty minus the amount of their base pay for military service.

Returning from Military Leave

Employees wishing to return to their employment following military leave must report back to work or make a request for reemployment within the timeframe set by law. Employees who have been on leave for less than 31 days must report for work by the beginning of the first regularly scheduled work day that would fall 8 hours after the employee returns home from the place of military service. Employees who have been on leave for 31 – 180 days must make a request for reemployment no later than 14 days following the completion of their military service. Employees who have been on leave for more than 180 days must make a request for reemployment within 90 days following the completion of their military service. If, due to no fault of the employee, timely reporting back to work would be impossible or unreasonable, the employee must report back to work as soon as possible, unless otherwise provided for by law. An employee’s failure to timely report for work or make a request for reemployment may be grounds for the denial of reinstatement and may result in discipline up to and including termination.

6.10 VETERANS HOSPITAL LEAVE

An employee who is also a veteran shall be permitted four (4) days with pay per year to visit a veterans’ hospital or clinic for examination of a military service-connected disability. The four (4) days shall not be charged against any sick leave currently available to the employee.

6.11 DISASTER SERVICE LEAVE WITH PAY

Any employee, except those in temporary, emergency or per diem status, who is a certified disaster service volunteer of the American Red Cross or volunteers for assignment to the Illinois Emergency Management Agency in accordance with the Illinois Emergency Management Agency Act (20 ILCS 3305) or the Emergency Management Assistance Compact Act (45 ILCS 151) may be granted leave with pay for up to 20 work days in any 12 month period for disasters within the United States or its territories. The leave may be granted upon request of the American Red Cross or the Illinois Emergency Management Agency for employees to participate in specialized disaster relief services for the American Red Cross or for the Illinois Emergency Management Agency and are subject to approval by FPIF in consideration of FPIF's operating needs. This leave is limited to those disasters designated at a Level III or above in the American National Red Cross Regulations and Procedures (5 ILCS 335/2). The American Red Cross and the Illinois Emergency Management Agency shall coordinate requests for services outside of Illinois through the Illinois State Emergency Operations Center.

6.12 JURY DUTY

Employees selected for jury duty are expected and encouraged to participate fully in the judicial process. If work conditions demand, an employee may be asked to obtain a postponement of jury duty from the Jury Commission.

Any full-time employee called for jury duty or subpoenaed by any legislative, judicial or administrative tribunal, shall be allowed time away from work with pay for such purposes. Upon receiving the sum paid for jury service or witness fee, the employee shall submit the warrant, or its equivalent, to FPIF to be returned to the fund. Provided, however, an employee may elect to fulfill such call or subpoena on accrued time off and personal leave and retain the full amount received for such service.

Emergency or temporary employees shall be allowed time off without pay for such purpose and shall be allowed to retain the reimbursement received thereof.

6.13 LEAVE UNDER THE ILLINOIS SCHOOL VISITATION RIGHTS ACT

Employees who have worked for FPIF for six (6) consecutive months shall be granted up to 8 hours of unpaid leave per school year, with no more than 4 hours being taken in one day, to attend school conferences or classroom activities related to the employee's child if the conference or classroom activities cannot be scheduled during nonworking hours. Employees are only entitled to leave under this policy if they have exhausted all accrued vacation leave. Employees must provide their supervisors with a written request for leave at least 7 days in advance of when the leave is to be taken, except for emergency situations in which case at least 24 hours' notice shall be required. Reasonable efforts will be made to accommodate an employee who wishes to make up any time missed after taking leave under this policy. Leave under this policy shall be

unpaid unless otherwise approved by an employee's supervisor and/or the appropriate member of management.

6.14 LEAVE OF ABSENCE WITHOUT PAY

Unless otherwise provided, FPIF may grant leaves of absence without pay to employees for periods not to exceed six (6) months; such leaves may be extended for good cause by FPIF for additional six (6) month periods.

6.15 SEVERE WEATHER/EMERGENCY CLOSINGS/TIME OFF

The ED shall determine when FPIF shall close its office due to severe weather or emergency, and the ED shall contact employees accordingly. When the office is closed, due to severe weather or emergency, all employees will be granted an excused absence. All other absence due to inclement weather will be charged with time off.

SECTION 7: SECURITY

7.1 RECORDS MANAGEMENT

FPIF employees are required to follow and retain all records in accordance with the Illinois Local Records Act.

7.2 ACCESS TO PREMISES, RECORDS AND PROPERTY

FPIF maintains the right to take control of or gain access to all FPIF premises whether owned or rented. FPIF maintains the right to copy or remove all or a portion of the contents of all FPIF property including desks, file cabinets or other storage devices without the consent or knowledge of any individuals.

The ED and the COO have the authority to access all records and property.

7.3 OFFICE USE POLICY

It is the policy of FPIF that the meeting rooms and other office facilities are to be used for FPIF business and that requests for use by outside organizations be limited. Scheduling of events for outside organizations will be done through the ED.

SECTION 8: STANDARDS OF CONDUCT

8.1 HARASSMENT AND COMPLAINT PROCEDURE

FPIF is committed to maintaining a work environment free of harassment and discrimination of any kind, including sexual harassment. Accordingly, harassment of employees by anyone is strictly prohibited. Policies and procedures regarding complaints of harassment are included below.

Prohibition on Harassment in the Workplace

Harassment that interferes with an individual's work performance or that creates an intimidating, hostile, or offensive working environment is prohibited. Harassment consists of unwelcome conduct, whether verbal, physical, or visual that is based upon a person's race, color, creed, religion, sex, gender, ancestry, national origin, alienage, citizenship status, marital status, sexual orientation, medical condition, pregnancy, disability status, gender identity or expression, protected veteran status, or any other characteristic protected by federal, state, or local law. No employee shall either explicitly or implicitly ridicule, mock, deride, or belittle any other employee or conduct themselves in a manner that has the purpose or effect of interfering with another employee's work performance or creating an intimidating, hostile, or offensive working environment. Any employee who fails to abide by this policy shall be subject to disciplinary action up to and including termination of employment.

Prohibition on Sexual Harassment

It is unlawful to harass a person because of that person's sex. The courts have determined that sexual harassment is a form of discrimination under Title VII of the U.S. Civil Rights Act of 1964, as amended in 1991. All persons have a right to work in an environment free from sexual harassment. Sexual harassment is unacceptable misconduct that affects individuals of all genders and sexual orientations. It is the policy of the FPIF to prohibit sexual harassment by any of its employees, volunteers, supervisors, managers, directors, agents, officials, board members, representatives, or other persons subject to FPIF policies and procedures (for the purposes of this Section 8.1 of this Manual, all of the foregoing shall be known as "Employees") on the basis of sex or gender. All Employees are prohibited from sexually harassing any person, regardless of any employment relationship or lack thereof.

This policy adopts the definition of sexual harassment as stated in the Illinois Human Rights Act, which currently defines sexual harassment as any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or

- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Sexual harassment can occur between men and women or between members of the same sex.

Sexual harassment can take a variety of forms ranging from comments of a sexual nature to physical contact. An individual may or may not be aware that their conduct is offensive or harassing to others. While it is impossible to list all conduct that may constitute sexual harassment, some examples include, but are not limited to:

- Verbal – sexual innuendos, suggestive comments, insults, humor, and jokes about sex, anatomy or gender-specific traits, sexual propositions, threats, repeated requests for dates, or statements about other Employees, even outside of their presence, of a sexual nature;
- Non-verbal – suggestive or insulting sounds (whistling), leering, obscene gestures, sexually suggestive bodily gestures, “catcalls”, “smacking” or “kissing” noises;
- Visual – posters, signs, pin-ups or slogans of a sexual nature, viewing pornographic material or websites;
- Physical – touching, unwelcome hugging or kissing, pinching, brushing the body, any coerced sexual act or actual assault;
- Textual/Electronic – “sexting” (electronically sending messages with sexual content, including pictures and video), the use of sexually explicit language, harassment, cyber stalking and threats via all forms of electronic communication (e-mail, text/picture/video messages, intranet/on-line postings, blogs, instant messages and social network websites like Facebook and Twitter);
- Persistent and unwelcome sexual flirtations, propositions, requests for sexual favors, offensive touching, or commenting on a person's physical characteristics;
- Vulgar language or gestures and lewd or derogatory comments or jokes;
- Verbal abuse of a sexual nature, repetitive use of offensive words of a sexual nature describing body parts or the sexual act, telling suggestive (“dirty”) stories;
- Conversations or discussion between employees or between supervisors and employees about subjects that are sexual in nature and perceived (by a listener or participant) as offensive including, but not limited to, the following: invitations to spend the night, engaging in particular sexual acts, requests to start a sexual relationship between employees or a supervisor and employee and pressure on employees to have pre- or extra-marital affairs;

- Displaying in the workplace sexually suggestive objects, pictures, pornographic magazines, or representations of any actions or subject sexual in nature which can be perceived as offensive;
- Retaliation against employees for refusing a sexual advance or for complaining about an incident of possible sexual harassment;
- Requesting sexual favors as a condition to employment, favorable treatment, favorable evaluation, favorable assignment, or promotion;
- Comments regarding sexual behavior or the body of another employee;
- Sexual innuendo and other vocal activity such as catcalls or whistles;
- Obscene letters, notes, emails, texts, posts, invitations, photographs, cartoons, articles, or other written or pictorial materials of sexual nature;
- Repeated requests for dates after being informed that interest is unwelcome;
- Displaying in the workplace sexually suggestive objects, pictures, pornographic magazines, or representations of any actions or subject sexual in nature which can be perceived as offensive; or
- Any unwanted physical touching or assault or blocking or impending movements.

Procedure for Reporting an Allegation of Harassment

An employee who observes harassment, sexual or otherwise (hereinafter collectively known as harassment) or believes themselves to be the object of harassment should deal with the incident(s) as directly and firmly as possible by clearly communicating their position to the offending employee, and their immediate supervisor. It is not necessary for harassment to be directed at the person making the report.

Any employee may report conduct that is believed to be harassment to FPIF through the following processes and procedures:

- **Direct Communication** – If there is harassing behavior in the workplace, the harassed employee should directly and clearly express their objection, indicate that the conduct is unwelcome, and request that the offending behavior stop. The initial message may be verbal. If subsequent messages are needed, they should be put in writing in a note or a memo.
- **Contact with Supervisory Personnel** – At the same time direct communication is undertaken, or in the event the employee feels threatened or intimidated by the situation, the problem must be promptly reported to the immediate supervisor of the employee making the report, the employee's department head, the director of human resources, or

other appropriate officer. A report by an employee should be made to the employee's immediate supervisor, except in circumstances when the immediate supervisor is the offending individual or employee reasonably determines, based on the circumstances that the report should be made to another FPIF supervisor or officer. Reports may be made either orally or in writing, but oral reports should be reduced to writing before an investigation is initiated. The report should include a description of the incident(s), the name of the person accused of the harassment, the date(s) on which the incident(s) occurred, and the signature of the individual making the report. Reports should be made promptly after a suspected violation has occurred. Documentation of any incident may be submitted with any report (what was said or done, the date, the time and the place), including but not limited to written records such as letters, notes, memos and telephone messages.

- After a report has been reduced to writing, a member of management (or a third party when appropriate) will, within a reasonable amount of time, investigate the allegations by the reporting employee. The investigation may include individual interviews with the parties involved, and where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.
- Upon completion of the investigation, the reporting employee shall be advised of the results of the investigation and the proposed resolution of the report. Appropriate disciplinary action will be taken against an offending employee.
- Individuals who submit a written report of harassment should maintain any relevant notes and documentation. FPIF shall maintain records of reports and investigation materials for at least 2 years after the date of resolution of the report unless the circumstances are such that the records should be kept for a longer period of time.
- Reasonable efforts shall be made to keep reports of harassment confidential. In the event of a legal claim, records relating to reports of harassment and other legal violations may not be considered privileged from disclosure.
- The purpose of this policy is to establish prompt, thorough and effective procedures for responding to every report and incident so that problems can be identified and remedied by the FPIF. However, all employees have the right to contact the Illinois Department of Human Rights (IDHR) (312-814-6200) or the Equal Employment Opportunity Commission (EEOC) (800-669-4000) for information regarding filing a formal complaint with those entities. An IDHR complaint must be filed within 300 days of the alleged incident(s) unless it is a continuing offense. A complaint with the EEOC must also be filed within 300 days.

The employee experiencing perceived harassment must not assume that the FPIF is aware of the conduct. If there are no witnesses and the victim fails to notify a supervisor or officer, the FPIF will not be presumed to have knowledge of the harassment.

All allegations, including anonymous reports, will be accepted and investigated regardless of how the matter comes to our attention. However, because of the serious implications of harassment charges, the difficulties associated with their investigation, and the questions of credibility involved, a reporting employee's willing cooperation is a vital component to any investigation.

No Retaliation

The FPIF and its employees shall not take any retaliatory action against any employee due to an employee's:

- Disclosure or threatened disclosure of an any violation of this policy;
- The provision of information related to or testimony before any public body conducting an investigation, hearing or inquiry into any violation of this policy; or
- Assistance or participation in a proceeding to enforce the provisions of this policy.

For the purposes of this policy, retaliatory action means the reprimand, discharge, suspension, demotion, denial of promotion or transfer, or change in the terms or conditions of employment of any employee, that is taken in retaliation for an employee's involvement in protected activity established pursuant to this policy.

No individual making a report will be retaliated against even if a report made in good faith is not substantiated. In addition, any witness will be protected from retaliation.

Similar to the prohibition against retaliation contained herein, the State Officials and Employees Ethics Act (5 ILCS 430/15-10) provides whistleblower protection from retaliatory action such as reprimand, discharge, suspension, demotion or denial of promotion or transfer that occurs in retaliation for an employee who does any of the following:

- Discloses or threatens to disclose to a supervisor or to a public body an activity, policy, or practice of any officer, member, state agency, or other state employee that the state employee reasonably believes is in violation of a law, rule or regulation;
- Provides information to or testifies before any public body conducting an investigation, hearing or inquiry into any violation of a law, rule or regulation by any officer, member, state agency or other state employee; or
- Assists or participates in a proceeding to enforce the provisions of the State Officials and Employees Ethics Act.

Pursuant to the Whistleblower Act (740 ILCS 174/15(a)), an employer may not retaliate against an employee who discloses information in a court, an administrative hearing, or before a legislative commission or committee, or in any other proceeding, where the employee has reasonable cause to believe that the information discloses a violation of a state or federal law,

rule or regulation. In addition, an employer may not retaliate against an employee for disclosing information to a government or law enforcement agency, where the employee has reasonable cause to believe that the information discloses a violation of a state or federal law, rule or regulation. (740 ILCS 174/15(b)).

According to the Illinois Human Rights Act (775 ILCS 5/6-101), it is a civil rights violation for a person, or for two or more people to conspire, to retaliate against a person because he/she has opposed that which he/she reasonably and in good faith believes to be sexual harassment in employment, because he/she has made a charge, filed a complaint, testified, assisted or participated in an investigation, proceeding or hearing under the Illinois Human Rights Act.

An employee who is suddenly transferred to a lower paying job or passed over for a promotion after filing a complaint with IDHR or EEOC, may file a retaliation charge – each due within 300 days of the alleged retaliation.

Consequences of a Violation of the Prohibition on Sexual Harassment

In addition to any and all other discipline that may be applicable pursuant to FPIF policies, this Manual, employment agreements, procedures, employee handbooks and/or collective bargaining agreements, any person who violates this policy or the Prohibition on Sexual Harassment contained in 5 ILCS 430/5-65 may be subject to a fine of up to \$5,000 per offense, applicable discipline or discharge by the FPIF and any applicable fines and penalties established pursuant to local ordinance, State law or Federal law. Each violation may constitute a separate offense. Any discipline imposed by the FPIF shall be separate and distinct from any penalty imposed by an ethics commission and any fines or penalties imposed by a court of law or a State or Federal agency.

Consequences of Knowingly Making False Reports

A false report is a report of harassment made by an accuser using the harassment report to accomplish some end other than stopping Harassment or retaliation for reporting harassment. A false report is not a report made in good faith that cannot be proven. Given the seriousness of the consequences for the accused, a false or frivolous report is a severe offense that can itself result in disciplinary action. Any person who intentionally makes a false report alleging a violation of any provision of this policy shall be subject to discipline or discharge pursuant to applicable FPIF policies, this Manual, employment agreements, procedures, employee handbooks and/or collective bargaining agreements, up to and including termination of employment.

In addition, any person who intentionally makes a false report alleging a violation of any provision of the State Officials and Employees Ethics Act to an ethics commission, an inspector general, the State Police, a State's Attorney, the Attorney General, or any other law enforcement official is guilty of a Class A misdemeanor. An ethics commission may levy an administrative fine of up to \$5,000 against any person who intentionally makes a false, frivolous or bad faith allegation.

8.2 POLITICAL ACTIVITY

In accordance with state and federal laws, employees are not prohibited from exercising their political rights to engage in political activities, including the right to petition, make speeches, campaign door-to-door, and to run for public office. However, employees are strictly prohibited from engaging in political activities on behalf of any political candidate or cause while they are being compensated by FPIF, other than during paid time off. Employees are further prohibited from using any FPIF property or resources for the benefit of any political organization, candidate, or cause.

Employees may not use their positions to attempt to coerce or influence others in relation to any political activity. Employees are strictly prohibited from requiring other employees to engage in political activities as part of their duties, and no employee shall be required to participate in any political activity in consideration for additional compensation or benefits.

8.3 OUTSIDE EMPLOYMENT

Outside employment that creates a conflict of interest or which affects the quality or value of your work performance or availability at FPIF is prohibited. Conflicts of interest shall be assessed by FPIF in its sole discretion. FPIF recognizes that employees may seek additional employment during off hours, but expects, in these cases, that any outside employment will not affect job performance, work hours, or scheduling, or otherwise adversely affect the employment relationship. Acceptance of outside employment by an employee shall be approved in advance by the ED, or in the case of the ED, approved in advance by the Board. Any conflicts should be reported to your supervisor. Failure to adhere to this policy may result in disciplinary action up to and including termination.

8.4 STATE GIFT BAN ACT

All employees shall adhere to and understand their obligations under the State Officials and Employees Ethics Act (5 ILCS 430/1-1, *et seq.*) and any gift ban or ethics requirement implemented by FPIF. Employees are not to provide any special services in exchange for gifts or other forms of compensation. Employees, their spouses, and any immediate family members living with an employee are prohibited from intentionally soliciting or accepting any gift from any source prohibited by law, ordinance, or policy. If an employee, employee's spouse, or immediate family member living with an employee receives any compensation, or offer of compensation, as a result of the employee's status as an employee of FPIF, the employee must report this immediately to their supervisor or the appropriate member of management.

8.5 ATTENDANCE

Employees are expected to report to work promptly at their designated starting times. If you are unable to timely report to work, you must notify your supervisor in advance of your designated

start time in accordance with the policies in this Manual and any other applicable department policies. If you are unable to reach your supervisor, you must notify your department head or another appropriate member of management. Notifying a fellow employee is not sufficient.

If you need to leave work prior to the end of your shift, you must first notify your supervisor and obtain permission to do so. If your supervisor is unavailable, you must notify and obtain permission from your department head or another appropriate member of management.

Failure to adhere to this policy shall subject an employee to disciplinary action up to and including termination of employment.

8.6 SAFETY

All employees are required to familiarize themselves with and adhere to any applicable safety rules and standards. Additionally, all employees are required to exercise caution and good judgment while performing their duties and during break and meal periods.

You have a responsibility to immediately report to your supervisor any accidents, injuries, or unsafe working conditions. This includes reporting unsafe equipment and/or procedures. If you become injured on the job, no matter how insignificant the injury may seem, you must report the injury to your supervisor.

Failure to comply with anything in this policy may subject an employee to disciplinary action up to and including termination.

8.7 WORKPLACE VIOLENCE

Workplace violence is strictly prohibited. Workplace violence includes, but is not limited to, any act of physical violence, threats of physical violence, harassment, intimidation, or other threatening or disruptive behavior. Workplace violence can affect or involve employees, visitors, or other parties.

If an employee witnesses or experiences any form of workplace violence, the employee should immediately report the violence to their supervisor and/or the appropriate member of management. If an employee is found to have engaged in workplace violence, the employee will be subject to discipline up to and including termination.

8.8 PRIVACY

FPIF reserves the right to conduct searches of work areas for legitimate, work-related reasons when it has a reasonable suspicion that an employee has engaged in work-related misconduct or violated policies, laws, and/or procedures.

Property of FPIF including but not limited to, lockers, phones, computers, desks, work spaces, vehicles, or machinery is subject to inspection at any time, without notice to the employee and without the employee's presence. Employees should have no expectation of privacy in any of these areas. FPIF assumes no responsibility for the loss of, or damage to, any employee property maintained on the premises including property kept in lockers and desks.

FPIF may utilize video surveillance in public areas for security reasons. The video surveillance will not be hidden. FPIF may rely upon the surveillance in assessing employee misconduct and/or criminal activity.

8.9 TELEPHONES

Employees should not make personal calls during working time and should ensure their family members and friends are aware of this policy. Exceptions may be made in urgent circumstances demanding immediate attention, subject to the discretion of an employee's supervisor.

Personal cell phones and other personal electronic equipment should be turned off during working hours and may be used during break and meal periods only. This includes sending and receiving text messages.

8.10 CAMERAS AND VIDEO/AUDIO RECORDERS

Employees are prohibited from using camera phones, cameras, or video or audio recorders in the workplace for non-work-related purposes. All employees are prohibited from recording any meeting or conversation without the express written consent of all parties to the conversation.

8.11 EMAIL AND INTERNET SYSTEM

Employees may be granted access to the FPIF internet and email system (the system). The system and all data transmitted or received through the system are the exclusive property of FPIF. No individual should have any expectation of privacy in any communication over the system.

FPIF reserves the right to monitor, intercept, and/or review all data transmitted, received, or downloaded over the system. Any individual who is given access to the system is hereby given notice that this right will be exercised periodically, without prior notice and without the prior consent of the employee.

The interest of FPIF in monitoring and intercepting data include, but are not limited to: protection of proprietary and classified data; managing the use of the computer system; preventing the transmission or receipt of inappropriate materials by employees; and/or assisting the employee in the management of electronic data during periods of absence. No individual should interpret the use of password protection as creating a right or expectation of privacy. In

order to protect everyone involved, no one can have a right or expectation of privacy with regards to the receipt, transmission, or storage of data on the system.

Any employee who abuses the privilege of access to the system will be subject to disciplinary action up to and including termination of employment. If necessary, law enforcement officials will be advised of any illegal conduct.

8.12 COPYRIGHT AND INTELLECTUAL PROPERTY POLICY

Employees must comply with all software licenses, copyrights, and all other laws governing intellectual property, online activity, and telecommunications. Employees are prohibited from copying any copyrighted material without the prior approval of the copyrighted individual or entity. Any violation of this policy is grounds for discipline up to and including termination.

8.13 SOCIAL MEDIA POLICY

At FPIF, we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends, and co-workers around the world. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established the following guidelines.

Guidelines

In the rapidly expanding world of electronic communications, “social media” can mean many things. Social media includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else’s web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board, or a chat room, as well as any other form of electronic communication.

Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow employees, or otherwise adversely affects members, customers, suppliers, people who work on behalf of FPIF its legitimate business interests may result in disciplinary action up to and including termination.

- Know and Follow the Rules – Carefully read these guidelines, as well as all other applicable written employment policies, procedures, notices, memoranda, and manuals and ensure your postings are consistent with these policies. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to disciplinary action up to and including termination.

- Be Respectful – Always be fair and courteous to fellow employees, customers, members, suppliers, or people who work on behalf of FPIF. Also, keep in mind that you are more likely to resolve work-related complaints by speaking directly with your co-workers than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video, or audio that reasonably could be viewed as malicious, obscene, threatening, or intimidating, that disparage customers, members, or employees or suppliers, or that might constitute harassment by bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone’s reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion, or any other status protected by law or policy.
- Be Honest and Accurate – Make sure you are always honest and accurate when posting information and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about FPIF, fellow employees, members, customers, suppliers, or people working on behalf of FPIF.
- Post Only Appropriate and Respectful Content:
 - Maintain the confidentiality of private or confidential information.
 - Do not create a link from your blog, website, or other social networking site to an FPIF website without identifying yourself as an employee of FPIF.
 - Express only your personal opinions. Never represent yourself as a spokesperson for FPIF. If FPIF is a subject of the content you are creating, be clear and open about the fact that you are an employee and make it clear that your views do not represent those of FPIF, fellow employees, members, customers, suppliers, or people working on behalf of FPIF. If you do publish a blog or post online related to the work you do or subjects employed with FPIF, make it clear that you are not speaking on behalf of FPIF. It is best to include a disclaimer such as, “The postings on this site are my own and do not necessarily reflect the view of FPIF.”
- Using Social Media at Work – Refrain from using social media while on work time or on equipment, unless it is work-related as authorized by your supervisor or consistent with other applicable policies. Do not use any email addresses issued by FPIF to register on social networks, blogs, or other online tools utilized for personal use.
- Retaliation is prohibited – Employees who in good faith report a possible deviation from this policy or cooperate in an investigation related to this policy shall not be retaliated against for doing so. Any employee who retaliates against another employee for reporting a possible deviation from this policy or for cooperating in an investigation related to this policy will be subject to disciplinary action up to and including termination.

- Media Contacts – Employees should not speak to the media on behalf of FPIF without approval of their supervisor or the appropriate member of management.

8.14 SOLICITATIONS AND DISTRIBUTIONS

Solicitations for contributions, sale of merchandise, circulation of petitions, solicitations for membership in clubs or organizations, and all other forms of solicitation, including the distribution of handbills, flyers, or other similar materials, by or from employees, during working time is prohibited. “Working time” for purposes of this policy means those times during the workday when employees are required to be engaged in work-related tasks and does not include time before or after the workday, authorized break times, or meal times. All solicitations and distributions will be limited to non-working areas.

Solicitations or distributions of any kind by non-employees is prohibited: (i) during the working time of any employee receiving the solicitations or distributions; (ii) at any time in areas not open to the public or in public areas where such activity is inconsistent with the intended or normal use of the area; or (iii) in a manner that disturbs working employees.

8.15 SMOKING

In accordance with the Smoke Free Illinois Act (410 ILCS 82/1 *et seq.*), FPIF maintains a smoke-free environment in all its facilities. Smoking is prohibited in all FPIF buildings and vehicles. Smoking areas may be designated outside of facilities, provided the location is at least 15 feet away from any FPIF building and will not reasonably affect non-smokers. For purposes of this policy, smoking includes the use of all tobacco products including, but not limited to, electronic cigarettes and chewing tobacco, as well as non-tobacco vaping products.

8.16 LOSS PREVENTION

Employees shall exercise reasonable care to prevent loss or damage to FPIF property. Employees are expected to use caution when using FPIF property, vehicles, tools, and equipment.

8.17 PROHIBITION OF FIREARMS IN THE WORKPLACE

Employees are prohibited from possessing or carrying firearms on or in FPIF property (except in the parking lot for licensed conceal and carry owners) or during any period when the employee is actively working. A concealed carry license owner may not knowingly carry a firearm into any building or portion of a building under the control of FPIF. 430 ILCS 66/65(3) Pursuant to state law, employees who possess a valid state concealed carry license may store a firearm locked in their car if the firearm or ammunition is concealed in a case or locked container out of plain view within the vehicle in the parking area. A licensed concealed carry holder may also carry a concealed firearm in the immediate area surrounding their vehicle, only for the limited purpose

of storing or retrieving a firearm in the vehicle's trunk.

8.18 DRUGS AND ALCOHOL

Drug Free Workplace

In order to ensure a safe work environment and compliance with the Drug-Free Workplace Act of 1988 (41 U.S.C. 8101 *et seq.*), FPIF maintains a drug-free workplace. Accordingly, the FPIF prohibits employees from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance, use of drugs, and use of alcohol in the workplace. The foregoing prohibition shall apply to FPIF property, including in FPIF vehicles and any private vehicles parked on FPIF premises or worksites.

For purposes of this policy, the term "drugs" includes, but shall not be limited to: (i) any non-prescribed controlled substance that the employee is not authorized to possess or consume by law; (ii) any substance listed in the Controlled Substances Act (720 ILCS 570 *et seq.*); (iii) any substance listed in the and (iv) drugs or substances which may not be listed in the Controlled Substances Act but which have adverse effects on perception, judgment, memory, or coordination. A non-exhaustive list of applicable drugs includes, but is not limited to, the following:

Opium	Psilocybin-psilocin
Morphine	MDA
Codeine	PCP
Heroin	Chloral Hydrate
Meperidine	Methylphenidate
Barbiturates	Steroids
Glutethimide	Tranquilizers
Methaqualone	Amphetamines
Cocaine	LSD
Phenmetrazine	Amphetamines
Mescaline	

Prohibited Conduct

The following conduct is prohibited:

- The unauthorized use, possession, manufacture, distribution, or sale of drugs, drug paraphernalia, or alcohol while on or in FPIF property, while conducting work-related business, or during working hours.
- Being under the influence of drugs or alcohol while on or in FPIF property, while conducting work-related business, or during working hours.

- Being under the influence of legal or prescribed drugs or chemicals used in excess of, or in non-conformity with, prescribed limits while on or in FPIF property, while conducting work-related business, or during working hours.
- The illegal use, possession, manufacture, distribution, or sale of drugs or drug paraphernalia (while on or off duty).
- Storing any illegal drug, drug paraphernalia, marijuana, hash, hash oil or alcohol in or on FPIF property.
- Failing to notify an employee's supervisor prior to starting work of any known side effects of medications, prescription drugs, or other chemical compounds or supplements of any kind that the employee is taking (or has taken) which might affect the performance of the employee's duties.
- Refusing to immediately submit to an alcohol and/or drug test when requested by a supervisor.
- Failing to provide, within one workday following a request, documentation confirming a valid prescription for any drug or medication identified by a positive drug test.
- Failing to adhere to the requirements of any drug or alcohol treatment program in which the employee is enrolled as a condition of continued employment.
- Failing to notify the employee's supervisor of any arrest, conviction, or relevant plea (including pleas of guilty and *nolo contendere*) relating to drugs or alcohol no later than the earlier of the next date the employee is scheduled to work or two calendar days following the arrest, conviction, or plea.
- Tampering with, adulterating, altering, substituting, or otherwise obstructing any testing process required pursuant to this policy.
- Performing any safety-sensitive duties while having a blood-alcohol concentration of .02 or greater.
- Possessing or using drugs including marijuana, hash, hash oil or alcohol while on duty or while operating a commercial vehicle.
- Consuming alcohol during the eight-hour period following an accident requiring a drug and alcohol test before a post-accident alcohol test is given.
- Reporting for duty or remaining on duty requiring the operation of a commercial vehicle when the employee has used a drug or drugs, except when the use is pursuant to instructions of a physician who has advised the employee that the substance does not adversely affect the employee's ability to safely operate a commercial vehicle.

Required Conduct

The following conduct is required of all FPIF employees:

- Employees must notify their supervisor prior to starting work of any known side effects of medications, prescription drugs, or other chemical compounds or supplements of any kind that they are taking (or have taken) which might affect the performance of their duties or threaten the safety of the employee or any other person.
- Employees must notify their supervisor of any arrest, conviction, or relevant plea (including pleas of guilty and *nolo contendere*) relating to drugs or alcohol no later than the earlier of the next date the employee is scheduled to work or two calendar days following the arrest, conviction, or plea. In accordance with federal law, FPIF will notify any applicable federal contracting officer(s) of any relevant conviction(s) or plea(s) within ten days of receiving notice of the conviction or plea.
- Employees must submit to drug testing in accordance with this policy and applicable law.

Voluntary Treatment for Abuse of Drugs and/or Alcohol

FPIF strongly encourages employees who believe or suspect that they may be abusing drugs and/or alcohol to voluntarily seek treatment before their job performance is affected. Any employee who notifies FPIF of alcohol or drug abuse problems will be treated in the same manner as any other employee with an illness. Information and communications regarding an employee's voluntary treatment or counseling due to actual or suspected drug and/or alcohol abuse shall remain confidential in accordance with state and federal law.

Employees who voluntarily seek treatment for drug and/or alcohol abuse shall not be subject to discipline, discharge, or discrimination based solely on such voluntary treatment if the treatment is sought prior to:

- The employee testing positive for illegal drugs and/or alcohol;
- The employee being notified of an upcoming drug and/or alcohol test;
- The occurrence of an event that gives rise to reasonable suspicion that the employee is under the influence of drugs and/or alcohol;
- Any return to duty or related follow-up testing for drugs and/or alcohol; and/or
- The occurrence of an accident that requires the employee to submit to drug and/or alcohol testing.

Employees who seek voluntarily treatment for drug and/or alcohol abuse shall continue to be subject to appropriate disciplinary action up to and including termination for substandard job

performance, unexcused absences, abuse of drugs and/or alcohol, or any other violations of this Manual, whether such violations are directly or indirectly related to the employee's use of drugs and/or alcohol.

Furthermore, employees who voluntarily seek treatment for drug and/or alcohol abuse shall not be excused from required drug and/or alcohol testing in accordance with this policy even when voluntary treatment was sought prior to the testing in question. No employee shall be permitted to use voluntary treatment for drug and/or alcohol abuses to avoid otherwise legitimate disciplinary action for failure to comply with this policy or other provisions of the Manual.

Employees may request a medical leave of absence to obtain treatment for drug and/or alcohol abuse in accordance with the Family and Medical Leave Act of 1993 and other applicable law. Such leave requests shall be treated in the same manner as any other request for leave pursuant to this policy. FPIF may also grant reasonable accommodations for employees being treated for drug and/or alcohol abuse so long as those employees are participating in a treatment program and are not currently abusing drugs and/or alcohol. FPIF will not retaliate or discriminate against any employee for requesting leave or a reasonable accommodation to obtain treatment for drug and/or alcohol abuse.

Acknowledgement

In accordance with applicable law, employees are required to acknowledge and agree to this policy as a condition of employment. Any employee violating this policy is subject to discipline, up to and including termination of employment.

Drug and Alcohol Testing of all Employees

Reasonable Suspicion – All employees are required to submit to alcohol and/or drug testing if a supervisor determines that there is “reasonable suspicion” to believe that an employee has been using illegal drugs, abusing prescribed drugs, is under the influence of alcohol, or is consuming alcohol while working.

For the purposes of this policy, “reasonable suspicion” means a belief based on objective facts sufficient to lead a reasonable prudent person to find that an employee is using, or has used, drugs or alcohol in violation of this policy. Such a suspicion shall be drawn from specific, objective facts and reasonable inferences drawn from those facts in light of experience.

Some factors that may be considered in determining whether a finding of reasonable suspicion is appropriate may include, but are not limited to, any of the following, alone or in combination:

- Observable phenomena, such as direct observation of drug or alcohol use, the presence of the odor of drugs or alcohol on or about the employee and/or the physical symptoms or manifestations of being under the influence of drugs or alcohol;
- Abnormal conduct or erratic behavior;

- Excessive unexcused absenteeism, tardiness, or deterioration in work performance;
- Slurred speech or unsteady walking or movement;
- Illegal possession of drugs or controlled substances or an arrest for violation of a drug statute;
- Information obtained from a reliable and credible source with personal knowledge that has been independently corroborated.

Once reasonable suspicion has been determined, the employee shall be required to take the applicable drug and/or alcohol test. An order to submit to testing shall be in writing and signed by a supervisor. If an employee declines the test, it will be treated as a positive test and the employee will be subject to discipline up to and including termination. When an employee is ordered to submit to a drug and/or alcohol test as a result of a supervisor's reasonable suspicion, the employee will not be allowed to return to work pending the results of the drug and/or alcohol test.

Post-Accident Testing – All accidents, including those involving a vehicle, must immediately be reported to an employee's supervisor. The supervisor shall investigate the circumstances of the accident and determine if there is reasonable suspicion to require a drug and/or alcohol test. If it is determined that the employee caused or contributed to occurrence of the accident or the employee was otherwise "at fault," the employee may be required to submit to a drug and alcohol test regardless of the existence of reasonable suspicion.

If post-accident drug and/or alcohol testing is ordered, the employee involved must submit to a drug and/or alcohol test within two hours of the accident. An employee who fails to remain readily available for post-accident testing or leaves the scene of an accident without a valid reason or permission by his or her supervisor will be deemed to have refused to submit to testing. The employee to be tested shall not be permitted to drive him or herself to the collection site.

Types of Testing

Any of the following methods may be utilized to test an employee for the presence of drugs and/or alcohol:

- Urine testing;
- Evidentiary breath testing device (Breathalyzer);
- Blood testing;
- Hair follicle testing; or
- Saliva testing.

Licensed Clinical Laboratory Only

FPIF shall use only licensed clinical laboratories for drug and/or alcohol testing. Such laboratories shall be responsible for maintaining a proper chain of custody of any samples. If an employee tests positive for drugs and/or alcohol, a confirming test shall be conducted. The laboratory will not submit a positive test result to FPIF unless the confirming test result is also positive for the same sample. The laboratory shall retain a portion of the tested sample so the employee can arrange for another confirming test to be conducted by a licensed clinical laboratory of the employee's choice and at the employee's expense. Once the portion of the tested sample is delivered to the clinical laboratory selected by the employee, the employee shall be responsible for maintaining the proper chain of custody for that portion of the sample.

Employees who test positive for drugs may request a second test of the remaining portion of the split sample within 72 hours of notification of a positive test result by a medical review officer. A medical review officer is a licensed physician responsible for receiving and interpreting laboratory results from applicable tests.

Records Relating to Drug and/or Alcohol Tests

Records reflecting positive drug and/or alcohol tests will be kept in the employee's file and will be kept confidential in accordance with applicable law. Information regarding drug and/or alcohol tests and an employee's participation in a substance abuse rehabilitation program may be disclosed to supervisors only if such information relates to the employee's ability to perform his or her work duties or the employee's need for a reasonable accommodation under the Americans with Disabilities Act of 1990 or other applicable law.

Compensation

If an employee is ordered to submit to an involuntary post-employment drug and/or alcohol test, the time spent by the employee traveling to and from the test and waiting for and undergoing the test will be considered compensable working time unless otherwise provided by law or contract. Pre-employment drug and/or alcohol tests will not be compensated.

Cutoff Levels for Drugs and Drug Metabolites; Blood Alcohol Exceedances

Cutoff levels for all drug and drug metabolite testing shall be consistent with the guidelines established by the U.S. Department of Health and Human Services (HHS). An employee shall be deemed to be under the influence of alcohol if the applicable blood alcohol test demonstrates a level of .02 or greater.

Policy Violations

Any employee testing positive for drug usage, blood alcohol levels greater than .02, or engaging in any other prohibited conduct concerning drug or alcohol shall be subject to disciplinary action

up to and including immediate termination. Regardless of disciplinary action taken, all such employees will be advised of resources available to evaluate and treat problems associated with drug and/or alcohol abuse.

8.19 DISCIPLINE

Employee supervisors and their superiors, as applicable, are responsible for administering disciplinary measures, when in the sole discretion of the appropriate supervisor, based on the facts and circumstances of the situation, discipline is warranted. Prior to the administration of any disciplinary action, the applicable supervisor may give the employee the opportunity to respond to the allegations made against the employee. The disciplinary procedures set forth in this section apply to all employees. These policies and procedures should not be construed as preventing, limiting, or delaying the FPIF from taking appropriate disciplinary action, including immediate dismissal without prior warning or notice, as the facts and circumstances warrant.

All discipline issued will be based on the applicable facts and circumstances, and at the level applicable in the sole and exclusive judgment of the applicable supervisor.

In addition to any other reason that discipline may be administered, discipline may be administered for the following (in)actions by employees:

- Activities in conflict with hours of work;
- Activities in conflict with job performance;
- Activities in conflict with FPIF obligations and responsibilities;
- Excessive absenteeism;
- Reporting late/leaving early from work;
- Untimely and/or inaccurate records or reports;
- Unsatisfactory work performance;
- Inappropriate appearance;
- Slander, verbal abuse or threats to others;
- Misuse or misappropriation of FPIF property or funds;
- Intentional falsification of records, claims for reimbursement;
- Disclosure of any proprietary or confidential information, or inappropriate disclosure of any information;
- Disorderly conduct during working hours;
- Interruption of another employee's work;
- Harassment of other employees, constituents, or other individuals;
- Use of alcohol while on duty;
- Violations of the Drug and Alcohol Policy;
- Insubordination;
- Failure to return to work in accordance with applicable leave policies;
- Substantial misrepresentation of fact;
- Engaging in any political activity; or
- Any other similar conduct that is detrimental to FPIF.

SECTION 9: SEPARATION OF EMPLOYMENT

9.1 TERMINATION

Your employment and seniority will be terminated on the date of your termination, resignation, or retirement.

9.2 RESIGNATIONS

Employees who voluntarily resign from their employment with FPIF, are expected to submit a written resignation letter to their supervisor or an appropriate member of management at least 10 working days' in advance of their last date of employment in order to leave in good standing. Your supervisor and/or the appropriate member of management under appropriate circumstances may shorten this period. Once employees have provided notice of their resignation, they shall not be entitled to utilize any paid time off within 10 workdays preceding their last date of employment unless otherwise approved by their supervisor or an appropriate member of management. Your resignation letter will become part of your permanent personnel file, and failure to provide proper notice under this policy may make you ineligible for re-employment.

9.3 RETURN OF PROPERTY UPON SEPARATION

Upon separation of employment, employees must return all FPIF property in their possession or control to their supervisor or the appropriate member of management on or before their last day of work. Such property includes, but is not limited to, FPIF apparel, cellular phones, keys, user names, passwords, access codes, key cards, documents, electronic files, badges, computers and/or other electronic devices.

SECTION 10: EXHIBITS

Exhibit A FPIF Organizational Chart



Item VII.B.

Resolution (2020-10)

To Approve Substitution of Certain Budgeted Personnel Expenses



Board of Trustees

RESOLUTION 2020-10

APPROVING SUBSTITUTION OF CERTAIN BUDGETED PERSONNEL EXPENSES

APRIL 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code; and

WHEREAS, FPIF is authorized and directed by Section 22C-118(e) of the Illinois Pension Code to adopt an annual budget to support the operations and administration of FPIF; and

WHEREAS, the Board of Trustees of FPIF (the "**Board**"), adopted a budget for Fiscal Year 2020 pursuant to Resolution 2020-04 on March 30, 2020 (the "**FY20 Budget**"); and

WHEREAS, the FY20 Budget allocated \$6,000 for personnel expenses for Accountant/Client Service; and

WHEREAS, the Audit Committee recommended that such funds should be allocated for third-party bookkeeping and administrative services rather than hiring personnel; and

WHEREAS, this recommendation comports with the Board's discussion of utilizing third-party vendors that took place during its March 30, 2020 meeting; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that the \$6,000 line item budgeted for personnel expenses for "Accountant/Client Service" in the FY20 Budget shall instead be utilized to fund outside bookkeeping and administrative services, as recommended by the Audit Committee.



Item IX.A.

**Resolution (2020-11)
To Create the Ad Hoc Committee
on Near Term Operations**



Board of Trustees

RESOLUTION 2020-11

CREATING THE ADHOC COMMITTEE ON NEAR TERM OPERATIONS

APRIL 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") has been created by, and exists under, Article 22C of the Illinois Pension Code (the "**Pension Code**"); and

WHEREAS, Section 22C-120 of the Pension Code authorizes and directs the Transition Board of Trustees of FPIF to undertake certain transition activities; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF (the "**Board**") that:

1. There is hereby created, as a committee of the Board, the Ad Hoc Committee on Near Term Operations (the "**Committee**"). The Committee shall assist the Board in addressing operational issues arising during the Transition Period (as defined in Article 22C of the Pension Code), including, without limitation, staffing and personnel, professional services, and office space, as well as such other matters as the Board may direct from time to time. The Committee shall conclude its work and be terminated upon the end of the Transition Period, unless an earlier or later termination date is established by the Board.
2. Upon the recommendation of the Chairperson of the Board, the following Trustees are hereby appointed to the Committee:

Russ Hunt
Kevin Bramwell
Steve Chirico

3. A majority of the members of the Committee shall constitute a quorum. The act of a majority of the Committee members in attendance at a meeting at which a quorum is present shall be the act of the Committee. The Committee shall conduct its business in the manner provided in Section 5.1 of the Bylaws, as if it were a Standing Committee, except to the extent of any inconsistency with this Resolution (in which case this Resolution shall prevail).

4. The earlier creation of the Committee by the Chairperson of the Board, and meetings held by the Committee prior to the adoption of this Resolution, are hereby ratified, approved, and confirmed in all respects.



Item IX.B.

**Resolution (2020-12)
To Adopt Certain Job Descriptions**



Board of Trustees

RESOLUTION 2020-12

ADPOTING CERTAIN JOB DESCRIPTIONS

April 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code (the "**Code**"); and

WHEREAS, Section 22C-118 of the Code provides that the "operation and administration of the Fund shall be managed by an executive director"; and

WHEREAS, Section 3 of the By-Laws of FPIF authorize the Executive Director, consistent with the budget approved by the Board, to employ such personnel, professional or clerical, as may be desirable and necessary, and fix their compensation; and

WHEREAS, at its March 30, 2020 meeting, the Board adopted a budget for Fiscal Year 2020, including expenses allocated for personnel; and

WHEREAS, the Board desires to approve job descriptions prior to employing any new staff to ensure that FPIF is effectively seeking high-quality employees that will best fit the needs of FPIF; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that the job descriptions attached hereto are adopted and approved and shall be utilized by the Executive Director in recruiting and employing FPIF staff for the following positions:

1. Chief Financial Officer;
2. Senior Portfolio Officer; and
3. Chief Operating Officer.



I. Job Descriptions

JOB DESCRIPTION

JOB TITLE: Chief Financial Officer

EMPLOYER: Firefighters' Pension Investment Fund (FPIF)

REPORTS TO: Executive Director

I. SUMMARY:

The Chief Financial Officer ("CFO") is responsible for the execution of all fiscal, financial, and audit functions of the agency. The CFO is also available to advise and assist the ED and other senior staff in matters related to account and auditing related matters pertaining to portfolio compliance, internal investment operations and administration. Subject to administrative approval of the Executive Director, the CFO is responsible for development and implementation of all investment financial controls, regulations and total management of investment accounting and financial functions for the agency.

II. DUTIES AND RESPONSIBILITIES

The CFO will have the following specific responsibilities, which shall include, but not be limited to:

1. Act as senior advisor to the ED and the Board regarding portfolio administration.
2. Serve as senior policy formulating administrator in planning, directing, implementing and administering all aspects of financial accounting and auditing administration for FPIF.
3. Serve as an expert authority in collaboration with the ED in the planning and development of all aspects of investment accounting administration. Responsible for the direction, implementation and on-going administration of investment portfolio accounting and auditing policies, procedures and guidelines.
4. Monitor the verification FPIF investment managers' compliance with financial reporting mandates and conformity with FPIF financial reporting requirements to ensure that the valuation of the investment portfolio is performed in accordance with Generally Accepted Accounting Principles (GAAP).



5. Responsible for staffing the Audit Committee meetings and coordinating the participation of relevant staff. Supervise the preparation of all Audit Committee materials and agendas to be submitted at meetings.
6. Participate in the development and implementation of policies and control procedures to provide full accountability over all assets and internal administrative and operations.
7. Serve as primary point of contact regarding the status of initiatives and strategic goals on investment financial issues with the Custodian Bank, external auditors, internal audit firm, and various investment and government entities to respond to inquiries and provide substantiations regarding submitted financial information requests.
8. Oversee preparation of budget submitted on an annual basis including requests for supplemental information.
9. Responsible for oversight of financial management, coordination of custodian bank accounting reporting and monitors these components performance to ensure policy and procedure development is consistent with Agency objectives.
10. Advise the ED and the COO regarding technology needs and goals for FPIF.
11. Other duties as required or assigned.

Requirements

- Bachelor's degree in accounting or related field. CPA or applicable advanced degree preferred.
- Minimum of six years professional experience in developing policy in financial matters and/or directing a complex investment accounting system, experience in investment, public or private accounting, auditing or financial field.
- Strong written and oral communication skills. Knowledge of computer networks and various applications such as Microsoft Office 365.
- Knowledge of investment policy matters and proven ability to communicate effectively.

The above is intended to describe the general content of and requirements for the performance of this job. It is not to be construed as an exhaustive statement of duties, responsibilities or physical requirements. Nothing in this job description restricts management's right to assign or reassign duties and responsibilities to this job at any time. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.



JOB DESCRIPTION

JOB TITLE: Senior Portfolio Officer

EMPLOYER: Firefighters' Pension Investment Fund (FPIF)

REPORTS TO: Executive Director

I. SUMMARY:

The Senior Portfolio Officer ("SPO") is responsible for advising the ED and the Board regarding all aspects of the portfolio and execution of all policies related to the portfolio.

II. DUTIES AND RESPONSIBILITIES

The SPO is responsible for managing the portfolio, as well as for maintaining subject matter expertise of all asset classes, markets, and the global economy. The SPO will have the following specific responsibilities, which shall include, but not be limited to:

1. Analyze structure of the portfolio to ensure it meets Board objectives. In conjunction with the ED, make recommendations about changes to the policy guidelines, including relevant benchmarks, for those portfolios.
2. In cooperation with the ED and with the approval of the board, develop, maintain and update a portfolio investment portfolio.
3. Act as primary liaison for all investment advisors. Maintain frequent contact with advisors, managers, consultants and partnerships. Evaluate performance and style consistency of all advisor relationships. Based on Board direction, work closely with the ED and relevant staff on developing investment guidelines for each advisor and monitor to ensure that investments are made in accordance with those guidelines.
4. Lead the due diligence of all potential new investments, in conjunction with applicable public market consultants, managers, advisors and partnerships in which FPIF is a potential investor.
5. Conduct searches consistent with Board policies for applicable public market consultants, managers, advisors and partnerships.
6. In conjunction with the ED, plan and implement risk-related policies, procedures and systems to measure, monitor and manage investment risks across the entire investment program. Identify and analyze areas of potential risk to the assets, earning capacity or success of the Board. Document and ensure communication of key risks.



7. Devise systems and processes to monitor the validity of risk modeling outputs and information. Plan and contribute to the development of Board's risk management systems. In conjunction with service provider, maintain input or data quality of the Board's risk management systems.
8. Responsible for performing due diligence and recommending diverse investment managers in order to meet the Board's goals outlined in the Investment Policy. In addition, responsible for generating new ideas and initiatives as they relate to diversity, consistent with the Board's Policies.
9. Develop and implement overall investment policy as well as evaluate prospective investment opportunities in other asset classes.
10. Oversight of all aspects of transition management and regularly advise the ED of status.
11. Perform portfolio research on an ad hoc and ongoing basis. Present research and findings to ED, Staff and Board.
12. Prepare of performance and investment reports for the total fund including plan attribution and peer group attribution analysis.
13. In conjunction with the ED, continually assess and determine optimal investment-related services and software.
14. Other duties as required or assigned.

Requirements

- Bachelor's degree required. MBA, Master's or progress toward CFA preferred.
- 5 years of senior leadership experience in the investment or financial industry preferred.
- 10 years of experience in the investment or financial industry required.
- Good written and oral communication skills.
- Proficient in Microsoft Office 365.

The above is intended to describe the general content of and requirements for the performance of this job. It is not to be construed as an exhaustive statement of duties, responsibilities or physical requirements. Nothing in this job description restricts management's right to assign or reassign duties and responsibilities to this job at any time. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.



JOB DESCRIPTION

JOB TITLE: Chief Operating Officer

EMPLOYER: Firefighters' Pension Investment Fund (FPIF)

REPORTS TO: Executive Director

Summary

The Chief Operating Officer (“COO”) is responsible for the execution of all operational functions of the FPIF. Responsible for the successful execution of Board Member elections, legislative interface, external communications, and IT. In the event of the absence of the Executive Director, or if there is a vacancy in that office, the COO will serve as Acting Executive Director.

Duties and Responsibilities

The COO will have the following specific responsibilities, which shall include, but not be limited to:

1. Coordinates operations of the FPIF to insure successful outcomes and production.
2. Act as senior advisor to the Executive Director and the Board regarding public policy and FPIF operations.
3. Under direction of the ED, responsible for external communications with stakeholders (constituent retirement plans, employee organizations, municipalities, the General Assembly, etc.) regarding the FPIF transition and FPIF matters in general.
4. Responsible for staffing the Elections Committee meetings and the participation of relevant FPIF staff. Supervise the preparation of all Elections Committee materials and agendas to be submitted at meetings.
5. In conjunction with the Elections Committee, responsible for the successful execution of the election of FPIF members.



6. Coordinates outside providers in planning, directing, implementing and administering all responsibilities of the Elections Committee.
7. Responsible for all IT functions, including management of FPIF IT hardware and software; development and management of FPIF website; keeping FPIF abreast and aligned with technological improvements; meeting the technology needs of the staff and board; and for the management of external IT relationships.
8. Ensures compliance with the Board's policies including various diversity-related initiatives that are non-investment related outlined in the Diversity Policy. In addition, to generate new ideas and initiatives as they relate to diversity, consistent with the Board's policies.
9. In conjunction with the CFO, prepares annual budget.
10. In coordination with the ED, represents the FPIF interests with the General Assembly.
11. Responsible for monitoring the General Assembly and to act as day-to-day contact with the legislature. Advises Board and Executive Director on development and execution of legislative strategy.
12. Manages all HR functions.
13. Manages operations staff
14. Other duties as required or assigned.

Requirements

- Bachelor's degree in accounting, finance, or government related field. Graduate degree or related experience preferred.
- Minimum of six years professional experience in developing policy in financial matters and/or experience in public pensions and policy, auditing or financial field.
- Experience with the General Assembly, municipal government, and/or public safety related retirement systems preferred.
- Strong written and oral communication skills.
- Proven ability to communicate effectively.
- Proficient in Microsoft Office 365.

The above is intended to describe the general content of and requirements for the performance of this job. It is not to be construed as an exhaustive statement of duties, responsibilities or physical requirements. Nothing in this job description restricts management's right to assign or reassign duties and responsibilities to this job at any time. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.



Item XI.

**Resolution (2020-13)
To Adopt a Procurement Policy**



Board of Trustees

RESOLUTION 2020-13

ADOPTING A PROCUREMENT POLICY

APRIL 20, 2020

WHEREAS, the Firefighters' Pension Investment Fund ("**FPIF**") is established pursuant to Article 22C of the Illinois Pension Code; and

WHEREAS, FPIF is authorized, and the Board of Trustees of FPIF finds it appropriate and necessary, to adopt a procurement policy to ensure the efficient use of FPIF resources, not inconsistent with applicable law; now, therefore,

BE IT RESOLVED by the Board of Trustees of FPIF that the procurement policy attached hereto is adopted and approved and, subject to compliance with applicable law, shall govern the procurement and purchase of goods, services, and investment services by FPIF.



Procurement Policy
of the
Firefighters'
Pension Investment Fund

(Presented to the Board on April 20, 2020)



Procurement Policy

of the

Firefighters' Pension Investment Fund

This Procurement Policy (this "**Policy**") is adopted by the Board of Trustees (the "**Board**") of the Firefighters' Pension Investment Fund ("**FPIF**"), established under Article 22C of the Illinois Pension Code, to provide for procurement and purchase of goods, services, and investment services. In the event of any inconsistency between this Policy and the provisions of applicable law, including the Illinois Pension Code, the provisions of applicable law shall prevail.

1. INTRODUCTION; DEFINITIONS

1.1 Introduction and Policy. It is the policy of FPIF to obtain goods and services in the most economical manner in order to ensure the efficient utilization of FPIF resources. Resources of FPIF shall be committed only with proper approval, as detailed in this Policy.

1.2 Definitions. When used in this Policy, the following terms have the following meanings given to them, respectively:

- (a) "**Consultant**" means any person or entity retained or employed by the Board to make recommendations in developing an investment strategy, to assist with finding appropriate investment advisers, or to monitor the Board's investments. "Consultant" does not include non-investment related professionals or professionals offering services that are not directly related to the investment of assets, such as legal counsel, actuary, proxy-voting services, services used to track compliance with legal standards and investment fund of funds where the Board has no direct contractual relationship with the investment advisers or partnerships.
- (b) "**Emerging Investment Manager**" means a qualified investment adviser that manages an investment portfolio of at least \$10,000,000 but less than \$10,000,000,000 and is a "minority owned business," "female owned business," or "business owned by a person with a disability" as those terms are defined in the Business Enterprise for Minorities, Females and Persons with Disabilities Act.
- (c) "**Investment Adviser**" or "**Investment Manager**" is a person who (1) is a fiduciary appointed by the board of trustees of the pension fund or retirement system in accordance with Section 1-109.1; (2) has the power to manage, acquire, or dispose of any asset of the retirement system or pension fund; and (3) has acknowledged in writing that he or she is a fiduciary with respect to the pension fund or retirement system. A person may not act as a consultant or investment adviser unless that person is registered as an investment adviser



under the federal Investment Advisers Act of 1940 or a bank, as defined in the federal Investment Advisers Act of 1940.

- (d) **"Investment Services"** means services provided by an Investment Adviser or a Consultant.
- (e) **"Procurement Officer"** means the Executive Director or an employee of FPIF designated by the Board or the Executive Director to be responsible for procurements and the implementation of this Policy.



2. APPROVAL AUTHORITY

- 2.1 Board Approval.** Expenditures must be approved by the Board prior to payment and before entering into any contract or issuing any purchase order for that expenditure. The Board's approval of a budget that authorizes expenditures for certain purposes is sufficient approval of those authorized expenditures for those purposes, up to the amounts approved in the budget.
- 2.2 Executive Director Approval.** Expenditures in excess of \$5,000 must be approved by the Executive Director prior to payment and before entering into any contract or issuing any purchase order for that expenditure. The Executive Director is authorized to establish limits (not to exceed \$5,000) for approval of expenditures by other FPIF employees.
- 2.3 Board Chairperson Approval for Fiduciary Services.** In addition to other requirements of this Policy, all contracts with persons who are fiduciaries with respect to any investments of FPIF shall also be signed by the Chairperson of the Board, or his or her designee, except that the Executive Director's signature is sufficient with respect to investment management agreements or other contracts with Board-approved Investment Service providers and contract amendments with existing Board-approved Investment Service providers. The Executive Director shall provide a report of such execution, with a description of any contract or amendment executed, to the Investment Committee of the Board at the next regularly scheduled meeting.



3. CONTRACTING AND PURCHASING

- 3.1 When Required.** Purchases of \$500 or more require a purchase order or contract. Purchases of less than \$500 do not require a purchase order or contract, but must be within the authority of the employee to purchase.
- 3.2 Purchase Orders.** Employees requesting goods or services that cost more than \$500 and that are not part of a written contract shall complete a FPIF purchase order form and receive written approval from the Executive Director or Procurement Officer prior to placing the order.
- 3.3 Contracts.** It is the policy of FPIF to standardize the form and content of its contracts with public and private bodies in order to ensure compliance with applicable State law, to ensure fairness to all parties, and to maximize uniformity of language. Contracts shall be written and conform to the requirements of this Policy. All contracts in excess of \$25,000, and all other contracts when feasible, shall be reviewed by legal counsel prior to execution. All contracts (regardless of amount) shall be signed on behalf of FPIF by the Executive Director, except as provided by separate resolution of the Board. All contracts with persons who are fiduciaries are subject to additional signature requirements described in [Section 2.3](#). A copy of each contract shall be retained by the Chief Financial Officer of FPIF.
- 3.4 Standard Addendum for State Law Compliance.** In order to simplify the contracting and purchasing process, FPIF shall use a standard addendum that includes certifications considered advisable or required by State law. The standard addendum shall be completed and attached to (or incorporated within) all contracts and purchase orders entered into by FPIF, but shall not be required for purchase orders of \$25,000 or less. Any variation from the terms of the standard addendum shall be approved by FPIF's legal counsel. The standard addendum may be revised upon advice of legal counsel from time to time.
- 3.5 Limitation During Transition Period.** No contract or agreement regarding custodians, Consultants, Investment Advisers, or other professional services entered into prior to the seating of the permanent Board shall be binding upon the permanent Board.
- 3.6 Sales Tax; State Rates.** FPIF shall not pay Illinois sales tax. Employees must direct the vendor to exclude Illinois sales tax from invoices. Employees should also ask if discounted State rates are available for purchases.
- 3.7 Invoicing and Payment.** Invoices should be approved for payment within 30 days after the receipt of the invoice. Approval should not be given for goods and services that do not conform to FPIF's requirements. The vendor shall be promptly notified in writing if FPIF does not approve an invoice for payment and shall be advised of the reason for the denial. If approval is made after 30 days, a full explanation should be attached to the invoice.
- 3.8 Advance Payment.** Advance payment for goods and services is discouraged. If advance payment is required, the employee shall complete a certification as specified in Section 9.05 of the State Finance Act (30 ILCS 105/9.05). In the event that a voucher is submitted for advance payment, the voucher shall state on its face that the goods or services are being procured pursuant to a written contract the terms of which require advance payment. If it is not possible to execute a written contract, the voucher shall so state. The certification is not required for payment of conference fees,



purchase of travel tickets, purchase of periodicals, and required deposits of less than \$500. The certification shall be in the following format:

"I certify that the goods or services specified on this contract or purchase order were for the use of this agency and that the expenditure for those goods or services was authorized and lawfully incurred; that the goods or services meet all the required standards set forth in the purchase order or contract to which this certification relates; and that the amount shown on this voucher is correct and is approved for payment."

- 3.9 Political Contributions.** Every contract entered by FPIF with a person or entity having contracts with FPIF with an annual value of more than \$50,000 shall provide that such contract is voidable, at the option of FPIF, if the contractor or its affiliated persons or affiliated entities (as defined in Section 50-37 of the Illinois Procurement Code) makes any contribution to any political committee established to promote the candidacy of the Governor or any declared candidate for that office after the publication of the procurement documents and until expiration or termination of the contract. Every contract for Investment Adviser services shall require the Investment Adviser to comply with Rule 206(4)-5 under the Investment Advisers Act of 1940 concerning political contributions.



4. COMPETITIVE PROCUREMENT FOR NON-INVESTMENT SERVICES

4.1 Applicability; Exempt Purchases. This [Section 4](#) applies to any expenditure other than Investment Services (which are subject to [Section 5](#)) and other than the following:

- (a) Individual contracts that (i) do not exceed \$100,000, (ii) are nonrenewable, and (iii) are one year or less in duration.
- (b) Emergency procurements, including (i) when there exists a threat to public health or public safety, (ii) when immediate expenditure is necessary in order to protect against further loss of or damage to property, (iii) to prevent or minimize serious disruption in critical FPIF services that affect health, safety, or collection of substantial FPIF revenues, or (iv) to ensure the integrity of FPIF records. A written determination must be made that an emergency exists.
- (c) Utilities and other sole source items. A written justification must be made that there exists only one feasible source.

4.2 General Principles. Employees shall seek to obtain the best value for FPIF. Efforts to obtain the best value for FPIF shall be documented where possible and retained by FPIF. If two or more identical bids or proposals are received, if an attempt to bribe an employee is made, or other irregularities are discovered by a FPIF employee, FPIF's legal counsel and auditors shall be notified.

4.3 Advertisements. All procurement opportunities subject to this Section shall be advertised on the FPIF's website and, if possible, the State of Illinois's "BidBuy" system (or other comparable system as appropriate for the opportunity). Notice shall be published at least 14 days before the date on which proposals are due.

4.4 Competitive Proposals. All procurements for goods and services subject to this Section shall be awarded by competitive proposals.

- (a) Each request for proposals shall set forth a description of the items or services being procured, the material contractual terms and conditions, and the criteria for evaluating proposals.
- (b) All interested offerors shall return their proposals to FPIF's staff, as directed by the proposal document. Staff shall open the proposals, record them, and thoroughly review each for content, quality, and compliance with proposal document requirements. Staff shall compile a list of all offerors to the competitive proposal process.
- (c) FPIF may interview or directly negotiate with any offeror as to the terms of a proposal. In conducting discussions there shall be no disclosure of any information derived from proposals submitted by competing offerors. If information is disclosed to any offeror, it shall be provided to all competing offerors.
- (d) The contract shall be awarded to the responsible offeror whose proposal is determined to be most advantageous to FPIF, consistent with the evaluation criteria.





5. INVESTMENT SERVICES

5.1 Applicability. This Section 5 applies to the selection and appointment of Consultants and Investment Advisers. In establishing this policy, it is FPIF's intention to assure all interested parties that procurement decisions occur in an environment of full disclosure characterized by competitive selection, objective evaluation, and proper documentation. The overriding consideration with respect to all decisions made by FPIF is that the decisions be made solely in the best interests of the participants and beneficiaries of participating pension funds.

5.2 General Provisions

- (a) **Investment Adviser Registration.** In order for any Consultant or Investment Adviser to provide Investment Services to FPIF, the firm must either be registered as an investment adviser under the federal Investment Advisers Act of 1940 or be a bank, as defined in the federal Investment Advisers Act of 1940.
- (b) **Competitive Proposals Process.** When required by the Illinois Pension Code, FPIF shall award all contracts for Investment Services through a competitive proposal process. For this process, FPIF shall develop and use uniform documents for the solicitation, review, and acceptance of all Investment Services pursuant to the requirements of the Illinois Pension Code. Documents may vary by specific investment mandate. At a minimum, the documents shall include (i) a description of the goal to be achieved; (ii) the Investment Services to be performed; (iii) the need for the Investment Services; (iv) the qualifications that are necessary; and (v) a plan for post-performance review. If required, these uniform documents shall be published on FPIF's website. The competitive proposal process shall generally follow the following:
- (i) FPIF shall determine the parameters of the search, upon recommendation by FPIF's investment staff. Opportunities shall be advertised on the FPIF's website and, if possible, the State of Illinois's "BidBuy" system (or other comparable system as appropriate for the opportunity). Notice shall be published at least 14 days before the date on which proposals are due.
 - (ii) Uniform documents shall be used for the solicitation, review, and acceptance of Investment Services and will be posted on the FPIF website. Documents may differ based on the specific search mandate.
 - (iii) All interested respondents shall return their responses to FPIF's investment staff, as directed by the proposal document. Staff shall open the responses, record them, and thoroughly review each for content, quality, and compliance with proposal document requirements. Staff shall compile a list of all respondents to the competitive proposal process. In the selection of an Investment Adviser, FPIF's Consultant may assist FPIF.
 - (iv) Following review and evaluation of the responses from interested firms, the field of candidates is narrowed to a smaller list of the most highly qualified firms. At this point, the Board's investment staff may meet with representatives of each firm to obtain an independent assessment of the firm's capabilities.



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- (v) Following the interview with the selected firm(s), the Board's investment staff recommends to the Board one or more Consultants or Investment Advisers for engagement. Generally, the finalists appear before the Board to present their firms' qualifications.
- (vi) The Board shall accept or modify the recommendation and makes the final decision with respect to the engagement, if satisfied with the firm's capabilities. FPIF shall post the name(s) of the successful respondent(s) on FPIF's website, along with a disclosure including the total amount applicable to the contract, the total fees paid or to be paid, and a description of the factors that contributed to the selection of the Consultant or Investment Adviser.
- (c) **Exceptions to Competitive Procurement Requirements.** A competitive proposal process is not required for the following:
- (i) At the Board's discretion, individual contracts that (1) do not exceed \$100,000, (2) are nonrenewable, and (3) are one year or less in duration.
- (ii) Emergency procurements, including (1) when there exists a threat to public health or public safety, (2) when immediate expenditure is necessary in order to protect against further loss of or damage to property, (3) to prevent or minimize serious disruption in critical FPIF services that affect health, safety, or collection of substantial FPIF revenues, or (4) to ensure the integrity of FPIF records. A written determination must be made that an emergency exists.
- (iii) Sole source items. A written justification must be made that there exists only one feasible source.
- (iv) Procurements specifically exempt from this process pursuant to the Illinois Pension Code or other applicable law.
- Contracts awarded without a competitive proposal process shall be published on FPIF's website, shall name the person authorizing the procurement, and shall include a brief explanation of the reason for the exception.
- (d) **Posting Contracts Online.** A description of every contract for Investment Services shall be posted prospectively on FPIF's website, including the name of the person or entity awarded the contract, the total amount applicable to the contract, the total fees paid or to be paid under the contract and a disclosure, approved by FPIF, describing the factors that contributed to the selection of the Investment Adviser or Consultant.
- (e) **Contingent Compensation.** No Consultant or Investment Adviser shall retain a person or entity to influence the outcome of an investment decision or the procurement of investment advice or services of FPIF for compensation that is contingent in whole or in part upon the decision or procurement.
- (f) **Other Applicable Laws.** The selection and appointment of Consultants and Investment Advisers for Investment Services by FPIF shall be made and awarded in accordance with the Illinois Pension Code, the State Officials and Employees Ethics Act, and all other



applicable law. All IFPIF trustees and employees shall comply with all gift ban restrictions prescribed in the IFPIF Ethics Policy.

- (g) **Communications.** Any written or oral communication received by a Fund trustee, official, or employee who, by the nature of his or her duties, has the authority to participate personally and substantially in the decision to influence the outcome of an investment decision or the selection of an Investment Adviser or Consultant and that imparts or requests material information or makes a material argument regarding potential investment or procurement action by FPIF (other than a clarification about a published solicitation) shall be memorialized by FPIF trustee, official, or employee and reported to FPIF's chief compliance officer. While a competitive procurement is ongoing, communications shall be restricted in the manner provided in the procurement documents.
- (h) **Conflicts of Interest.** No Board Member, IFPIF employee, or IFPIF Consultant shall knowingly cause or advise FPIF to engage in an investment transaction with an Investment Adviser when FPIF Member, IFPIF employee, IFPIF Consultant or any of their spouses (1) has any direct interest in the income, gains or profits of the Investment Adviser through which the investment transaction is made or (2) has a relationship with that Investment Adviser that would result in a pecuniary benefit to the Board Member, IFPIF employee or IFPIF Consultant or any of their spouses as a result of the investment transaction. With respect to this requirement, Consultant includes an employee or agent of a consulting firm who has greater than 7.5% ownership of the consulting firm.

5.3 Selection of Consultant Services. Under the Illinois Pension Code, FPIF has authority to select Consultants who shall provide Investment Services to FPIF's commingled fund. The criteria used to determine the minimum qualifications for Consultants with respect to a specific investment mandate include but are not limited to the following factors:

- (a) Registration with the Securities and Exchange Commission under the Investment Advisors Act of 1940, or otherwise qualified under the Illinois Pension Code.
- (b) Firm experience advising large defined benefit plans in respect of asset allocation, manager selection and manager oversight and operating under prudent person standards, as well as related investment advisory experience.
- (c) Qualifications and depth of the professional staff.
- (d) Soundness of the firm's philosophy and process in respect of defined benefit plan assets.
- (e) The firm's track record with defined benefit clients.
- (f) The adequacy of the firm's advisory, back office, accounting and reporting and client servicing capabilities.
- (g) Fees.

Requirements may differ based on the investment mandate recommended by FPIF's investment staff. The establishment of these criteria shall not be used to bar or prevent any qualified Consultant from responding to a competitive proposal process.



5.4 Selection of Investment Advisory Services. Under the Illinois Pension Code, FPIF has authority to select Investment Advisers who shall provide Investment Services to the Board's commingled fund. The criteria used to determine the minimum qualifications for Investment Advisers with respect to a specific investment mandate include but are not limited to the following factors:

- (a) Registration with the Securities and Exchange Commission under the Investment Advisors Act of 1940, or otherwise qualified under the Illinois Pension Code.
- (b) Experience of the firm in the management of institutional portfolios operated under prudent person standards, as well as related investment management experience.
- (c) Qualifications and depth of the professional staff.
- (d) Soundness of the firm's investment philosophy and process.
- (e) The investment record of the firm and the firm's principals in former associations where that record is verifiable.
- (f) The adequacy of the firm's trading, back office, accounting and reporting, and client servicing capabilities; and
- (g) Fees.

Requirements may differ based on the investment mandate recommended by FPIF's investment staff and Consultant. The establishment of these criteria shall not be used to bar or prevent any qualified Investment Adviser from responding to a competitive proposal process.

5.5 Emerging Investment Managers. If in any case an Emerging Investment Manager meets criteria established by FPIF and Consultant for a specific competitive search (if a Consultant is utilized), the Emerging Investment Manager shall receive an invitation by FPIF, or FPIF's Investment Policy Committee and/or Emerging Manager Committee, to present the firm(s) for final consideration. In the case where multiple Emerging Investment Managers meet the search criteria, FPIF's investment staff may choose the most qualified firm or firms to present to the Board.

5.6 Contract Terms

- (a) **Maximum Term.** FPIF shall not enter into a contract with a Consultant that exceeds five years in duration. No contract to provide consulting services may be renewed or extended. At the end of the term of the contract, the Consultant is eligible to compete for a new contract. FPIF shall not attempt to avoid or contravene this restriction by any means.
- (b) **Other Contract Terms.** Investment Services provided by a Consultant or Investment Adviser shall be rendered pursuant to a written contract between the Consultant and FPIF. The contract must include the following terms, among others:
 - (i) Acknowledgement in writing by the Consultant or Investment Adviser that the firm is a fiduciary with respect to FPIF.
 - (ii) The description of FPIF's investment policy and notice that the policy is subject to change.



- (iii) Full disclosure of direct and indirect fees, commissions, penalties and other compensation, including reimbursement for expenses, that may be paid by or on behalf of the Consultant or Investment Adviser in connection with the provision of services to FPIF and a requirement that the Consultant or Investment Adviser update the disclosure promptly after a modification of those payments or an additional payment. The disclosures shall include the date and amount of each payment and the name and address of each recipient of a payment.
- (iv) A requirement that the Consultant or Investment Adviser, in conjunction with FPIF's investment staff, submit periodic written reports, on at least a quarterly basis, for FPIF's review at its regularly scheduled meetings. All returns on investments shall be reported as net returns after payment of all fees, commissions and any other compensation.
- (v) Disclosure of the names and addresses of (1) the Consultant or Investment Adviser; (2) any entity that is a parent of, or owns a controlling interest in, the Consultant or Investment Adviser; (3) any entity that is a subsidiary of, or in which a controlling interest is owned by, the Consultant or Investment Adviser; (4) any persons who have an ownership or distributive income share in the Consultant or Investment Adviser that is in excess of 7.5%; or (5) serves as an executive officer of the Consultant or Investment Adviser or Investment Adviser.
- (vi) A disclosure of the names and addresses of all subcontractors, if applicable, and the expected amount of money each will receive under the contract, including an acknowledgement that the Consultant or Investment Adviser must promptly make notification, in writing, if at any time during the term of the contract a contractor adds or changes any subcontractors. For purposes of this paragraph (vi), "subcontractor" does not include non-investment related professionals or professionals offering services that are not directly related to the investment of assets, such as legal counsel, actuary, proxy-voting services, services used to track compliance with legal standards and investment fund of funds where FPIF has no direct contractual relationship with the Investment Advisers or partnerships.
- (vii) A description of the Investment Service(s) to be performed.
- (viii) A description of the need for the Investment Service(s).
- (ix) A description of the plan for post-performance review.
- (x) A description of the qualifications necessary.
- (xi) The duration of the contract.
- (xii) The method for charging and measuring cost.

These contract terms are subject to change based on amendments to the Illinois Pension Code.