



Board Meeting

Thursday, February 6, 2024 8:00 am

Region 1 Planning Council
127 N Wyman St, Ste 100, Rockford, IL 61101

Agenda - AMENDED

Members: Boone County, Chicago Rockford International Airport, City of Belvidere, City of Freeport, City of Loves Park, City of Rochelle, City of Rockford, City of South Beloit, ComEd, Four Rivers Sanitation Authority, Greater Freeport Partnership, Greater Rockford Chamber of Commerce, Growth Dimensions, Highland Community College, McHenry County, Nicor, Northern Illinois University – Rockford, North Park Water, Northwestern Building Trades, R1 Community Advisory Forum Chair, Rockford Park District, Rochelle Economic Development, Rockford Mass Transit District, Rock Valley College, Stephenson County, Village of Cherry Valley, Village of Machesney Park, Village of Poplar Grove, Winnebago County, The Workforce Connection

1. Call to Order
2. Roll Call
3. Public Comment
4. PRESENTATION: Federal Outlook on County/City Development
Erich Zimmerman, National Association of Regional Councils (NARC)
5. Consent agenda:
 - a. Approval of November 14, 2024 Meeting Minutes
6. Update: Health + Transportation Study, *Nathan Larsen*
7. Action Item: Authorize Executive Director to Execute Contract for Mental Health Rideshare Provider
8. Action Item: Approval of Slate of Nominees to the Community Advisory Forum 2-year Term of Jan. 2025 - Dec. 2026
9. Action Item: Approval of Charter for Regional Data Advisory Committee
10. Action Item: Formation of Ad Hoc Resiliency Improvement Committee
11. Vote on RESOLUTION 2024-04: Livable Communities Initiative Technical Assistance Award
12. Vote on RESOLUTION 2024-05: Banking Services Vendor
13. Vote on RESOLUTION 2025-01: Building lease renewal
14. Vote on RESOLUTION 2025-02: Mowing RFP
15. Vote on RESOLUTION 2025-03: Personnel and Policy Updates
16. Vote on RESOLUTION 2025-04: Consulting Services with Phelps Barry & Associates, LLC, dba Fulcrum Government Strategies
17. Vote on RESOLUTION 2025-05: Authorization to Submit and Administer Rural Business Development Grant
18. Other Business
19. Adjournment

Opportunities for public comment will be provided at all meetings. Persons who require special accommodations under the Americans with Disabilities Act or persons who require translation services (free of charge) should contact the Region 1 Planning Council at 815-319-4180 at least two working days before the need for such services or accommodations.

Next Meeting: Thursday, May 15, 2025 8:00 am



Region 1 Planning Council Board

Meeting Minutes

Thursday, November 14, 2024
 127 N Wyman St, Ste 100, Rockford, IL 61101

1. Call to Order

With a quorum present, the meeting was called to order by Mayor Jury at 8:04 am.

2. Roll Call

A quorum was not present. Attending members included:

<input type="checkbox"/>	Boone County	<input type="checkbox"/>	McHenry County
<input type="checkbox"/>	Chicago Rockford Int'l Airport	<input type="checkbox"/>	McHenry Economic Development Association
<input type="checkbox"/>	City of Belvidere	<input type="checkbox"/>	Nicor / Southern Co
<input type="checkbox"/>	City of Freeport	<input checked="" type="checkbox"/>	Northern Illinois University
<input checked="" type="checkbox"/>	City of Loves Park	<input type="checkbox"/>	Northwestern Illinois Building Trades
<input type="checkbox"/>	City of Rochelle	<input type="checkbox"/>	North Park Public Water District
<input checked="" type="checkbox"/>	City of Rockford	<input type="checkbox"/>	Rochelle Economic Development Corporation
<input type="checkbox"/>	City of South Beloit	<input checked="" type="checkbox"/>	Rockford Mass Transit District
<input type="checkbox"/>	ComEd	<input checked="" type="checkbox"/>	Rockford Park District
<input type="checkbox"/>	Community Advisory Forum Chair	<input checked="" type="checkbox"/>	Rock Valley College
<input type="checkbox"/>	Four Rivers Sanitation Authority	<input type="checkbox"/>	Stephenson County
<input checked="" type="checkbox"/>	Greater Freeport Partnership	<input type="checkbox"/>	Village of Cherry Valley
<input type="checkbox"/>	Greater Rockford Chamber of Commerce	<input checked="" type="checkbox"/>	Village of Machesney Park
<input checked="" type="checkbox"/>	Growth Dimensions	<input type="checkbox"/>	Village of Roscoe
<input checked="" type="checkbox"/>	Highland Community College	<input type="checkbox"/>	Winnebago County
<input type="checkbox"/>	McHenry Community College	<input checked="" type="checkbox"/>	The Workforce Connection

3. Public Comment

Dan Snow addressed the board. Mr. Snow wanted to thank the board for their consideration of Belvidere's project proposal.

4. PRESENTATION: Investment in Regional Health Data *Angie Grover, Co-Founder/Chief Operating Officer, Metopio*

Mr. Holcomb introduced Ms. Grover, the co-founder and COO of Metopio. R1 has partnered with Metopio in response to a national increase in data studies and a desire to ensure that R1's data is consistent with that used by other organizations nationally, and to streamline services.

Metopio is a national company providing a variety of user-friendly data tools, including data dashboards. It curates federal, state, and local data and brings it to life so people across the region can use the same data to make decisions.

Currently, R1 has partnered with Metopio for Winnebago County Community Mental Health Board (WCCMHB) data needs and is considering expanding its use of this service, given the amount of fee for service and regional work the organization does.

Ms. Grover answered audience questions.

5. Consent Agenda

a. *Approval of September 12, 2024 Board Meeting Minutes*

b. *Approval 2025 Regular Meeting Schedule*

Tabled due to lack of quorum.

6. Action Item: Authorize Executive Director to Execute Contract for Mental Health Rideshare Provider

Tabled due to lack of quorum.

7. Action Item: Approving Slate of Nominees to the Community Advisory Forum 2-year Term of Jan. 2025 – Dec. 2026

Tabled due to lack of quorum.

8. Vote on RESOLUTION 2024-04: Livable Communities Initiative Technical Assistance Award

Tabled due to lack of quorum.

9. Vote on RESOLUTION 2024-04: Livable Communities Initiative Technical Assistance Award

Tabled due to lack of quorum.

10. Executive Director's Report

a. *First Quarter Financial Results* – Mr. Dunn reported that first quarter results look great. The organization's costs are on track in all categories.

b. *Facility Update* – Mr. Dunn mentioned that staff has outgrown the first floor R1 currently occupies. To address space constraints, Mr. Dunn has pursued leasing the second and third floors. It will be an open plan and provide the benefits of an additional conference room, fewer shared offices, and the ability to retain the Owl's Nest as a more professional conference room setting. Looking for lease amendment within the next 30 days.

c. *Program and Project Updates* – Mr. Dunn and Ms. Witherow promoted the Second Annual Legislative Luncheon. This event featured a panel of state reps and senators for a cost of \$60 per ticket and \$600 for a table. R1 will provide a large investment in technical support and landfill solution feasibility in 2025. Some initiatives overseen by the MPO will have new Community Advisory Forum (CAF) subcommittees. These include environmental discussions and the LCI program.

11. Other Business

Mr. Dunn stated that since there was no quorum, there may be a need to hold a special meeting to address issues that could not be voted on.

Chairman Chiarelli mentioned a Winnebago County lobbying company had a nominee for chief of staff in the new federal administration, providing local representation in Washington.

Mr. Dunn took a moment to acknowledge former Mayor Chamberlain's work for starting up R1 (as the founding chair) upon his passing.

12. Adjournment

Motion by City of Rockford, seconded by Winnebago County, to **adjourn**.

Motion **approved** unanimously by voice vote.

Meeting adjourned at 8:46 am.

Meeting minutes prepared by: Amy Salamon
Minutes approved by action of the Board: _____



PART 5:

Guiding Principles & Recommendations

Guiding principles are statements that create a framework for decision-making. In transportation planning, guiding principles can help ensure that planning process and documents are consistent and aligned with a Metropolitan Planning Organization's (MPO) mission and goals. Establishing guiding principles for the Health and Transportation Study was an important step in its planning process for two reasons. First, the guiding principles helped frame the direction of the study, including the recommendations later in their report. Second, the guiding principles initiated a regional conversation around the relationship between health and transportation.

Based on these conversations, the following guiding principles were established for this report. While developed specifically for the Health and Transportation Study, the guiding principles will be incorporated through the MPO's suite of plans and studies, including the next Metropolitan Transportation Plan update.

- Principle #1: Active Lifestyles
- Principle #2: Healthy & Sustainable Environment
- Principle #3: Safety
- Principle #4: Choices & Access for All
- Principle #5: Equity

Range of Recommendations

With the guiding principles established, a range of recommendations was developed. These recommendations are aimed at improving the health outcomes of all individuals in the region through transportation-related decisions and

Recommendations are suggested actions to address a problem or opportunity identified in the study, providing a real-world application.

investments. The range of recommendations take into account various aspects needed to address the study finding, including the regional context, social determinants of health, transportation, and the built environment.

Recommendations presented below are grouped into the five guiding principles established at the beginning of the planning process. Since the recommendations build off of the guiding principles, a brief background for each guiding principle is provided. These recommendations are based on local and national best practices, as well as the region's current needs and future opportunities and input from stakeholders. It is important to note that some of the recommendations encompass elements beyond the transportation system that may influence or be influenced by transportation decisions and investments, including land use, development, environment, equity and quality of life.

Each of the recommendation is detailed below within the following elements:

- **Social Determinant(s) of Health Addressed:** Lists the social determinants of health that aligns with, supports, or is supported by the recommendation.
- **Potential Partners:** Identifies organizations that may be best suited to assist in the successful implementation of the recommendation.
- **Related Principles:** Lists the other principles within the study that aligns with, supports, or is supported by that recommendation.

Principle #1. Active Lifestyles

According to the United States Department of Transportation, almost a quarter of adults do not engage in any physical activity outside of their jobs. Sedentary lifestyles are an important reason why two-thirds of U.S. adults are overweight or obese. Transit, bicycle, and pedestrian facilities not only create opportunities for people to exercise and reduce obesity but also reduce the risk of associated conditions, such as diabetes, cardiovascular disease, and premature death.^{cxxvii}

Recommendations #1. Address sidewalk, shared use paths, and bicycle network gaps that impact connectivity.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment; Education Access & Quality; Health Care Access & Quality
- **Potential Partners:** Illinois Department of Transportation (IDOT); local governments
- **Related Principles:** Healthy and Sustainable Environment; Choice and Access for All

Recommendations #2. Encourage and support local governments to adopt local complete streets policies and practices.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments; developers
- **Related Principles:** Health and Sustainable Environment; Choice and Access for All; Equity.

Recommendations #3. Incentivize mixed-use and transit-oriented development.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments; developers
- **Related Principles:** Healthy and Sustainable Environment; Choice and Access for All; Equity

Recommendation #4. Create non-motorized access and safe routes to open and recreational spaces.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments; park districts
- **Related Principles:** Healthy and Sustainable Environment; Choice and Access for All; Safety; Equity

Principle #2 Healthy & Sustainable Environment

Over the past several decades, there has been a growing awareness of the need to have better an understanding of the relationship between transportation, the environment, and health. Transportation-related air pollutants are one of the largest contributors to unhealthy air quality. Exposure to these pollutants is linked to many adverse health effects, including premature death, cardiac symptoms, and the

exacerbation of asthma symptoms.^{cxviii} A number of diverse strategies can help reduce transportation-related pollutants and related adverse health impacts.

Recommendation #5. Increase access to parks and green space to provide participation opportunities in recreational and leisure activities.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment; Social & Community Context
- **Potential Partners:** Local governments; park districts; conservation districts; non-profits
- **Related Principles:** Active Lifestyles

Recommendation #6. Reduce exposure to transportation-related air pollution.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Equity

Recommendation #7. Encourage comfort focused infrastructure, such as shade trees, transit shelters, and other extreme weather exposure interventions.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Equity

Recommendation #8. Improve physical access to health care services, mental health providers, and dental care.

- **Social Determinant(s) of Health Addressed:** Health Care Access & Quality
- **Potential Partners:** Transit providers, human service transportation providers; health care providers
- **Related Principles:** Active Lifestyles; Choices & Access for All

Principle #3. Safety

In the United States, motor vehicle crashes are a leading cause of death. In 2021, 42,939 people lost their lives on roadways across the nation. For perspective, the number of people that could fill the average baseball stadium.^{cxix} Motor vehicle crash injuries and deaths are preventable.

Transportation agencies can reduce injuries and deaths associated with transportation system by designing safer streets, promoting safe behavior, and improving access to desired destinations.

Recommendation #9. Complete Bus Stop Accessibility and Safety Assessment at locations with highest boardings and alightings.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality; Neighborhood & Built Environment
- **Potential Partners:** Transit providers
- **Related Principles:** Active Lifestyles; Choices & Access for All; Equity

Recommendation #10. Conduct Road Safety Audits on priority corridors and implement recommendations.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Choices & Access for All; Equity

Recommendation #11. Enhance crosswalk visibility through improved signage and pavement markings.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Choices & Access for All; Equity

Recommendation #12. Construct separated bicycle facilities and shared use paths, where feasible.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Healthy & Sustainable Environment; Choices & Access for All; Equity

Recommendation #13. Install street lighting to improve visibility of intersections and pedestrians.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Choices & Access for All; Equity

Recommendation #14. Install traffic calming strategies, where appropriate.

- **Social Determinant(s) of Health Addressed:** Neighborhood & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Choices & Access for All; Equity

Principle #4. Choices & Access for All

Everyone in the region should be able to affirmatively answer the question, “Can I get where I want to go easily and safely in whatever way I choose.”^{cxxx} The presence and quality of bicycle and pedestrian infrastructure, bus routes, and street design influence connectivity and accessibility to everyday destinations, such as grocery stores, schools, parks, and doctors’ offices. Investing in a diverse transportation network ensures everyone has access to safe and viable transportation options and users of varying levels of experience, ages, and abilities can reliably reach their destinations.^{cxxxi}

Recommendation #14. Improve physical access to primary health care services and routine preventive care, including mental health and dental care services.

- **Social Determinant(s) of Health Addressed:** Health Care Access & Quality
- **Potential Partners:** Public transit providers, human service transportation providers, non-profits
- **Related Principles:** Active Lifestyles; Equity

Recommendation #15. Collaborate with organizations providing mobile health services.

- **Social Determinant(s) of Health Addressed:** Health Care Access & Quality
- **Potential Partners:** Public health departments, medical service providers
- **Related Principles:** Equity

Recommendation #16. Support ridesharing programs that connect people to jobs and

essential services.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality
- **Potential Partners:** Transit providers, transportation network companies
- **Related Principles:** Equity

Recommendation #17. Prioritize roadway and alternative transportation projects that close first- and last-mile gaps to public transit.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality; Neighborhood & Built Environment
- **Potential Partners:** Local governments, public transit providers
- **Related Principles:** Active Lifestyles; Healthy & Sustainable Environment; Equity

Recommendation #18. Conduct a public awareness campaign to improve the perception of mass transit.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality
- **Potential Partners:** Public transit providers, local government, media outlets
- **Related Principles:** Active Lifestyles, Healthy & Sustainable Environment, Equity

Recommendation #19. Promote rural public transportation services.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality
- **Potential Partners:** Public transit providers, local governments, media outlets
- **Related Principles:** Equity

Recommendation #20. Increase public transit options for healthy food access.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality
- **Potential Partners:** Local governments, public transit providers
- **Related Principles:** Equity

Principle #5. Equity

Adverse health effects related to the transportation system tends to disproportionately impact vulnerable members of the region, such as low-income individuals, minorities, children, persons with disability, and older adults. Many of the strategies associated with the principles above, such as increasing active transportation and improving connectivity, can also improve equity if they are targeted in low-income and minority communities.

Recommendation #21. Conduct a Regional Transportation Equity Audit across all MPO planning documents and programming practices.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality; Neighborhoods & Built Environment
- **Potential Partners:** Nonprofits, community organizations
- **Related Principles:** Choices & Access for All

Recommendation #22. Increase outreach efforts to underserved area during the transportation planning and programming process.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality; Neighborhoods & Built Environment
- **Potential Partners:** Local governments, public transit providers, nonprofits, community organizations
- **Related Principles:** Active Lifestyles; Safety; Choices & Access for All







Recommendation #23. Consider all ages and abilities in the design and operation of the active transportation system.

- **Social Determinant(s) of Health Addressed:** Economic Stability; Education Access & Quality; Health Care Access & Quality; Neighborhoods & Built Environment
- **Potential Partners:** Local governments
- **Related Principles:** Active Lifestyles; Safety; Choices & Access for All



AN ENGINE FOR COLLABORATION IN NORTHERN ILLINOIS

Winnebago County Transportation Program Information

		HIPAA Compliant Ride-Share	Rural Demand Response
	Funding	WCCMHB, 1/2 cent sales tax	Winnebago County & IDOT
	Uses	Mental health appointments	No restrictions
	Scheduling	WCCMHB funded agency schedules	User schedules
	Operator	Private operated, third-party vendor	Publicly operated
	Availability	24/7, 365	Hours/days TBD
	Geography	Anywhere Winnebago County	Rural origin or destination



Date: November 14, 2024
To: Governing Board, Region 1 Planning Council
From: Jason Holcomb, Director of Community Impact
Re: HIPAA Compliant Ride-share

Purpose Statement:

This memo reflects the executive committee’s support of procuring HIPAA-compliant ride-share services to facilitate attendance of non-emergency mental health appointments. It requests that the Executive Director be authorized to execute a contract with Kaizen Health (not to exceed \$120,000 for 12 months of service). The services aim to enhance regional accessibility to agencies funded by the Winnebago County Community Mental Health Board. This initiative is tied to the WCCMHB Strategic Plan 2.0, specifically addressing the Sub-Goal 2 of Systems Coordination. It also addresses Objective 2.1, which is centered on increasing transportation to mental health and substance use services. The procurement would also fulfill Objective 2.1B’s delineation of non-stigmatizing transportation options.

Background:

As part of Region 1 Planning Council’s Intergovernmental Agreement with the Winnebago County Community Mental Health Board (WCCMHB), Region 1 issued a Request for Qualifications (RFQ) on March 18, 2024, seeking a HIPAA-compliant ride-share service for non-emergency medical appointments. This service is intended to benefit agencies funded by WCCMHB.

Following the RFQ release, two inquiries for questions and clarification were received. A Pre-Response Questions and Agency Response document was published on April 2, 2024, to ensure transparency. After reviewing vendor information, qualifications, references, and pricing proposals, staff considered several key factors, including alignment with the project’s goals, quality of service, and pricing.

Kaizen Health emerged as the sole vendor capable of meeting the unique requirements outlined in the RFQ. Their experience providing HIPAA-compliant ride-share services for other mental health boards and tax-funded entities, alongside their work with similar behavioral health organizations, set them apart. Their proven track record and alignment with our needs further reinforced their selection as the exclusive provider. Upon review, the Executive Committee found the proposed services appropriate for the Governing Board's consideration.

Recommendation:

The executive committee expresses its support for the recommendation and requests that it be brought to the Governing Board. The executive committee also requests authorization for the Executive Director’s execution of a contract with Kaizen Health, not to exceed \$120,000 for 12 months of service.

Attachments:

- Request for Qualifications – HIPAA-Compliant Ride-share
- Kaizen Health Service Agreement
- Winnebago County Transportation Program Information Chart



REQUEST FOR QUALIFICATIONS

RFQ HIPAA Compliant Ride Share

Issue Date: XX/XX/2024

INTRODUCTION

Region 1 Planning Council (**R1**) (also referred to as “Agency”) requests a response from all qualified and responsible Respondents for Health Insurance Portability and Accountability Act (also referred to as “HIPAA”) compliant ride-share services for non-emergency mental health appointments (e.g., counseling, therapy, and psychiatric appointments) within Winnebago County, Illinois.

The HIPAA compliant ride-share will allow increased access to mental health services for residents of Winnebago County. Furthermore, this service will contribute to the efforts of the Winnebago County Community Mental Health Board (also referred to as “Mental Health Board”) efforts for systems coordination, an effort to bring stakeholders together to prioritize issues and outline systemic approaches to resolve them. We invite vendors to submit a response with their qualifications for consideration.

Responses will be evaluated by an internal steering committee to determine if it has the required knowledge, expertise, and experience to fulfill requirements. The Agency may, but is not required to, proceed with negotiations to determine the budget, scope, and deliverables.

Responses that do not adhere to the requirements herein may not be considered. Please read the entire solicitation package and submit a Response in accordance with the instructions. All forms and signature areas contained in the solicitation package must be completed in full.

REQUIREMENTS

1. RESPONDENT QUALIFICATIONS.

The Respondent must have the capability, expertise, and experience in areas including:

- a. Ability to meet industry standards in HIPAA compliance, such as:
 - i. Any data entered into systems is protected by privacy and security controls in line with HIPAA standards.
 - ii. Has conducted HIPAA-compliant risk analyses and completed compliance assessments.
 - iii. Ability to sign business associate agreements with participating mental healthcare providers.
 - iv. Specify rigorous driver credentialing processes to ensure they meet HIPAA standards.

- v. Require background checks, training, and ongoing compliance with privacy regulations.
 - vi. Require the establishment of audit trails to track access to health information.
 - vii. Provide clear documentation of privacy policies and procedures that align with HIPAA regulations.
 - viii. Require monitoring mechanisms to detect and respond to any unauthorized access.
- b. Vehicle Accessibility:
 - i. Ensure vehicles are equipped to accommodate ambulatory riders or those using wheelchairs.
 - ii. Compliance with ADA (Americans with Disabilities Act) standards for wheelchair-accessible vehicles.
 - c. Ability to share information and basic data with the Mental Health Board including:
 - i. Cost per organization, per month
 - ii. Number of rides per organization, per month

2. SPECIFIC REQUIREMENTS.

The selected firm shall provide the following services (minimum):

- a. Door-to-door rides for mental health care patients for riders who are ambulatory and for those who use wheelchairs.
- b. An easily accessible platform where mental healthcare organizations can order and schedule a ride for a patient to and from non-emergency mental health appointments.
- c. A system to communicate ride information to the patient via text message or phone call.
- d. Readily available drivers who follow HIPAA compliance regulations.
- e. Ride-share data available on a minimum monthly basis.

QUALIFICATIONS

Your response should clearly identify the following information, preferably in the prescribed outline provided.

1. CONTACT INFORMATION:

Vendor Name (dba and legal if different)

- Description of current business
- Years in operation
- Number of staff

Contact name

- Office Phone
- Mobile Phone
- Business Email

2. RESPONDENT’S SOLUTION TO MEET RPC’S REQUIREMENTS



Describe the services the Respondent offers specific to this solicitation.

3. QUALIFICATIONS

Respondent should provide information establishing its qualifications to perform the services requested. Please provide qualifications of staff relevant to the delivery of services requested.

3a. Evaluation Criteria. R1 determines how well Responses meet with Responsiveness requirements. R1 will rank Proposals, without consideration of price, from best to least qualified based on the criteria outlined below with the assigned point values (out of 100)

- Project Understanding (20)
- Technical Approach (30)
- Firm Experience (20)
- Specialized Expertise / Capabilities (20)
- Past Performance (10)

REFERENCES: Respondent must provide references from:

three (3) established private firms, and
three (3) government agencies,

other than the procuring Agency, who can attest to Respondent's experience and ability to perform services subject to this solicitation. Respondent must provide the name, contact information, and a description of the services provided.

INSTRUCTIONS FOR SUBMITTING RESPONSE

1. **DESIGNATED CONTACT:** The individual listed in the "Designated Contact:" on the posting shall be the single point of contact for this solicitation. Unless otherwise directed, Respondents should only communicate with the Designated Contact. RPC shall not be held responsible for information provided by or to any other person. Suspected errors should be immediately reported to the Designated Contact. Do not discuss, directly or indirectly, the solicitation or any Response with any officer or employee other than the Designated Contact.

Designated Contact: Kayla Gipson
127 N Wyman St, Ste 100, Rockford, IL 61101
kgipson@r1planning.org

2. PROCESS OF SOLICITATION

The following is a general description of the solicitation process. RPC may adjust this process, as needed, and makes no assurance or representation regarding the timing or schedule of the process.

EVENT		DATE, TIME (CST)
1.	RFQ Published	
3.	Pre-submission Questions Accepted	
4.	Questions and Answers Posted	

5.	Responses Due and Opened	
7.	Negotiation with Qualified Respondent(s)	
8.	Selection of Preferred Respondent	

3. **PRE-SUBMISSION QUESTIONS AND AGENCY RESPONSE:** All questions, other than questions raised at a Pre-Submission Conference, pertaining to this solicitation must be submitted *in writing* to the Designated Contact. Questions received and RPC responses may be posted as an Amendment to the original solicitation on the website; only these posted answers to questions shall be binding on RPC. Respondents are responsible for monitoring for posted updates.
4. **SUBMISSION OF RESPONSE:** Response must be received by the Due Date and Time specified herein by electronic bid response submitted through DemandStar.com. Responses will be downloaded at the time of response opening.

NOTICES

1. **PUBLICATION:** RPC publishes procurement information, including solicitations, awards, and amendments, to its website <http://r1planning.org/procurement> and DemandStar at www.demandstar.com. Respondent is responsible for monitoring the site for updated information. If RPC provides information on its website that is different or in conflict with the information entered in DemandStar, then the information on the RPC website is presumed to represent RPC's intent.
2. **EVALUATION:** The Agency reserves the right to accept or reject any or all responses, to waive irregularities and technicalities, and to request resubmission or to re-advertise for all or any part of the services. The Agency reserves the right to request clarification of information submitted and to request additional information from one or more firms. The Authority shall be the sole judge of the submittals and the resulting negotiated agreement that is in its best interest. The Agency's decision shall be final.
3. **CONFIDENTIAL INFORMATION:** If applicable, Respondent should provide a redacted copy of the Response, removing material considered to be a trade secret or competitively sensitive, confidential, or proprietary. Vendor information, unless clearly marked as confidential and exempt from disclosure under the Illinois Freedom of Information Act 5 ILCS 140., is considered public.
4. **COMPLIANCE WITH THE LAW:** The chosen Respondent, its employees, agents, and subcontractors shall comply with all applicable Federal, State, and local laws, rules, ordinances, regulations, orders, Federal circulars and all license and permit requirements in the performance of this contract. Vendor shall be in compliance with applicable tax requirements and shall be current in payment of such taxes. Vendor shall obtain at its own expense, all licenses and permissions necessary for the performance.
5. **EXPENSES.** The Agency is not liable for any expenses incurred in the preparation or presentation of response.

FORM: REQUEST FOR PREFERENCE *(optional)*

If applicable, complete and attach this form to your response.

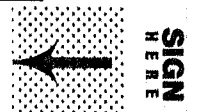
The Illinois Procurement Code provides various preferences to promote business opportunities in Illinois. If the Respondent makes claims for preferences, please mark the applicable preference(s) and include a listing of the items that qualify for the preference at the end of this Section and a description of why the preference applies. Agency reserves the right to determine whether the preference indicated applies.

- Business Enterprise for Minorities, Women, and Persons with Disabilities Act (30 ILCS 575).
- Veterans Preference (330 ILCS 55). Go to <https://cms.diversitycompliance.com/> to search for certified VOSB and SDVOSB vendors.
- Not-for-Profit Agencies for Persons with Significant Disabilities (30 ILCS 500/45-35).
- Disabled Veterans (30 ILCS 500/45-57).
- Small Businesses (30 ILCS 500/45-45).
- Resident Bidder (30 ILCS 500/45-10).
- Soybean Oil-Based Ink (30 ILCS 500/45-15).
- Recycled Materials (30 ILCS 500/45-20).
- Recycled Paper (30 ILCS 500/45-25).
- Environmentally Preferable Supplies (30 ILCS 500/45-26).
- Correctional Industries (30 ILCS 500/45-30).
- Gas Mileage (30 ILCS 500/45-40).
- Illinois Agricultural Products (30 ILCS 500/45-50).
- Corn-Based Plastics (30 ILCS 500/45-55).
- Vehicles Powered by Agricultural Commodity-Based Fuel (30 ILCS 500/45-6)
- Biobased Products (30 ILCS 500/45-75).
- Historic Preference Area (30 ILCS 500/45-80).
- Procurement of Domestic Products (30 ILCS 517).
- Public Purchases in Other States (30 ILCS 520).
- Illinois Mined Coal (30 ILCS 555).
- Steel Products Procurement (30 ILCS 565).
- Fair Chance Hiring Practices
- State-Registered Vendor
- Certified BEP Vendor Go to <https://cms.diversitycompliance.com/> to search for certified BEP vendors.

Explanation of Preference Qualifications selected:

Signature of Authorized Representative: _____

Printed Name of Signatory: _____



Respondent's Name: _____

Date: _____



SERVICES AGREEMENT

THIS AGREEMENT (this “Agreement”) is made as of the date of the last signature below (the “Effective Date”), between Kaizen Health, Inc., a Delaware corporation (“**KAIZEN HEALTH**”) and Region 1 Planning Council (“**LICENSEE**”).

WHEREAS, Licensee desires to obtain services from Kaizen Health as described in the Statement of Work attached hereto as **Exhibit A** and incorporated herein by reference (“**Services**”), and Kaizen Health agrees to provide the Services to Licensee.

NOW, THEREFORE, in consideration of the mutual promises and covenants contained herein, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Licensee and Kaizen Health agree as follows:

1. Kaizen Health Relationship.

- 1.1 **Relationship.** Licensee and Kaizen Health hereby enter into a non-transferable services relationship under which Kaizen Health shall provide Services for Licensee as set forth in **Exhibit A**. In the event of any conflict between **Exhibit A** and the terms and conditions of this Agreement, this Agreement shall control. Kaizen Health shall not represent that it is an agent or employee of Licensee.
- 1.2 **Non-Interference; Non-Exclusivity.** Kaizen Health specifically represents and warrants that it has full power and authority to undertake the obligations set forth in this Agreement and that it has neither entered, nor will enter, into any other agreements or arrangements that would interfere, infringe, conflict with this Agreement or that would render Kaizen Health incapable of satisfactorily performing its obligations under this Agreement. This Agreement does not create an exclusive arrangement between the parties for the Services described hereunder.
- 1.3 **Confidential Information.** Notwithstanding any other provision of this Agreement, for purposes of this Agreement, “Confidential Information” shall mean all information of any kind or nature whatsoever (including without limitation, business, financial, proprietary, rider, clinical, strategic, research, or marketing information) whether disclosed in oral, graphic, written, photographic, or recorded form or disclosed in any other manner by one party to the other. Kaizen Health shall not use or disclose to any other person or entity any Confidential Information which comes within the knowledge of or which has been disclosed to Kaizen Health. Kaizen Health agrees that the Confidential Information shall be used by it solely for the purpose of performing the Services hereunder and agrees that they shall make no other use or disclosure of Licensee’s Confidential Information. Upon written request by Licensee, Kaizen Health shall deliver or destroy, as specified by Licensee all Confidential Information furnished or received hereunder.

2. Kaizen Health Covenants.

- 2.1 **Qualifications.** At all times during the term of this Agreement Kaizen Health should possess the qualifications as set forth in **Exhibit A**.
- 2.2 **Insurance.** Kaizen Health agrees to maintain at its sole cost and expense such professional and general liability insurance coverage as set forth in **Exhibit B** according to the type of Services to be provided hereunder. Proof of insurance shall be provided to Licensee upon request.
- 2.3 **Publication.** Kaizen Health shall not publish or present any paper or presentation regarding any aspect of the Services provided, absent the prior written authorized consent of Licensee.
- 2.5 **No Billing.** Kaizen Health specifically acknowledges and agrees that Kaizen Health will not bill the Government, any third party payor, or any rider for the Services it performs hereunder.
- 2.6 **Compliance; Certification.** Kaizen Health shall abide by Licensee Corporate Compliance Program at all times while providing Services hereunder, as applicable. If applicable, Kaizen Health hereby certifies that it is not now, nor has it ever been, excluded or debarred from any federal health care program (including Medicare or Medicaid). In the event that Kaizen Health is excluded or debarred from any federal health care program this Agreement shall terminate immediately.

3. Term and Termination.

- 3.1 **Term.** Unless earlier terminated, this Agreement shall be in full force and effect beginning on the Effective Date for a term of one (1) year (“Initial Term”). Thereafter, this Agreement shall continue in force and effect until either party gives 30 day written notice to the other party of its termination of this Agreement (the Initial Term, along with the period after the Initial Term, being the “Term”). During the Term, the Services shall be performed at the discretion of and at the request of Licensee. Nothing herein shall be construed to obligate Licensee to utilize the Services of the Kaizen Health at any time.
- 3.2 **Termination For Cause.** Either party shall have the right to terminate this Agreement upon fifteen (15) days’ prior written notice if the party to whom such notice is given materially breaches any provision of this Agreement. The party claiming the right to terminate shall set forth in the notice the facts underlying its claim that the other party is in breach of this Agreement. If the party receiving such notice cures the alleged breach within fifteen (15) days of the receipt of such notice, such cure shall revive this Agreement in effect for the remaining term, subject to any other rights of termination contained in this Section or in any other provision of this Agreement.

3.3 **Termination Without Cause.** Licensee shall have the right to terminate this Agreement without cause upon providing Kaizen Health with thirty (30) days' advance written notice.

4. **Compensation and Invoicing.**

4.1 **Rate.** Licensee shall pay Kaizen Health as set forth in **Exhibit A**. Kaizen Health shall invoice Licensee no more frequently than one (1) time per month. Invoices shall be due and payable within thirty (30) days of receipt. Invoices shall contain monthly reports detailing the usage of the Services. Kaizen Health shall not invoice or seek payment from any other third party payor or individual for services being provided hereunder.

4.2 **Final Compensation.** Compensation shall cease upon the effective date of termination of this Agreement, or submission and payment of final invoice, whichever occurs later.

5. **Entire Agreement; Modification; Severability; Headings; Governing Law.** This Agreement constitutes the sole and entire agreement of the Parties with respect to the subject matter contained herein, and supersedes all prior and contemporaneous agreements between the Parties, both written and oral, with respect to such subject matter and can only be modified by a subsequent written document executed by both parties. If any provisions of this Agreement (or portions thereof) are held to be illegal, invalid or unenforceable, such shall not affect the legality, validity, or enforceability of the remaining provisions of the Agreement. The headings of the sections herein are for reference purposes only. This Agreement shall be governed and construed in accordance with the laws of the State of Illinois.

6. **Assignment.** The parties acknowledge that neither Licensee nor Kaizen Health may assign or delegate any of its rights or obligations hereunder.

7. **Business Associate Agreement.** Kaizen Health understands and agrees that the information Kaizen Health is provided and uses to arrange the Services is Protected Health Information as defined by HIPAA. In using, disclosing, maintaining and protecting Protected Health Information, Kaizen Health agrees to comply with the terms of Licensee's form Business Associate Agreement, which may be attached as **Exhibit C**, and incorporated herein by reference.

8. **Compliance with Laws.** Kaizen Health shall comply with all applicable federal, state, county, and local laws, orders, rules, ordinances, regulations, guidance, and codes, including without limitation Kaizen Health's obligations as an employer regarding the health, safety and payment of its employees. Without limiting the generality of the foregoing, Kaizen Health will be responsible for compliance with all (A) laws applicable to Kaizen Health and Kaizen Health's business (i.e., laws under which Kaizen Health would be liable in the case of non-compliance) that affect the provision of the Services, (2) laws applicable to the performance or delivery of the Services, and (3) privacy and security laws to which any Licensee Data is subject.

IN WITNESS WHEREOF, the parties hereto have caused this agreement to be effective as of the Effective Date.

KAIZEN HEALTH, INC.

REGION 1 PLANNING COUNCIL

By: _____
Name: Mindi S. Knebel
Its: CEO
Date:

By: _____
Name:
Its:
Date:

EXHIBIT A SERVICES

In the event of a conflict between the terms of this SOW and the terms contained in the Agreement, the terms contained in the Agreement shall control.

1. **License.** Kaizen Health grants and Licensee accepts a non-exclusive, non-transferable, limited license for Licensee's registered users to access and use the Kaizen Transportation Services (defined below) during the Term for the purposes of providing Licensee riders with access to safe and reliable transportation. The Kaizen Transportation Services shall be used with Equipment comparable in operation to the recommended operating system, hardware types and network settings and peripherals as recommended by Kaizen Health from time to time.

"Kaizen Transportation Services" means:

- a) Licensee's employees and designated users will be provided access to the Kaizen Health web app to schedule rides for Licensee's riders.
- b) Riders will receive automated text messages or phone calls to confirm and remind them of their ride.
- c) Kaizen Health web app will communicate with Kaizen Transportation Partners who will provide the rides.
- d) Licensee is not restricted in number of Licensee's employees who can access the Kaizen Health Program and Services.
- e) Kaizen Health will provide Licensee with free support including web training and support as needed.
- f) Kaizen Transportation Services may include: curb-to-curb, door-to-door, door-through-door transportation options.

2. **Fees and Payment.** Kaizen Health will provide Licensee with monthly reports and invoices detailing the usage of the Kaizen Transportation Services. Licensee shall be responsible for the following fees ("*Fees*"): (i) all transportation costs of the Kaizen Transportation Partners at the cost charged to Kaizen Health; and (ii) a per ride fee set forth in **Table 1** for each ride booked and completed by Licensee's employees and riders.

Table 1

Line of Service	UOM	Admin Fee Per Ride / Call
Standard Vehicle: rideshare, taxi, sedan	Per Ride	\$ 6.00
Wheelchair Accessible Vehicle: standard, pediatric, bariatric, electric, wheelchair provided	Per Ride	\$ 8.00
Vehicle with Child Safety Seat Provided: front/rear facing, booster seat	Per Ride	\$ 8.00
Door-to-Door: standard or wheelchair accessible vehicle	Per Ride	\$ 8.00
Responsible Party: standard or wheelchair accessible vehicle	Per Ride	\$ 16.00
Secure Transportation: standard or wheelchair accessible vehicle	Per Ride	\$ 16.00
Door-through-Door: standard or wheelchair accessible vehicle	Per Ride	\$ 16.00
Infectious Disease: standard or wheelchair accessible vehicle	Per Ride	\$ 30.00
Stair Chair Required: standard or wheelchair accessible vehicle	Per Ride	\$ 30.00
Stretcher: standard or bariatric	Per Ride	\$ 30.00
Ambulance: ALS/BLS	Per Ride	\$ 30.00
Delivery: prescriptions, supplies, labs, food	Per Ride	\$ 4.00

- 3. Transportation Costs of Kaizen Transportation Partners.** Kaizen Health represents and warrants that it will make best efforts to negotiate best rates of transportation costs that are charged by Kaizen Transportation Partners.
- 4. No Marketing.** The Parties agree that no marketing of health care items or services will occur during the course of the transportation.

EXHIBIT B
INSURANCE REQUIREMENTS

Kaizen Health shall, at its sole cost and expense, procure and maintain insurance coverage with policies of commercial general liability, professional liability/errors & omissions (to the extent necessary), automobile liability, workers' compensation and employer's liability. The following coverage, terms and limits are minimum requirements, and must be in place during the performance of the Services:

I. Kaizen Health shall provide the following minimum limits of insurance:

A. Commercial General Liability:

\$1,000,000 per occurrence/\$2,000,000 aggregate; coverage shall be at least as broad as Insurance Services Office Commercial General Liability Coverage (occurrence form CG 00 01) and include independent Kaizen Health's coverage and coverage relevant to the scope of Kaizen Health's Services. Coverage shall be written on an "occurrence" basis. Kaizen Health may provide the coverages as listed above with an umbrella policy coverage to extend the required coverages beyond Kaizen Health's normal policy limits.

Modified Occurrence and Claims Made forms are not acceptable; if Modified Occurrence or Claims Made coverage is submitted, Licensee shall have the right to cancel the Agreement or stop Services and withhold payments to until proof of acceptable Occurrence Form coverage is received; failure to enforce this provision will not constitute waiver thereof.

B. Worker's Compensation:
Statutory Limits

C. Employer's Liability:
\$1,000,000/each accident;
\$1,000,000/disease - each employee;
\$1,000,000/disease - aggregate

D. Auto Liability

\$1,000,000 combined single limit

Insurance is to be provided for all owned, hired and non-owned vehicles including the loading and unloading thereof.

Such insurance must include all automotive equipment used in the performance of the Contract both on and off the premises, and must include non-ownership and hired car coverage.

If transporting hazardous materials/waste, appropriate MCS-90 Endorsement must be endorsed to the policy and provided to Licensee to any conveyance on a primary basis with \$5,000,000 limits of liability.

E. Professional Liability/Errors & Omissions:

\$1,000,000 per claim/occurrence

\$2,000,000 aggregate

- F. Cyber Insurance:
\$1,000,000 per claim/occurrence
\$2,000,000 aggregate

Cyber Insurance includes coverage for related regulatory defense and penalties and coverage for data breach expenses, whether incurred by Licensee or Kaizen Health, including but not limited to consumer notification, whether or not required by law, computer forensic investigations, public relations and crisis management firm fees, credit or identity monitoring or remediation services.

- G. Property Insurance:
Kaizen Health shall, at its own expense, maintain property insurance in appropriate amounts protecting against loss or damage to Kaizen Health's property as well as property of Licensee and its affiliates held in Kaizen Health's care, custody or control.

- H. Hazardous Materials
If the services provided by Kaizen Health involve the use of or the abatement, removal, replacement, repair, enclosure, encapsulation and/or disposal of any hazardous materials or substance, Kaizen Health shall, at its own expense, maintain hazardous material liability insurance covering bodily injury and property damage with limits of not less than \$1,000,000 per occurrence.

- I. Umbrella Liability
\$5,000,000 per claim/occurrence
\$5,000,00 Aggregate

Kaizen Health shall cause Licensee, and its officers, directors, trustees, agents and employees (collectively, the "Additional Insureds") to be named by endorsement as an additional insureds on the Commercial General Liability Insurance, and the Auto Liability Policy. The form of such endorsements shall be subject to the reasonable approval of Licensee.

Kaizen Health's insurance policies shall state that they are primary and not additional to, or contributing with, any other insurance carried by, or for the benefit of the Additional Insureds.

EXHIBIT C

BUSINESS ASSOCIATE AGREEMENT



Date: November 14, 2024

To: R1 Planning Council Board

From: Chelsey Glatz, Public Engagement Coordinator/CAF Staff Liaison, on behalf of Michael Dunn, Executive Director

Re: Approving Slate of Nominees to the Community Advisory Forum 2-year term of January 2025 – December 2026

Background: The purpose of the Community Advisory Forum (CAF) is to ensure thoughtful, timely advice in public engagement, involvement, and input in R1's work. The forum will provide an avenue for regular community interaction and communication about the planning process and its potential problems and solutions, and assist in identifying social, economic, and resiliency issues to be considered.

In addition to R1's standing committees and public outreach activities and events, the CAF will serve as the primary body representing public opinion in the development of plans and programs. Therefore, it is important that a broad range of perspectives, constituencies, and industries are represented in its membership.

As a member of the CAF, members will be asked to participate in approximately six meetings per year. Meetings will primarily focus on current projects requiring public input. Discussions are expected to include member feedback and recommendations for stakeholder engagement. Additionally, members are asked to advocate and communicate with the public and their networks to increase and diversify engagement, and may be invited to lend their knowledge to a subject-matter forum.

Subject Matters gaps were identified and sought recommendations for include but not limited to:

- Socially vulnerable populations
- Cycling mobility
- Hospitality
- Veterans
- Minority
- Faith

Staff solicited the Governing Board on September 12, 2024 for nominations of members to serve on the CAF for the next 2-year term of January 2025 – December 2026. The Climate Resiliency Forum members were notified of consolidation to the CAF and were invited to join if interested on November 6, 2024. Member of the CAF, interested Climate Resiliency Forum members, and nominations were compiled and assessed for variety, representation, and reach.

Recommendation: Staff recommends that the Board review the slate attached. With the Board's approval, invitations to participate will be extended to the nominations to serve on the Community Advisory Forum (CAF) for the next 2-year term of January 2025 – December 2026.

Slate of Nominations for the Community Advisory Forum term Jan 2025 - Dec 2026

Forums	Agency	Industry	Subject Matter	First	Last
CAF	AGHL Law	Law	Business	Paige	Gors Limberg
CAF	Belvidere Chamber of Commerce	Business	Business	Amy	Nord
CAF	Boone County Soil & Water Conservation District	Environmental	Resource Management	Heather	Vantilburg
CAF	Boys & Girls Club of Rockford	Youth	Youth	Chip	Stoner
CAF	Citizen - Dyanna Rose Walker	n/a	n/a	Dyanna Rose	Walker
CAF	Comprehensive Community Solutions	Youth	Youth	Molli	Robey
CAF	Department of Commerce and Economic Opportunity	State	Business	Tiana	McCall
CAF	Goodwill Industries of Northern Illinois	Social Services	Low-Income	Courtney	Geiger
CAF	Highland Community College	Education	Education	Liz	Gerber
CAF	Ignite Change Solutions	Business	Minority	Rebecca	Francis
CAF	McHenry County	County	Government	Scott	Hartman
CAF	Midland States Bank	Finance	Business	Martasha	Brown
CAF	Ogle County	County	Government	Zach	Oltmanns
CAF	Rock Valley College	Education	Education	Dominick	Squicciarini
CAF	Rockford Consulting & Brokerage, Inc.	Health	Health	Ryan	Brauns
CAF	Rockford Public Library	Education	Education	Anne	O'Keefe
CAF	Rockford Regional Hispanic Chamber of Commerce	Business	Minority	Sully	Candengo
CAF	Sierra Club Northwest River Valleys Chapter	Environmental	Environmental	Rebecca	Quirk
CAF	Stateline Mass Transit District	Infrastructure	Public transportation	Sharon	Hecox
CAF	The Workforce Connection	Workforce	Workforce mobility	Berenice	Jaquez
CAF	UW Health SwedishAmerican	Health	Health	Kelly	Dinsmore
CAF	Winnebago & Boone County Housing Authority	Infrastructure	Housing	Deb	Alfredson
CAF & CRF	Boone County Conservation District	Environmental	Conservation	Josh	Sage
CAF & CRF	Boone County Health Department	Health	Health	Amanda	Mehl
CAF & CRF	Eliminate Racism 815	Civic	Minority	Dick	Rundall
CAF & CRF	Keep Northern Illinois Beautiful	Environmental	Conservation	Corinne	Sosso
CAF & CRF	Natural Land Institute	Environmental	Environmental	Alan	Branhagen
CAF & CRF	Rockford Park District	Infrastructure	Recreation	Tim	Bragg
CAF & CRF	Severson Dells	Environmental	Environmental Education	Ann	Wasser
CAF & CRF	Winnebago County Soil & Water Conservation District	Environmental	Resource Management	Dennis	Anthony
CRF - New	Climate Reality Project (Northern Illinois)	Environmental	Conservation	Mike	Bacon
CRF - New	Illinois REALTORS	Infrastructure	Housing	Neely	Erickson
CRF - New	Olson Ecological Solutions	Environmental	Environmental	Rebecca	Olson
New	Cliff Breakers	Hospitality	Hospitality	Jessica	Thompson
New	Hope Fellowship	Faith	Faith	Ronald. G.	Alexander
New	I Bike Rockford	Cycling	Cycling mobility	Rodger	Hergert
New	Lifescape	Social Services	Seniors' mobility	Designated	Representative
New	Muslim Association of Greater Rockford	Civic	Minority	Shahid	Naseer
New	NAACP Rockford Chapter	Civic	Minority	George	Scott
New	NICNE	Education	Education	Pam	Clark Reidenbach
New	RAMP	Disability	Socially vulnerable	Designated	Representative
New	Rockford Urban Ministries	Faith	Faith	Designated	Representative
New	Temple Beth-El	Faith	Minority	Binnah	Wing
New	Veterans Assistance Commission of Winnebago County	Veterans	Veterans	Jesus	Pereira
New	Winnebago-Boone Farm Buruea	Agriculture	Ag & food systems	Ann Marie	Cain

Best Practices for Regional Data Advisory Committees

What is a Regional Data Advisory Committee?¹

A Regional Data Advisory Committee (RDAC) is a multidisciplinary group that governs and develops regional data sites. Their primary role is to oversee data management, educate Regional Planning Councils (RPCs) and other key stakeholders about regional data analysis, and evaluate their region's specific data needs. The committee emphasizes the development of analytical tools and ensures standardization across data providers to maintain credible, quality data. Additionally, a RDAC plays a crucial role in informing the public about available databases, including providing expert guidance on accessing and utilizing the data. Finally, they facilitate data sharing and collaboration among local governments and stakeholders. The committees typically consist of diverse public, private, nonprofit, and academic experts. Two examples of RDACs are the Mid-Ohio Regional Planning Commission's (MORPC) Regional Data Task Force and the Lane Council of Governments (LCOG)'s RDAC. Included below is a collection of summarized best practices for RDACs, as identified by MORPC and LGOG.

Best Practices for RDACs

Collaboration, Data-Sharing, and Data Entrepreneurship²

- Foster long-lasting partnerships and collaboration with data stakeholders to leverage available resources and advance the region's data needs.
- Standardize datasets to ensure consistency and eliminate redundancy, as well as ensure the quality of data over time.
- Create and maintain technical documentation about the data that encourages easy access and sharing across the partners. Additionally, promote the

¹ Mid-Ohio Regional Planning Commission. (2015). A Regional Data Site for Central Ohio. Columbus, OH. https://www.morpc.org/wordpress/wp-content/uploads/2017/12/Data-Site-Task-Force-Report_FINAL.pdf

² Lane Livability Consortium. (2014). Regional Data Baseline: Assessment and Next Steps Report. Eugene, OR. <https://www.livabilitylane.org/files/Data-Plan.pdf>

awareness that such a data repository exists and explain how stakeholders can obtain it for analysis.

Capacity Building and Promoting Good Data Governance

- Conduct SWOT (Strengths, Weaknesses, Opportunities, and Threats) analyses, which are essential as they help committee members identify potential strategic steps the region could take to improve data acquisition, analysis, and sharing.
- Promote transparency in how the data was collected and its interpretation, which will mitigate the possibility of data manipulation and skepticism.
- Create data-sharing working groups that meet periodically to address regional data sharing, interpretation, analysis, and access needs.

Expert Guidance and Innovation³

- Solicit expert guidance to ensure committee members are updated on the latest developments in emerging issues and provide public briefings/fact sheets.
- Continually innovate and explore ways to improve as a data creator, user, or provider through ongoing data procurement, development, and discovery of new metrics.
- Explore how artificial intelligence may be used to improve data services while mitigating misinformation and avoiding potential unintended consequences.

Educate, Inform, and Communicate

- Address differences in technical data knowledge across a broad range of stakeholders to reduce information asymmetries and encourage a diverse range of perspectives.
- Explain to the public how data analytics applications are used for public services, showcasing successful interventions.

³ Mid-Ohio Regional Planning Commission. Regional Data Agenda 2023-2025. Columbus, OH.
<https://www.morpc.org/2023/wp-content/uploads/2023/08/2023-2025-Regional-Data-Agenda.pdf>



Regional Data Advisory Committee (RDAC)

CHARTER

1. **Name.** The name of this advisory body shall be the Region 1 Planning Council Regional Data Advisory Committee (RDAC).
2. **Purpose.** The Regional Data Advisory Committee (RDAC) has been established to guide and oversee the data management and data sharing of various collaborators within the academic, public, private, and nonprofit sectors.

The purpose of the RDAC is to:

- a. Oversee, standardize, and maintain datasets to ensure that all data is distinct, credible and relevant.
 - b. Educate and advise stakeholders on the interpretation of datasets and its implications on the region.
 - c. Inform and explain to the public on the existence and accessibility of available data.
 - d. Promote good data governance through the facilitation of data-sharing and collaboration amongst partnering agencies.
3. **Duties and Responsibilities.** The RDAC and its Members Shall:
 - a. Hold meetings to discuss matters related to RDAC as needed.
 - b. Review, recommend, and participate in methodologies for obtaining public input, and to increase public response.
 - c. Advocate and communicate with the public and their networks to increase and diversify public participation.
 - d. Disclose and abstain from influencing or voting due to a conflict of interest.
 - e. Abide by applicable law governing committees of a public body.
 - f. Participate in a subject-matter forum of relevance to their knowledge, skills, background, industry, or expertise, upon invitation.
 4. **Composition.** The RDAC membership shall include a broad representation of the region's public and private organizations, specifically focused on organizations who collect, host, analyze, or have general interest in regional data.
 - a. To fulfill the duties and responsibilities of membership, representatives shall represent an agency, organization, or department of government (hereafter called "agency") wherein the membership belongs to the agency. It is the responsibility of the member agency to select a representative to participate on its behalf, preferably the lead data administrator or analyst for the agency.
 - b. Members must be located within the R1Planning Service Area.



- c. Membership is given to organizations committed to the collaboration. R1Planning board members or staff may nominate members. The R1Planning Governing Board is responsible for approving membership.
 - d. Membership terms are for two years and re-appointment terms are two years.
 - e. Three consecutive meeting absences may result in forfeiture of membership.
 - f. Members may represent multiple constituencies, industries, and subject matters.
 - g. Members are not compensated for serving on the committee.
 - h. Additional membership terms may be agreed upon in by MOU for the purposes of joint-procurement, special project funding, and/or data-sharing.
5. **Organization.** Meetings and agendas will be facilitated by R1Planning Staff. The chairperson and vice chairperson will be appointed by the R1 Planning Executive Committee.
6. **Meetings.** The RDAC will hold meetings no less than four times per fiscal year. Meeting dates and times will be coordinated and called by R1Planning staff based on planning and program public engagement opportunities and/or requirements. Meetings will be scheduled by written notice with as much notice as can be reasonably provided: generally, a minimum of two weeks' notice. Meeting records shall be maintained by R1Planning staff. Meetings, including work group meetings, are subject to the Open Meetings Act (5 ILCS 120).
7. **Quorum.** As an advisory committee, actions are recommendations which are non-binding. Votes cast by the members present at a shall constitute a committee action regardless of the number of members in attendance, as permitted by 5 ILCS 120/2.01. Each membership organization is afforded one vote. While these meeting will observe a standard format, members may volunteer to amend the agenda and are encouraged to bring educational content and materials to meetings.
8. **Forums.** Standing and ad hoc forums are formed by the approval of the R1 Executive Committee.
9. **Administration.** R1Planning Staff shall supervise and coordinate the activities of the RDAC.



Region 1 Joint Regional Planning Commission

Resolution No. 2024- 04

APPROVAL OF Livable Communities Initiative Technical Assistance Award

WHEREAS, Region 1 Planning Council is the Metropolitan Planning Organization (MPO) for the Rockford Urban and Metropolitan Area, the Economic Development District for Winnebago, Boone, and McHenry Counties, and whose governing board members represent key public and private stakeholders in the community; and

WHEREAS, pursuant to the program guidance of the Livable Communities Initiative, the Livable Communities Initiative will serve to create vibrant, walkable places that improves the quality of life for those who live and work in the community by offering increased mobility options and access to resources, such as healthy food, affordable housing, and employment opportunities; and

WHEREAS, pursuant to the program guidance of the Livable Communities Initiative, the Livable Communities Initiative will provide technical assistance hours to neighborhoods and nonprofits in the development of a subarea study; and

WHEREAS, pursuant to the program guidance of the Livable Communities Initiative, project submissions were reviewed for eligibility, scored by members of the R1’s Community Advisory Forum, presented to the Livable Communities Initiative Stakeholder Group for recommendation to this board, the Region 1 Joint Planning Commission Board of Commissioners.

NOW, THEREFORE, BE IT RESOLVED, that Region 1 Joint Planning Commission Board of Commissioners hereby supports the provision of technical assistance hours in support of the Keith Creek Neighborhood Association’s proposal for the purpose of conducting a planning analysis of the neighborhood resulting in a subarea study, with the ultimate goal of stabilizing and strengthening the Keith Creek Neighborhood through the integration of quality transportation facilities and services with housing choice, vibrant communities, robust economic development, and inclusive growth that spurs strategic reinvestment from both the public and private sector.

Passed and approved this ____ day of _____, 2025.

REGION 1 JOINT PLANNING COMMISSION

By: _____
Commission Chair

Attest: _____
Commission Vice-Chair



Region 1 Planning Council

RESOLUTION NO. 2024-05

Banking Services Vendor

WHEREAS, Region 1 Planning Council (the “Council”) is required to request proposals for banking services to facilitate its business operations and ensure efficient financial management every three to five years in compliance with the Council’s procurement policy; and

WHEREAS, a selection of the Council Staff members performed a comprehensive review and evaluation of banking service vendors that submitted proposals. Including but not limited to their services offered, financial stability, and overall fit with the Company’s business needs; *and*

WHEREAS, after careful consideration and due diligence, the Council’s selection committee recommends the selection of Foresight Financial Group (Northwest Bank) as the preferred banking service provider;

NOW, THEREFORE, BE IT RESOLVED, that the selection of Foresight Financial Group (Northwest Bank) is approved, a copy of the proposal is hereto attached.

BE IT FURTHER RESOLVED, that the Board authorizes the staff of the Council to take any further actions and steps as necessary to implement this resolution and ensure that the banking services are effectively transitioned to Foresight Financial Group (Northwest Bank).

We hereby certify the foregoing has been approved by a majority of the Region 1 Joint Regional Planning Commission Board Members on this ____ day of ____, 2025.

REGION 1 JOINT PLANNING COMMISSION

Commission Chair

Commission Vice-Chair



Region 1 Planning Council

RESOLUTION NO. 2025- 01

BUILDING LEASE RENEWAL

WHEREAS, the Board of Commissioners of the Region 1 Joint Planning Commission presently holds a lease due to expire; and

WHEREAS, it is in the best interests of the Board to enter into a Lease Extension and Expansion agreement; and

WHEREAS, the Lease agreement will be for a term of 10 years with a 5-year penalty free termination right;

WHEREAS, the starting rate per square foot rate will be \$11.39 with an annual 3% increase; and

WHEREAS, the new rentable square footage amount will be approximately 13,605 square feet.

NOW, THEREFORE, BE IT RESOLVED, that the financial terms of the Lease Extension and Agreement is approved,

BE IT FURTHER RESOLVED, that the Board of Commissioners of the Region 1 Joint Planning Commission empowers the Executive Director to negotiate additional non-financial terms and with legal review may establish a fully executed agreement with North Wyman Pioneer Building, LLC on the date the agreement is fully negotiated.

We hereby certify the foregoing has been approved by a majority of the Region 1 Joint Regional Planning Commission Board Members on this ____ day of ____, 2025.

REGION 1 JOINT PLANNING COMMISSION

Commission Chair

Commission Vice-Chair

Morrissey Building Basement 127 N Wyman St

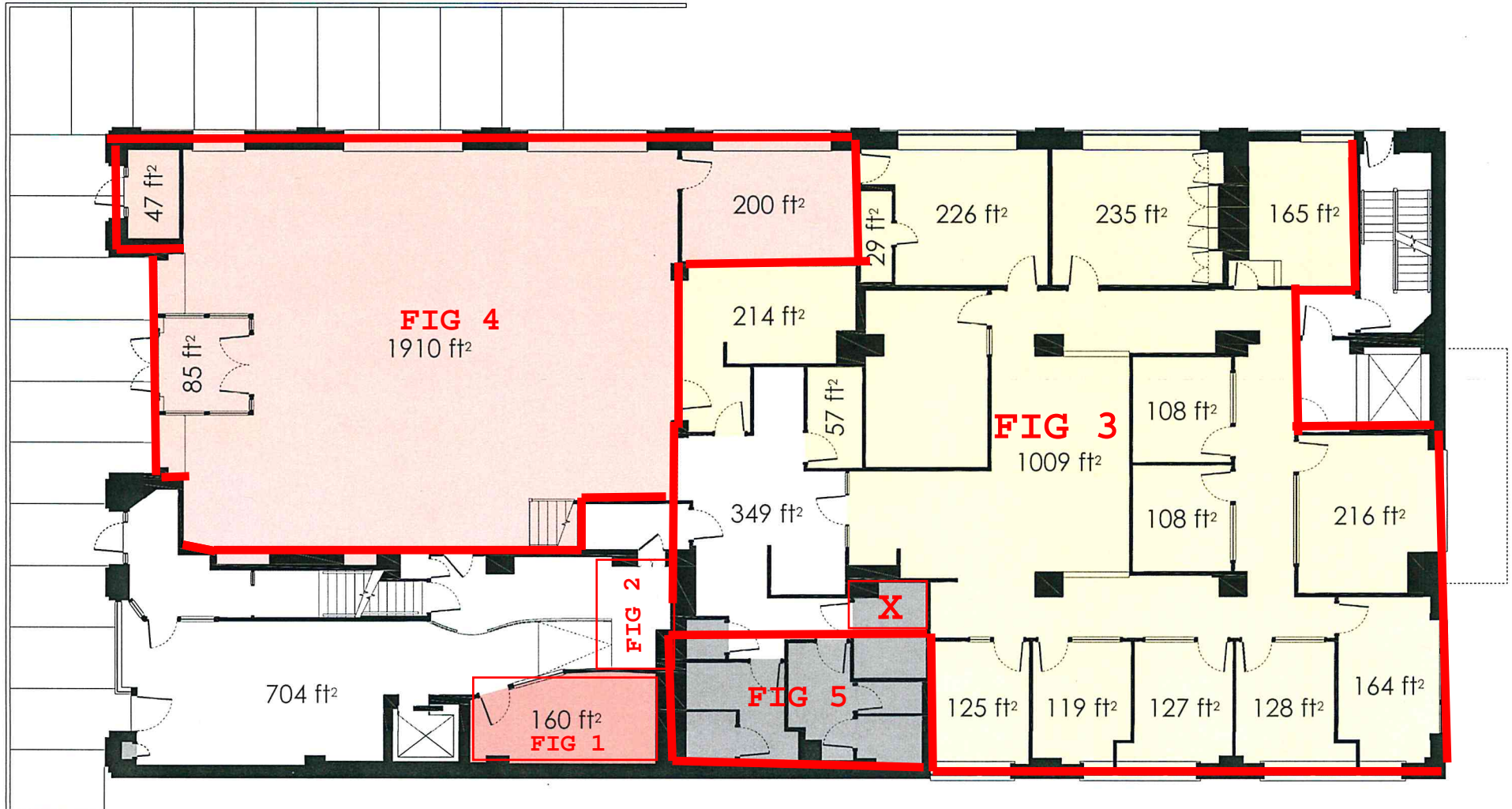


□ 1,029 ft² (Residential Spaces)

■ 701 ft² (Service Spaces)

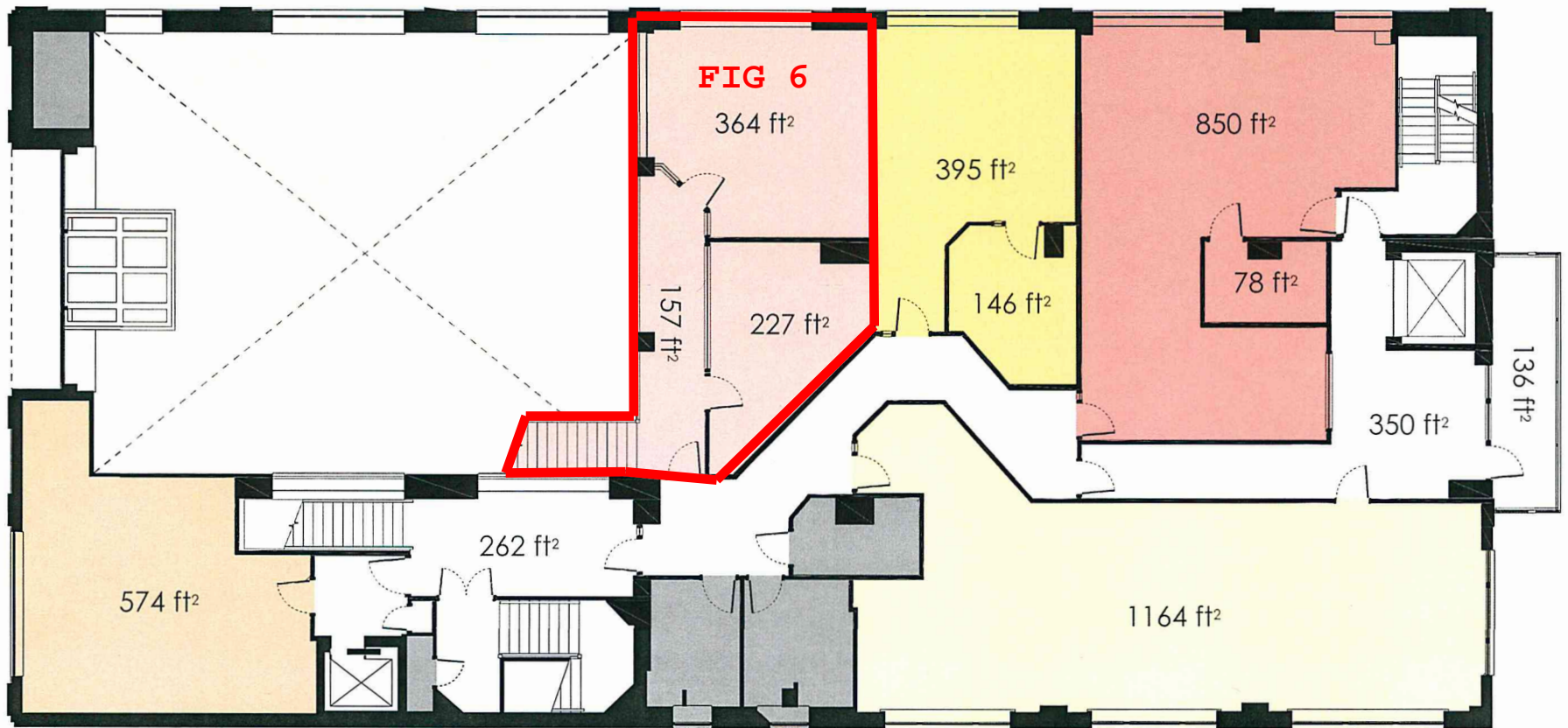
□ 8,587 ft² (Common Spaces)








Morrissey Building First Floor 127 N Wyman St



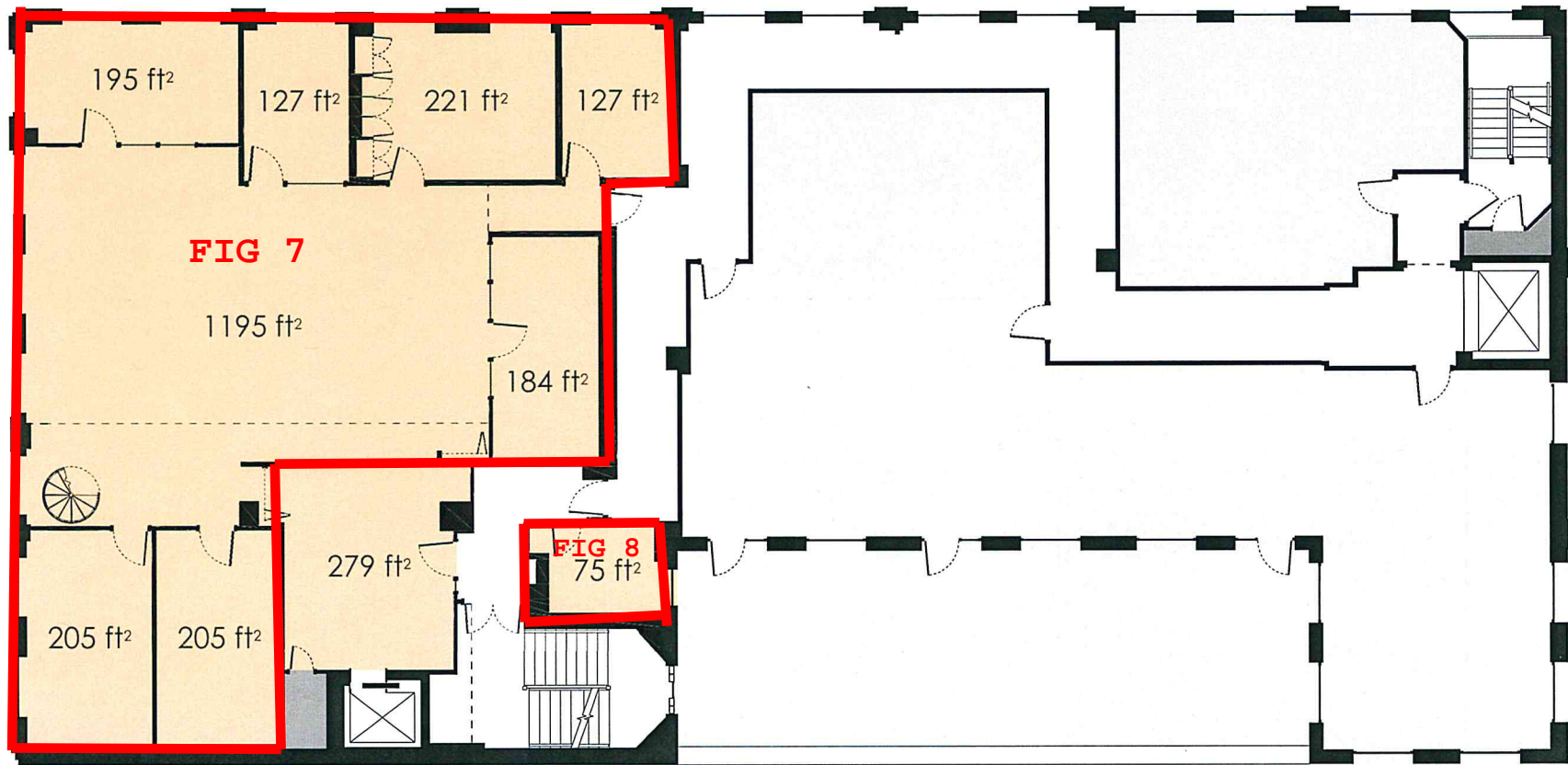
- 219
- 4006 ft²
- 2,289 ft² (3,219 ft² with upper)
- 432 ft² (Service Spaces)
- 1,929 ft² (Common Spaces)

Morrissey Building Mezzanine 127 N Wyman St



- | | | | | |
|--|--|---|---|--|
|  662 ft ² |  1230 ft ² |  1019 ft ² |  605 ft ² |  930 ft ² (3,219 ft ² with lower Space) |
|  363 ft ² (Service Spaces) | |  1,967 ft ² (Common Spaces) | | |

Morrissey Building Second Floor 127 N Wyman St



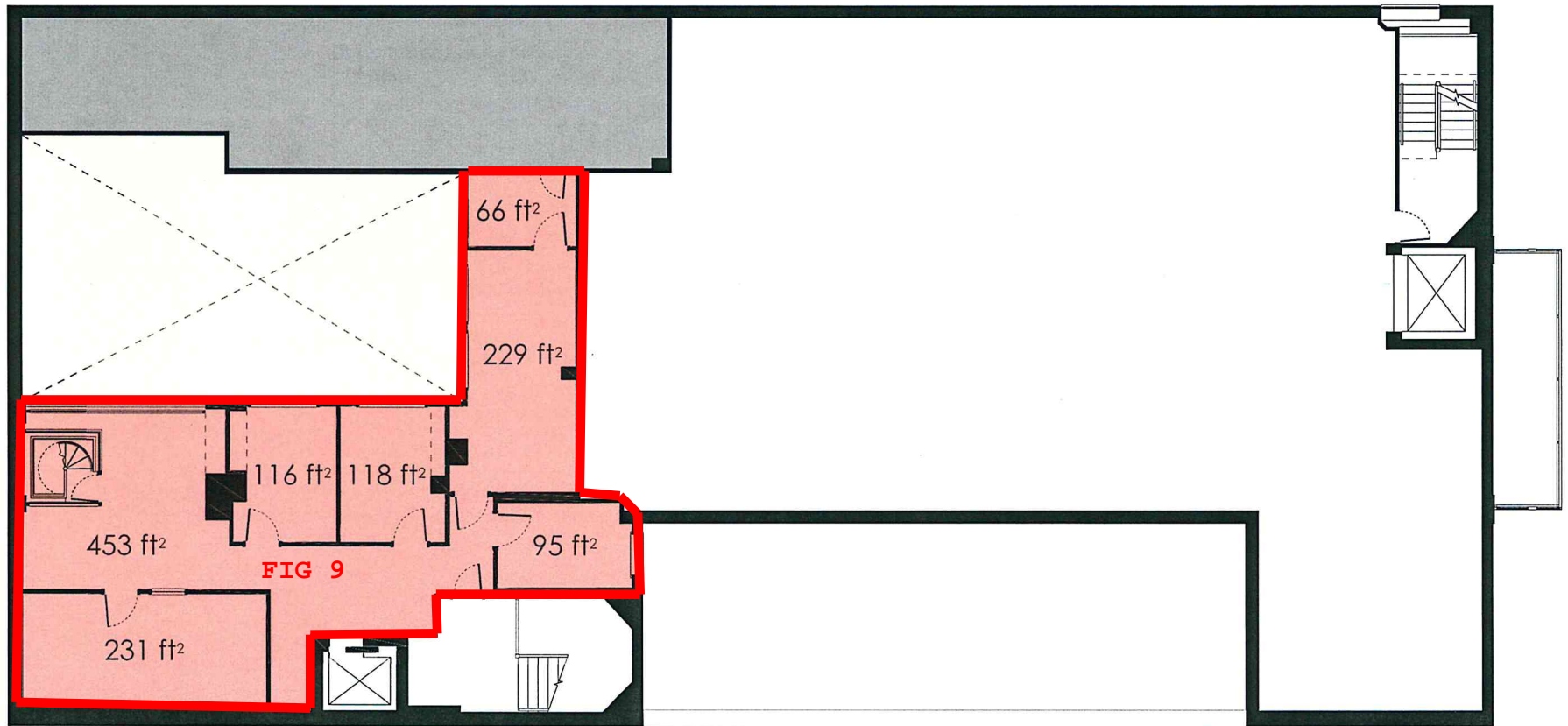
3,078 ft²

4,096 ft² (Residential Spaces)

67 ft² (Service Spaces)

1,692 ft² (Common Spaces)

Morrissey Building Third Floor 127 N Wyman St

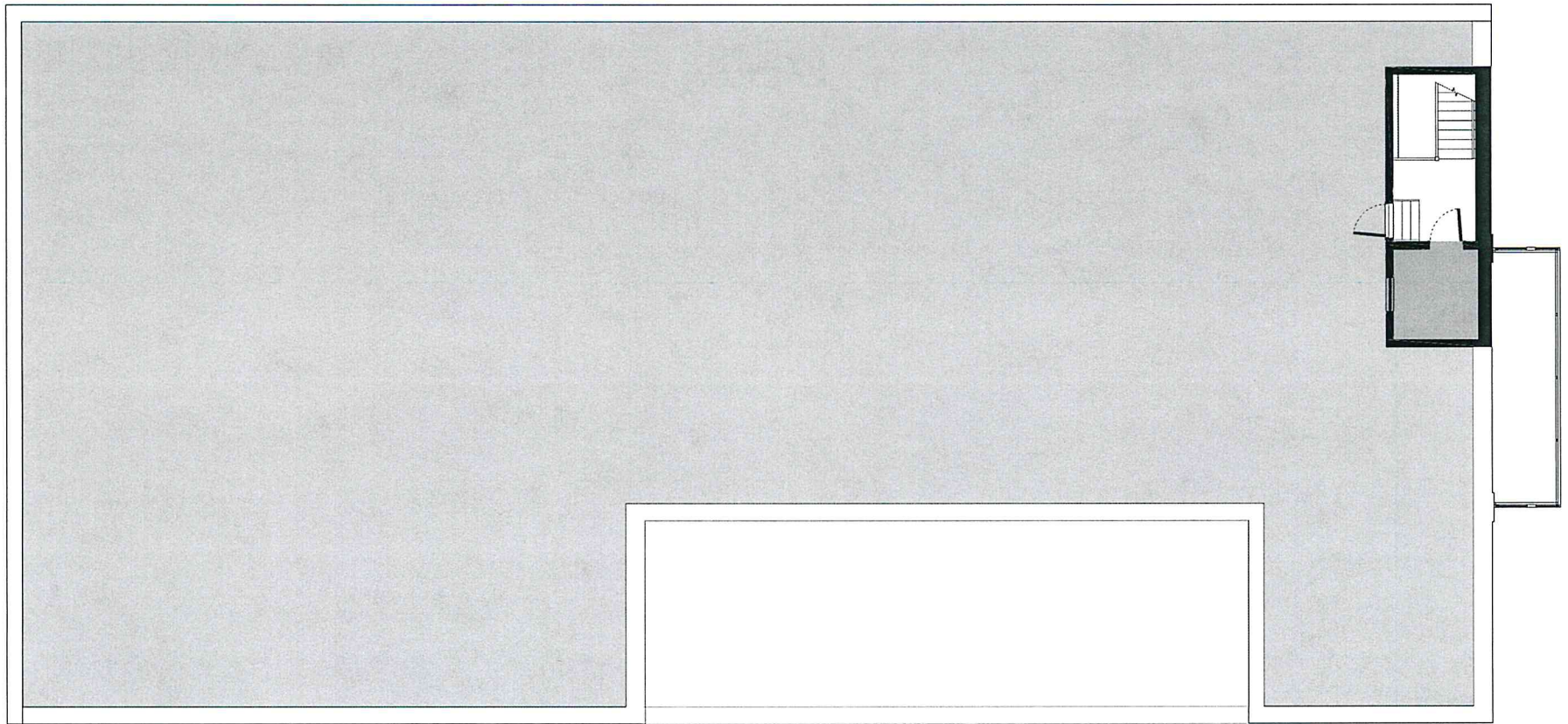


1,593 ft²

865 ft² (Service Spaces)

609 ft² (Common Spaces)

Morrissey Building Roof 127 N Wyman St



■ 92 ft² (Service Spaces)

□ 161 ft² (Common Spaces)

■ 7,776 ft² (Exterior Service Spaces)

Legend	Floor	Occupied By	Sq FT	Comments
<i>Not Shown</i>	Basement-Storage	Region 1	96.00	Closet Space
<i>FIG 1</i>	1st	Region 1	219.00	1st Floor Office
<i>FIG 2</i>	1st	Region 1	80.00	1st Floor Office
<i>FIG 3</i>	1st	Region 1	4,006.00	
<i>FIG 4</i>	1st	Region 1	2,289.00	
<i>FIG 5</i>	1st	Region 1	368.00	Bathroom and Storage Space
<i>FIG 3</i>	1st	Region 1	1,225.00	Includes Floor Plan Space of 349sq ft, remainder is hallway space
<i>FIG 6</i>	Mezz	Region 1	930.00	
<i>FIG 8</i>	2nd	Region 1	75.00	
<i>FIG 7</i>	2nd	Region 1	2,724.00	
<i>FIG 9</i>	3rd	Region 1	1,593.00	
		Total SQ FT	<u>13,605.00</u>	
		Price Per SQ FT	11.39	Per Current Rental Rate



Region 1 Planning Council

RESOLUTION NO. 2025- 02

Mowing Services Vendor Selection

WHEREAS, The Council required a request for proposals for Mowing services and a selection of the Council Staff members performed a comprehensive review and evaluation of Mowing service vendors that submitted proposals; *and*

WHEREAS, after careful consideration and due diligence, the Council’s selection committee recommends the selection of CMM & Associates as the preferred mowing service provider;

NOW, THEREFORE, BE IT RESOLVED, that the selection of CMM & Associates is approved, a copy of the proposal is hereto attached.

BE IT FURTHER RESOLVED, that the Board authorizes the staff of the Council to take any further actions and steps as necessary to implement this resolution and ensure that the mowing services are effectively transitioned to CMM Associates.

We hereby certify the foregoing has been approved by a majority of the Region 1 Joint Regional Planning Commission Board Members on this ____ day of ____, 2025.

REGION 1 JOINT PLANNING COMMISSION

Commission Chair

Commission Vice-Chair



Region 1 Planning Council

RESOLUTION NO. 2025- 03

Personnel and Procurement Policy Updates

WHEREAS, the Board of Commissioners of the Region 1 Planning Council has reviewed the proposed updates to the Region 1 Planning Council Personnel Policy; and

WHEREAS, the Board of Commissioners of the Region 1 Planning Council has reviewed the proposed updates to the Region 1 Planning Council Procurement Policy; and

WHEREAS, it is the finding and conclusion of the Board that the proposed policies, including any Board-Proposed and adopted changes to the draft, meet the needs of Region 1 Planning Council in managing its human resources;

NOW, THEREFORE, BE IT RESOLVED, by the Board of Commissioners of Region 1 Joint Planning Commission, the policies, as updated and attached hereto, are hereby adopted and shall become effective immediately.

We hereby certify the foregoing has been approved by a majority of the Region 1 Joint Regional Planning Commission Board Members on this ____ day of ____, 2025.

REGION 1 JOINT PLANNING COMMISSION

Commission Chair

Commission Vice-Chair



Region 1 Planning Council

RESOLUTION NO. 2025- 04

Consulting Services with Phelps Barry & Associates, LLC dba Fulcrum Government Strategies

WHEREAS, the Commissioners of Region 1 Joint Planning Commission look to enter into an agreement with Phelps Barry & Associates, LLC dba Fulcrum Government Strategies for the purposes of state-level governmental affairs consulting in the State of Illinois; and

WHEREAS, the Commissioners have received and reviewed a draft agreement for such services through May 31, 2025; and

WHEREAS, the goal of the Consulting Services contract would be to secure additional land bank funding for operations, and

WHEREAS, if funding is secured successfully, an extension to the agreement would be considered to ensure funds are efficiently released and available to Illinois land banks; and

WHEREAS, the Council’s responsibilities detailed in the contract will be fulfilled using allowable funding sources.

NOW, THEREFORE, BE IT RESOLVED, that the Consulting Services agreement with Phelps Barry & Associates, LLC dba Fulcrum Government Strategies is approved, a copy of which is hereto attached and made integral and continuing part of this resolution, be amended and approved.

BE IT FURTHER RESOLVED, that these amendments shall be in full force and effect immediately.

We hereby certify the foregoing has been approved by a majority of the Region 1 Joint Regional Planning Commission Board Members on this ____ day of ____, 2025.

REGION 1 JOINT PLANNING COMMISSION

Commission Chair

Commission Vice-Chair



Region 1 Joint Regional Planning Commission

Resolution No. 2025- 05

Authorization to Submit and Administer Rural Business Development Grant

WHEREAS, Region 1 Planning Council is committed to supporting rural economic development and business growth within Northern Illinois; and

WHEREAS, the United States Department of Agriculture (USDA) offers Rural Business Development Grants (RBDG) to assist with the development and expansion of rural economic initiatives; and

WHEREAS, Region 1 Planning Council seeks to apply for funding through the RBDG program to establish a Bioeconomy Development Opportunity (BDO) Zone through the evaluation and certification of the region's readiness for biobased manufacturing as a tool to promote clean energy investment; and

WHEREAS, it is necessary to authorize a representative of Region 1 Planning Council to execute all required documents related to the application, acceptance, and administration of the grant;

NOW, THEREFORE, BE IT RESOLVED, by the Board authorized the Executive Director prepare, submit, and execute all documents necessary to apply for and administer the RBDG grant on behalf of Region 1 Planning Council.

BE IT FURTHER RESOLVED, that the Executive Director is further authorized to sign all agreements, certifications, reports, and other documents required by the USDA or any other relevant agency in connection with the grant.

Passed and approved this ___ day of _____, 2025.

REGION 1 JOINT REGIONAL PLANNING COMMISSION

Commission Chair

Commission Vice-Chair



PERSONNEL POLICY

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151

152 **INTRODUCTION**

153 These Personnel Policies (“Policies”) have been adopted by the Board of Commissioners
 154 (“Board”) of the Region 1 Planning Council (“R1”). These Policies cannot anticipate every
 155 situation that may arise in the work place. For that reason, these Policies address: (1) the basic
 156 and important information employees need to know; and (2) the common, day-to-day issues
 157 employees may experience.

158 R1 retains flexibility when addressing new, unique, or unforeseen situations or opportunities.
 159 These Policies, therefore, are not an employment contract or an employment agreement. They
 160 are merely a guideline to R1’s current employment policies and practices. From time to time, R1
 161 may need to change or proceed differently from these guidelines as the circumstances warrant.
 162 R1 retains the right, therefore, to revise, supplement, rescind or deviate from these Policies as
 163 may be deemed necessary or advisable. This version of the Personnel Policies replaces all prior
 164 versions, and any employment policies applicable to legacy agencies including the City of
 165 Rockford, Rockford Metropolitan Agency for Planning, and Winnebago County.

166
 167 Further, where these Policies address R1’s statutory obligations as an employer (for example,
 168 statutory leaves of absence), it is R1’s intent merely to recite those statutory obligations, if any,
 169 as they may apply to R1. In such cases, it is not R1’s intent to create new or additional obligations
 170 where none may exist by statute.

171
 172 Unless otherwise required by law or contract, employment relationships with R1 are employment
 173 at-will. This means that either employees or R1 can discontinue the employment relationship at
 174 any time for any reason. Nothing in this handbook should be considered as a promise for
 175 permanent employment and no one has the authority to enter into a contract changing the at-
 176 will nature of employment, except the Board. Any such contract, should it exist, must be in
 177 writing.

178

179 **1. EMPLOYMENT PRACTICES**

180 General Policy

181 It is the general policy of R1 to employ the best qualified persons regardless of actual or perceived
 182 race (including traits associated with race, such as hair texture and protective hairstyles), color,
 183 sex, national origin, religion, ancestry, age, disability, pregnancy, marital status, military
 184 discharge status, military status, order of protection status, sexual orientation, genetic
 185 information, citizenship, work authorization status, or other factors prohibited by law, with an
 186 intent to maintain a positive and inclusive workplace. Within the context of this policy, inclusive
 187 means people generally feel welcomed, respected, supported, and valued.

188 This policy applies to all personnel actions and procedures including, but not limited to:
189 recruitment, selection, training, compensation, benefit programs, promotion, demotion,
190 transfer, and termination of employment.

191 Adoption and Amendment

192 The R1 Personnel Policies contained herein have been adopted by the R1 Board of
193 Commissioners. Amendments to these Policies may be proposed by the R1 Executive Director
194 and such amendments shall become effective when approved by the Board.

195 Administration

196 The Executive Director is responsible for the proper administration of the Personnel Policies,
197 utilizing the advice and counsel of third-party experts in the interpretation and administration of
198 these Policies when needed. All employees shall receive a copy of the R1 Policies upon hire, and
199 all employees shall sign a statement acknowledging receipt.

200 Equal Employment Opportunity

201 R1 is an equal opportunity employer. R1 will apply these Policies and will address employment
202 matters without regard to actual or perceived race (including traits associated with race, such as
203 hair texture and protective hairstyles), color, sex, national origin, religion, ancestry, age, disability,
204 pregnancy, marital status, military discharge status, military status, order of protection status,
205 sexual orientation, genetic information, citizenship, work authorization status, or other factors
206 prohibited by law. R1 prohibits discrimination against any person in recruitment, examination,
207 hire, appointment, training, promotion, retention, discipline, dismissal, or any other aspect of
208 personnel administration.

209 Reasonable Accommodation

210 **Disability-Related Accommodation.** Consistent with the requirements of the Americans with
211 Disabilities Act (ADA) and other applicable federal and state laws, R1 will provide “reasonable
212 accommodation” to qualified individuals with disabilities who can otherwise perform the
213 relevant job’s essential functions.

214 When a qualified individual with a disability believes that he or she may be able to perform the
215 job’s essential functions but cannot perform all of the functions without reasonable
216 accommodation, the individual should address such a request in writing to the Executive Director
217 (or designated HR personnel.) Supervisors should also direct any employee communications
218 about accommodations to the Executive Director (or designated HR personnel.) Once a request
219 for a reasonable accommodation has been made, an interactive process with the individual and
220 the necessary external expert(s) will be applied in order to consider the appropriateness of the
221 requested accommodation and whether such an accommodation, or any other alternative
222 accommodation, can be granted without creating an undue hardship to R1.

223 **Pregnancy-Related Accommodation.** For any medical or common condition related to
224 pregnancy or childbirth, R1 will honor employee requests for a reasonable accommodation,

225 unless such accommodation imposes an undue hardship on the ordinary operation of R1
 226 business. Examples of accommodations include:

- 227 • More frequent or longer bathroom breaks;
- 228 • Breaks for increased water intake;
- 229 • Breaks for periodic rest;
- 230 • Private non-bathroom space for expressing breast milk and breastfeeding;
- 231 • Seating;
- 232 • Assistance with manual labor;
- 233 • Light duty;
- 234 • Temporary transfer to a less strenuous or hazardous position;
- 235 • The provision of an accessible worksite;
- 236 • Acquisition or modification of equipment;
- 237 • Job restructuring;
- 238 • A part-time or modified work schedule;
- 239 • Appropriate adjustment or modifications of examinations, training materials, or policies;
- 240 • Reassignment to a vacant position;
- 241 • Time off to recover from conditions related to childbirth; and
- 242 • Leave necessitated by pregnancy, childbirth, or medical or common conditions resulting
 243 from pregnancy or childbirth.

244
 245 Note that an employee may reject an accommodation offered that she does not desire, and
 246 employees may continue working during pregnancy if a reasonable accommodation is available
 247 which would allow the employee to continue performing her job.

248 **Religious Accommodation.** R1 prohibits discrimination based on religious beliefs, observances,
 249 and practices. When employees' religious beliefs interfere with their work schedule, task
 250 assignment, dress code, or other work-related matters, they should immediately contact their
 251 supervisor to discuss the possibility of a reasonable accommodation. R1 will make reasonable
 252 accommodations for religious beliefs, observances, and practices that do not create an undue
 253 hardship for R1 business.

254 Discrimination and Harassment Prevention

255 It is the policy of R1 to maintain an inclusive and safe work atmosphere that is free from unlawful
 256 discrimination or harassment and to insist that all employees be treated with dignity, respect,
 257 and courtesy. It is a violation of these Policies for any employee to harass or discriminate against
 258 another individual in the workplace based upon the person's actual or perceived race (including
 259 traits associated with race, such as hair texture and protective hairstyles), color, sex, national
 260 origin, religion, ancestry, age, disability, pregnancy, marital status, military discharge status,
 261 military status, sexual orientation, genetic information, citizenship, or other factors prohibited
 262 by law. R1 will not condone conduct in the workplace, either on the part of its employees or
 263 members of the public, if that conduct violates the right of someone to be free from unlawful
 264 discrimination or harassment.

265 Cross Reference: Discrimination, Harassment, and Sexual Harassment Prevention Policies under
 266 *Employee Conduct* herein.

267 Pregnancy Discrimination

268 The Illinois Human Rights Act, the Pregnancy Discrimination Act, and other laws make it illegal
 269 for an employer to fire, refuse to hire, or refuse to provide an individual with a reasonable
 270 accommodation because of pregnancy. In addition, R1 will not discriminate against any
 271 employee because of her pregnancy or retaliate against them because they have requested a
 272 reasonable accommodation. Employees may continue working during their pregnancy if a
 273 reasonable accommodation is available which would allow the employees to continue
 274 performing their jobs. For more information on a pregnancy related accommodation, please see
 275 the *Reasonable Accommodation Policy* found in this section.

276 Specifically, the Illinois Human Rights Act makes it illegal to refuse to hire, to segregate, or to act
 277 with respect to recruitment, hiring, promotion, renewal of employment, selection for training or
 278 apprenticeship, termination of employment, discipline, tenure or terms, privileges or conditions
 279 of employment on the basis of pregnancy, childbirth, or medical or common conditions related
 280 to pregnancy or childbirth. Women affected by pregnancy, childbirth, or medical or common
 281 conditions related to pregnancy or childbirth shall be treated the same for all employment-
 282 related purposes, including receipt of benefits under fringe benefit programs, as other persons
 283 not so affected but similar in their ability or inability to work, regardless of the source of the
 284 inability to work or employment classification or status.

285 R1 supports the rights provided under the Illinois Human Rights Act, including the right to be free
 286 from unlawful discrimination and the right to certain reasonable accommodations as listed in
 287 R1's *Reasonable Accommodation Policy*. Should an employee have an issue or concern that falls
 288 under this policy, please contact the Executive Director. Note that this law is also enforced by
 289 the Illinois Department of Human Rights.

290 Genetic Information

291 R1 understands that certain employee information is confidential. For that reason, and in
 292 compliance with the Genetic Information Nondiscrimination Act, R1 will not discriminate against
 293 employees and applicants for employment in hiring, firing, compensation, and other terms and
 294 conditions of employment on the basis of genetic information.

295 R1 also will not request or require an employee to provide genetic information, except: (1)
 296 inadvertently requesting or requiring family medical history; (2) requesting or requiring family
 297 medical history for purposes of complying with certification requirements of the Family and
 298 Medical Leave Act or state family and medical leave laws; or (3) genetic monitoring of the
 299 biological effects of toxic substances in the workplace, when required to do so by law.

300 Recruitment, Selection, and Disqualification of Applicants

301 R1, as an equal opportunity employer, will employ the best qualified person(s) to fill positions, in
 302 accordance with the R1 Equal Employment Opportunity Policy. Consideration of an applicant for
 303 employment will be based on the applicant’s overall qualifications for a given position.

304 **Recruitment.**

305 *Job Description.* Prior to commencing the recruitment process for any new or open position, the
 306 work responsibilities shall be reviewed by the position’s supervisor and the Executive Director to
 307 ensure the written job description clearly reflects the current responsibilities and necessary
 308 qualifications for the position.

309 *Process.* Recruitment begins with the announcement of a new or vacant position. This is done
 310 by posting the vacancy with a description of position on R1’s website and/or job site linked to the
 311 R1 website. R1 may also utilize other agencies and vehicles for advertising employment
 312 opportunities. R1 employees interested in a posted position must submit an application, as
 313 specified in the job posting.

314 **Disqualification of Applicants.** R1 may disqualify or reject an applicant, or withdraw an offer of
 315 employment from any applicant for any reason including but not limited to any of following:

- 316 • the applicant’s employment application indicates that he or she does not have the
 317 minimum qualifications for the position, or a determination is made at any step in the
 318 selection process that the applicant does not have the necessary qualifications;
- 319 • the applicant is unable to perform the essential functions of the position with a
 320 reasonable accommodation;
- 321 • the applicant makes false, fraudulent, or deceptive statements during the application
 322 process;
- 323 • the applicant fails to respond to R1 correspondence or fails to keep a scheduled interview
 324 or appointment without an acceptable reason, as determined by R1;
- 325 • the applicant refuses to authorize the disclosure of information pertinent to the hiring
 326 process or refuses to authorize a background or other required check;
- 327 • the applicant’s reference and background checks do not meet R1 criteria (administered
 328 within the parameters of 775 ILCS 5/Illinois Human Rights Act);
- 329 • the applicant has been previously discharged from R1 or one of its legacy organizations;
- 330 • the applicant fails a drug test (administered consistent with the Drug-Free Workplace Act
 331 of 1988, as a recipient of federal funding.)

332
 333 **Selection.** The selection of the successful candidate will be made jointly by the position’s
 334 supervisor and the Executive Director, with counsel from a contracted Human Resources agency
 335 when called upon to assist.

336 Prior to being hired, applicants who are being considered for an employment offer or who have
 337 been extended an employment offer will be required to undergo reference checks and/or other
 338 background checks depending on the position.

339 R1 will present a written offer of employment to the applicant selected for the position. This
 340 written offer does not constitute an employment contract inferring employment for a definite
 341 period (in that employment remains at-will.) A drug test shall be administered to any applicant
 342 who has been extended an offer of employment. Unless otherwise approved by R1, the drug test
 343 must be completed within 36 hours of the order being placed with the testing facility.

344
 345 Employment of Relatives

346 Two members of an immediate family or civil union relationship shall not be employed by R1
 347 under the same immediate supervisor, nor shall any R1 employee directly supervise any member
 348 of their immediate family, civil union, or romantic relationship.

349 Employment Status (Definitions)

350 For purposes of application of the leave policy and other fringe benefits, employees are defined
 351 as:

- 352 • Regular Full-Time Employees: A person who is scheduled to work a regular schedule of 40
 353 hours per week (or more in the case of salaried/exempt employees.)
- 354 • Regular Part-Time Employees: A person who is scheduled to work less than 40 hours per
 355 week.
- 356 • Temporary Employees: A person hired to work a full-time or part-time schedule for a
 357 limited period of time.
- 358 • Salaried Employee: A person whose rate of pay is based on an annual salary (also referred
 359 to as FLSA exempt employees).
- 360 • Hourly Employee: A person whose rate of pay is based on an hourly rate (also referred to
 361 as an FLSA non-exempt employee).
- 362 • Exempt: An employee who is a “bona fide” executive, administrative, or professional
 363 employee as defined by the Fair Labor Standards Act; such employees are exempt from
 364 minimum wage and overtime compensation provisions of the Act. R1 observes the
 365 Department of Labor “salary basis” regulations that provide (with limited exceptions) that
 366 exempt employees must receive their full weekly salary not subject to reduction because
 367 of variations in the quality or quantity of the work performed. Improper deductions from
 368 an exempt employee’s salary are prohibited. If an exempt employee believes he or she
 369 has been subject to an improper deduction, the employee is encouraged to contact the
 370 Executive Director. Exempt employees will be reimbursed for any improper deductions.
- 371 • Non-exempt: An employee who is covered under the minimum wage and overtime
 372 provisions of the Fair Labor Standards Act and therefore not exempt.

373

374 Drug Testing

375 R1 will not tolerate drug or alcohol use or abuse by an employee during work hours.

376 **Prohibitions.** R1 prohibits employees from:

- 377 • selling, manufacturing, distributing, possessing, dispensing, or being under the influence
- 378 of drugs or alcohol on R1 property, or while performing R1 work duties—under the
- 379 influence of alcohol shall mean a detectable blood alcohol concentration of .02 or greater;
- 380 • switching, altering, or adulterating any sample submitted for testing in accordance with
- 381 this policy; or
- 382 • conviction of any drug or alcohol related offenses prohibited under state or federal law.

383
 384 **Testing.** R1 may require drug and/or alcohol testing of employees under certain circumstances.
 385 If R1 has a reasonable suspicion that an employee's job performance or conduct is being affected
 386 by the use or abuse of drugs and/or alcohol, or that the employee is under the influence of such
 387 substances while in the place of employment or outside of the workplace while performing work,
 388 R1 may require drug and/or alcohol testing. The factors considered in developing a reasonable
 389 suspicion may include changes in work performance, changes in on-the-job behavior, an on-the-
 390 job accident, changes in personality, or other factors indicating drug and/or alcohol use or abuse.

391
 392 **Testing Abnormalities.** In some cases, a drug test will come back negative, but will have an
 393 abnormality so that the test cannot be considered valid. If a drug test shows an abnormal result,
 394 R1 may require a re-test.

395
 396 **Lack of Cooperation with the Employee Assistance Program.** Drug-free counseling is available
 397 to employees under the R1's Employee Assistance Program. Compliance with a drug and/or
 398 alcohol treatment program under the Employee Assistance Program may be mandated by R1 as
 399 a condition of continuing employment. Failure to cooperate with R1's Employee Assistance
 400 Program may result in discipline up to and including dismissal.

401
 402 **Medical Cannabis Laws.** We will not penalize employees solely for their status as a registered
 403 qualifying patient under Illinois's medical marijuana laws, unless failing to do so would put us in
 404 violation of federal law or unless failing to do so would cause us to lose a monetary or licensing-
 405 related benefit under federal law or rules. No employee, however, may possess or use medical
 406 marijuana on work time or on our premises, including all vehicles, unless allowed by law. In all
 407 other respects, we expect employees to abide by this policy, including the requirement not to be
 408 under the influence at work.

409
 410 **Recreational Cannabis.** Certain use and possession of marijuana may be legal under Illinois law.
 411 *Marijuana use, however, remains subject to prohibitions in this policy.* Marijuana is an illegal drug
 412 under federal law. We will continue to prohibit the possession, use, manufacture, or distribution

413 of marijuana on our premises, and/or while on work time, or while on-call. Our policy will also
 414 continue to prohibit employees from being impaired while on our premises, and/or while on
 415 work time, or while on-call. Further, we will not allow marijuana usage where failing to do so
 416 would put us in violation of federal law, or if failing to do so would: impact our ability to comply
 417 with federal or State law; cause us to lose a federal or State contract or funding; or lose other
 418 monetary or licensing-related benefit under federal law or rules.

419
 420 **Alcohol Use at Social Functions.** We recognize that in connection with social functions at which
 421 alcoholic beverages are served, the consumption of alcohol by our employees may be
 422 appropriate. Employees are reminded, however, of the following obligations in connection work-
 423 related alcohol usage.

- 424 • Employees are not to consume alcohol while on work premises unless in connection with
- 425 an explicitly sanctioned activity at which alcohol is being served.
- 426 • Employees are reminded that at all times they represent R1 and, therefore, your
- 427 consumption of alcohol at work-related events should not conflict with generally
- 428 accepted norms and/or standards of conduct.

429
 430 Introductory Employment Period

431 Each new R1 employee will be considered to be in their introductory period for the first six (6)
 432 months of employment. During the employee's introductory period, R1 shall be the sole and
 433 exclusive judge of the employee's qualifications for, and the ability to adequately perform the
 434 essential functions of their position with any required reasonable accommodation. R1 shall be
 435 the sole and exclusive judge in deciding whether to continue the employment relationship at the
 436 completion of the introductory period. During the introductory period, employees shall be
 437 subject to dismissal without recourse to the problem resolution procedures set forth in these
 438 Policies.

439 Employees will not be entitled to benefits until the first day of the month following the month of
 440 their hire. The successful completion of the introductory period does not change the at-will
 441 nature of the employment relationship.

442 Promotions, Demotions, Transfers, and Grant Funded Positions

443 **Promotions.** When an employee has developed skills and abilities consistent with a higher
 444 position and their supervisor or the Executive Director has evaluated the employee's merit for
 445 promotion to a higher position, the Executive Director may promote an employee. Promotions
 446 are not guaranteed in any circumstance and all promotion decisions are made by the Executive
 447 Director at their sole discretion.

448 It is R1's desire to promote its employees to new or vacant positions whenever possible. It is the
 449 responsibility of the individual employee to take the initiative in applying for an open position by
 450 submitting the necessary application materials. In addition, based on an employee's professional

451 development and initiative to assume higher responsibilities, a merit promotion could be
 452 considered, but is not guaranteed.

453 **Demotions.** Employees may be demoted for performance issues or to meet the business needs
 454 of R1. Employees who have been demoted either for performance concerns or because of R1
 455 reorganization will be moved to the appropriate position. Compensation will be adjusted as
 456 appropriate for the new position.

457 **Transfers.** With approval from the Executive Director, an employee may be transferred by their
 458 supervisor at any time from one position to another of the same job classification. A transfer
 459 shall not be used to promote or demote an employee, nor shall an employee be transferred to a
 460 position for which the employee is not qualified.

461 **Grant Funded Positions.** The longevity, tenure, and compensation of R1 positions funded by
 462 grants will be determined by the grant’s ability to pay and sustain the position and the business
 463 needs of R1. There shall be no guarantee of employment beyond the term of grant funding.

464 Performance Management

465 Performance management is a method of measuring an employee's past performance over a
 466 certain period of time and identifying future performance expectations. Ideally, employees
 467 should receive feedback from their supervisor on an ongoing basis regarding conduct,
 468 performance, and areas of improvement. While this may often be done informally, at certain
 469 times it is desirable to have a written evaluation of an employee in order to document past
 470 performance, identify strengths and deficiencies, establish performance objectives to guide
 471 future actions, provide a basis for merit salary increases and other personnel actions, and focus
 472 attention on the individual's career development.

473 **Performance Evaluations.** Performance evaluations will take into consideration factors such as
 474 an employee's productivity, work quality, initiative, skill development, judgment, dependability,
 475 and progress made toward goals. All R1 employees will be evaluated at least annually, by June
 476 30th. Additional reviews may be conducted at the discretion of R1 to give guidance, address
 477 performance issues, or commend employees for outstanding work.

478 To have beneficial results, the performance management process must actively involve the
 479 employee and the supervisor. The supervisor should meet with the employee to discuss their
 480 performance evaluation and future expectations. During performance evaluation, the employee
 481 will be afforded the opportunity to provide their input and include their written comments in the
 482 review.

483 **Pay for Performance.** R1 believes in rewarding its employees for strong performance. To support
 484 this philosophy, R1 may give employees an annual merit raise based on their performance,
 485 provided the Board approves the funds to do so. Salary opportunity will be related to the quality
 486 of individual performance as determined by the supervisor and Executive Director, and as

487 documented as part of the employee performance evaluation. The Executive Director also has
 488 the discretion to provide a merit raise to an employee at a time other than during the annual
 489 review process if warranted. Employees are not guaranteed salary increases at any time.

490 Disciplinary Action

491 All R1 employees are subject to disciplinary action for misconduct, incompetency, inefficiency,
 492 poor job performance, insubordination, failure to comply with R1 policies, excessive absence
 493 without leave, and other conduct reflecting negatively on R1 or the employee’s job performance.
 494 Disciplinary action may take the form of verbal or written warning, suspension with or without
 495 pay, demotion, or termination of employment.

496 **Progressive Discipline.** R1’s interest lies in ensuring fair treatment of all employees and in
 497 making certain that disciplinary actions are prompt, uniform, and impartial. The primary purpose
 498 of most disciplinary action is to correct the problem, prevent recurrence, and prepare the
 499 employee for satisfactory service in the future.

500 Depending on the severity of the problem and the number of occurrences, disciplinary action
 501 may call for any of four steps: verbal warning, written warning, suspension with or without pay,
 502 and/or termination of employment. R1 will attempt to follow a progressive disciplinary process
 503 when possible and appropriate. Progressive discipline means that, with respect to most
 504 disciplinary issues, these steps will normally be followed: a first offense may call for a verbal
 505 warning; a next offense may be followed by a written warning; and, still another offense may
 506 then lead to suspension or termination of employment. However, there may be circumstances
 507 when one or more steps are bypassed. Further, there are certain types of employee conduct that
 508 are serious enough to justify immediate suspension or termination of employment without going
 509 through disciplinary steps. R1 may use progressive discipline at its sole discretion.

510 **Examples of Cause for Disciplinary Action.** Below are examples of conduct that may result in
 511 discipline, up to and including termination of employment. The list is not intended to be
 512 exhaustive and R1 may impose discipline, up to and including termination of employment, for
 513 other violations of policy or unacceptable conduct not listed below. These examples are provided
 514 to help make employees aware of the types of conduct and levels of work performance that are
 515 unacceptable. Common sense and the best interests of R1, however, must also be guides.

516 Employees with questions should contact their supervisor.

- 517 1. Poor work quality, productivity, work habits, or attitude in the performance of assigned
 518 duties and responsibilities.
- 519 2. Violation of any of R1 Policies.
- 520 3. Insubordination, including refusal to work on an assigned job, refusal to comply with
 521 instructions, or refusal to comply with R1 policies.
- 522 4. Unreported or excessive absence.
- 523 5. Violating criminal laws on R1 premises or while performing R1 duties.

- 524 6. Being convicted of a felony or crime that reflects negatively on an employee's
- 525 trustworthiness or dedication to personal safety, or that reasonably may be expected to
- 526 damage R1's reputation in the community.
- 527 7. Threatening, intimidating, abusive, violent, or otherwise harassing conduct.
- 528 8. Gambling or possessing a weapon or ammunition on R1 premises.
- 529 9. Falsifying, improperly altering, storing or disposing of R1 records.
- 530 10. Refusing to cooperate with R1 investigations, or providing false information during or
- 531 otherwise interfering with an investigation.
- 532 11. Drinking alcohol and/or the use of controlled substances on the job or reporting to work
- 533 under the influence of alcohol and/or a controlled substance.
- 534 12. Unauthorized or inappropriate use of R1's communication and computer systems.
- 535 13. Solicitation or acceptance of money or anything of value to influence decisions in R1
- 536 matters or as a reward for such decisions.
- 537 14. Dishonesty, fraud, or theft.
- 538 15. Misappropriation, destruction, or theft of R1 property.
- 539 16. Off-duty misconduct that interferes with the employee's job performance or negatively
- 540 impacts or reflects upon R1.

541 Separation from Service

542 All separating employees must return to R1 any keys, equipment, building passes, and other R1
543 property in the employee's possession or control.

544 **Termination.** Unless there is a statute, ordinance, or written contract to the contrary, R1
545 employees may be terminated from employment with or without reason, notice, or cause.
546 Terminated employees who have completed their introductory period may use the *Problem*
547 *Resolution Procedure* in this section to appeal termination (below). Terminated employees start
548 at step two of the procedure.

549 **Layoff.** A layoff is defined as a separation from the service of R1 because of a shortage of funds
550 or materials, budgetary constraints, decreases in staffing levels, or for other reasons as
551 determined by R1, not due to the affected employee's actions or circumstances. R1, acting
552 through its Executive Director, reserves the discretion to determine the necessity for and
553 implementation of a layoff in the R1 workforce. The Executive Director shall take into account
554 the needs of the organization, capabilities of all staff, and the resources that are available to
555 address those needs in making any decision regarding layoffs.

556 Severance pay is not guaranteed to employees who are laid off; the decision to offer severance
557 pay and any amounts offered will be at R1's sole discretion.

558 Employees scheduled to be laid off may be considered for transfer to any vacant position(s) which
559 might exist, provided they possess the necessary qualifications for such position(s).
560 Compensation will be adjusted as appropriate for the transfer to a new position.

561 **Resignation.** Employees who wish to resign in good standing must give their supervisor a
 562 minimum of 14 calendar days' notice to ensure orderly transition. Resignation notices should be
 563 in dated, written form, and include the reason(s) for and effective date of resignation. No accrued
 564 leave may be used by the employee during this notice period without prior approval of the
 565 supervisor.

566 Employees who voluntarily leave R1 may be asked to participate in an exit interview. This session
 567 is used to obtain feedback - both positive and negative - from the employee about the reason(s)
 568 for leaving, supervision, working conditions, policies, procedures, and fringe benefits of R1.

569 **Retirement.** Retirement is the voluntary termination of employment by an individual qualified
 570 for pension benefits. Terms of retirement are subject to the current rules established by Illinois
 571 Municipal Retirement Fund (IMRF) as they may exist at the time. Barring unforeseen
 572 circumstances, an employee is required to give a minimum of thirty (30) calendar days' notice of
 573 retirement. This notice shall be in writing and shall state the effective date of retirement.

574 **Termination after Three Month Absence.** Unless on an approved FMLA or Personal Leave of
 575 Absence (as defined herein), an employee who has been absent from work for any reason(s) for a
 576 period exceeding 12 weeks will be terminated from employment, subject to R1's *Reasonable*
 577 *Accommodation Policy*.

578 **COBRA Health Insurance Continuation.** Pursuant to federal law, R1 will offer health care
 579 continuation coverage to employees and employees' dependents who would lose coverage
 580 under the R1's health insurance plan due to certain "qualifying events" including: death of an
 581 employee; termination of employment; reduction of hours; divorce, legal separation, and loss of
 582 dependent status. Eligible employees and dependents include only those who are covered by
 583 the health plan at the time of qualifying event.

584 Problem Resolution Procedure

585 On occasion, a dispute, difference, or question may arise between an R1 employee and their
 586 supervisor or co-worker concerning an employment-related issue. It is R1's desire to resolve
 587 issues as they arise and try to arrive at a fair and equitable resolution.

588 To alleviate problems, air grievances, and resolve differences of opinion relating to employment,
 589 employees are encouraged to discuss these matters with their supervisor. This communication
 590 should resolve most issues.

591 If an employee feels that a satisfactory resolution has not been achieved by discussing the issue(s)
 592 with their supervisor, the employee should meet with the Executive Director (or designated
 593 internal HR personnel) and attempt to resolve the issue(s).

594 If these attempts do not resolve the issue(s), employees are encouraged to follow this Problem
 595 Resolution Procedure. The procedure does not apply to new employees during their initial
 596 introductory period.

Employees with discrimination or harassment concerns should follow the procedure contained in the *Discrimination, Harassment, and Sexual Harassment Prevention Policies*, found in these Policies.

597 No employee shall be disciplined or discriminated against in any way because of their proper use
 598 of this problem resolution procedure.

599 **Step One.** Only after good faith open door discussions with the supervisor and Executive Director
 600 (or designated internal HR personnel) have not resulted in a resolution to the issue, an employee
 601 may initiate the problem resolution process by reducing the problem to writing and presenting
 602 the issue to the Executive Director. If discussions have not occurred with the immediate
 603 supervisor and Executive Director, step one may be delayed until after such discussions have
 604 occurred.

605 The written presentation of the issue to the Executive Director must:

- 606 1. Set forth the facts of the issue.
- 607 2. Set forth the resolution desired.
- 608 3. Address only one issue (per written submission).
- 609 4. Be signed by the employee.

610 The employee will continue to perform their assigned duties while the issue or problem is being
 611 considered and addressed.

612 The Executive Director (or designee) will investigate the problem and will prepare a written
 613 response to the employee.

614 **Step Two.** If the written response of the Executive Director to the employee in Step One is not
 615 satisfactory, the employee may request in writing that the issue or problem be presented in
 616 writing to the “third-party” human resources consultant and/or labor counsel contracted by R1.
 617 This request will be acknowledged in writing by R1 providing the employee notice of third-party
 618 engagement, consistent with 820 ILCS 40/7 (1) Personnel Records Review Act.

619 The third party shall discuss the matter with the employee and other employees as necessary to
 620 fully review the employee's issue. The third party shall then decide with regard to the issue. The
 621 decision shall be final.

622 Copies of the employee's statement and the written answers will be maintained in their
 623 personnel file. No employee may be retaliated against in any way for utilizing the Problem
 624 Resolution Procedure. Grievances and complaints will be kept confidential to the extent feasible.

625 Although R1 will make all possible attempts to follow the above Problem Resolution Procedure,
 626 R1 may skip certain steps of the procedure as it deems necessary in its sole discretion, based on
 627 the facts and circumstances presented.

628 Access to Personnel Records

629 To the extent required by 820 ILCS 40/ Illinois Personnel Record Review Act, employees have the
 630 right to review certain information in their personnel records. A request to review one’s record
 631 must be made in writing to the Executive Director. Employees may not remove the file or its
 632 contents from the R1 office.

633 Training

634 It is the policy of R1 to provide its employees with relevant training and educational opportunities
 635 to enable them to achieve and sustain a high standard of work performance, and to meet
 636 particular training obligations required by law or contract.

637 All employees are encouraged to increase their skills and job potential through participation in
 638 voluntary training and educational programs. Conferences, seminars, and workshops shall be
 639 utilized to the maximum extent appropriate and possible within budget constraints.

640 Attendance at and/or completion of mandatory training is considered part of the employee’s
 641 work schedule. R1 will specify when such training is required.

642 Attendance at Professional Conferences, Workshops, and Meetings

643 All participation in job-related seminars, professional conferences, workshops, and third-party
 644 meetings shall be approved in advance by the employee’s supervisor. Attendance may be
 645 approved by the supervisor when (a) sufficient funds are available; (b) workload permits time for
 646 conference attendance; (c) attendance will contribute to the professional growth of the
 647 employee as aligned to organizational goals; and (d) the Executive Director has approved the
 648 request.

649 Expenses for necessary lodging, meals, travel, and registration will be covered by R1 at the
 650 approved participation levels and in accordance with the *Travel and Expense Reimbursement*
 651 *Policy* section of these Policies. Time required to attend seminars, professional conferences,
 652 workshops, and third-party meetings will be afforded employees as part of their work schedule.
 653 Compensation for time spent working during travel shall comply with the Fair Labor Standards
 654 Act.

655 License or Membership Dues

656 At the discretion of the Executive Director, R1 may reimburse certification/license or
 657 membership dues. An employee is not eligible for license or membership reimbursement until
 658 the completion of their introductory period of employment.

659 **2. EMPLOYEE CONDUCT**

660 R1 recognizes the importance of providing efficient and effective service to its member
 661 governments and agencies, as well as upholding the public trust and confidence. To that end, it
 662 is the policy of R1 to require its employees to maintain high standards of honesty, integrity, and
 663 conduct—both as public employees and as citizens of the region. Employees are expected to be
 664 responsible for and not misuse R1 property, equipment, and supplies. R1 employees shall also
 665 exercise courtesy, diplomacy, and tact in dealing with fellow workers, government officials, and
 666 the public.

667 Code of Conduct

668 R1 employees are responsible for carrying out their duties in a manner that contributes to a
 669 positive and productive work environment and further achieves R1’s goals and objectives.
 670 Employee behavior should reflect favorably on R1 and serve the public interest as opposed to
 671 individual interest.

672 **Conflict of Interest.** Employees may not solicit, obtain, accept, or retain any personal benefit
 673 from any supplier, vendor, customer/client, individual, or organization doing or seeking business
 674 with R1. This means that an employee may not maintain an outside business or financial interest
 675 or engage in any outside business or financial activity that conflicts with the interests of R1 or
 676 interferes with the employee’s ability to fully perform their job responsibilities. Employees may
 677 not benefit directly or indirectly from a third party who furnishes products, materials, or services
 678 to R1.

679 **Misrepresentation.** R1 employees are required to present themselves with the highest level of
 680 professionalism and courtesy. Employees must not misrepresent R1 policies, nor should they
 681 misrepresent their status and authority to enter into agreements on behalf of the organization.
 682 Employees are prohibited from using R1’s name, likeness, facilities, assets, or other resources or
 683 using the authority of their position with R1 for personal gain or private interests.

684 **Gifts and Gratuities.** R1 employees may not receive, give, pay, promise, or offer to suppliers or
 685 agents anything of value for the purpose of securing or appearing to secure preferential
 686 treatment. “Suppliers or agents” includes owners and employees of suppliers or agents, as well
 687 as members of their family.

688 Ethics Policy

689 **Purpose.** The purpose of this Ethics Policy is to:

- 690 1. define employee responsibility for reporting wrongful conduct;
- 691 2. establish procedures for employees to address wrongful conduct;
- 692 3. protect any employee who engages in good faith reporting of alleged wrongful conduct;
- 693 and

- 694 4. establish employee obligation to act consistently with the parameters set forth in 5 ILCS
695 430/ State Officials and Employee Ethics Act.

696 **Wrongful Conduct.** It is a violation of R1 policy for any employee to receive or use R1 resources
697 for non-R1 purposes, for personal gain, or unlawfully. Wrongful conduct can include:

- 698 1. a serious violation of R1 policy;
699 2. a violation of applicable state or federal law, regulation, or rule;
700 3. embezzlement or other financial misconduct; or,
701 4. fraudulent or gross misuse of R1 property, resources, or authority.
702 5. theft, misappropriation, or destruction of R1 resources;
703 6. forgery, falsification, or alteration of documents;
704 7. improprieties/misrepresentation in the handling or reporting of money or financial
705 transactions;
706 8. authorization or receipt of payment for goods not received or services not performed;
707 9. accepting or offering bribes, kickbacks, or rebates; or
708 10. actions relating to concealing or perpetuating the above-mentioned activities.

709 **Supervisor Responsibility Regarding Wrongful Conduct.** Employees who are supervisors are
710 responsible for attempting to detect fraudulent activities or misconduct by the employees they
711 supervise. Each supervisor should be familiar with the types of improprieties that might occur in
712 their area and be alert for any indication that improper or dishonest activity is or has taken place.
713 When dishonest or improper activity is detected or suspected, the supervisor should determine
714 whether an error or misunderstanding has occurred or whether possible fraud exists and the
715 matter must be reported to the Executive Director.

716 **Employee Responsibility Regarding Wrongful Conduct.** R1 employees have a duty to report the
717 wrongful conduct of fellow employees, including supervisors. Any employee who has knowledge
718 of a specific act that the employee in good faith believes constitutes wrongful conduct must
719 report the conduct to their supervisor or any appropriate member of management. If the
720 wrongful conduct involves the employee's supervisor, the disclosure may be made to another
721 supervisor or the Executive Director. If the wrongful conduct involves the Executive Director, the
722 disclosure should be made to the Board Chair or Vice Chair.

723 Once a matter has been reported, the reporting employee shall refrain from further involvement
724 unless directed by R1. Employees are required to cooperate with R1 and law enforcement
725 agencies in the detection, reporting, and investigation of wrongful conduct.

726 **Confidentiality.** In matters of wrongful conduct that have been reported by employees, R1 will
727 make all reasonable efforts to respect the confidentiality of the employee making the report as
728 long as maintaining confidentiality does not interfere with conducting an investigation, taking
729 corrective action, or in circumstances when:

- 730 1. the employee agrees to be identified;
731 2. identification is necessary to allow R1 or law enforcement officials to investigate or
732 respond effectively to the report;

- 733 3. identification is required by law; or
- 734 4. the accused person(s) is entitled to the information in a disciplinary proceeding.

735 Where findings are required to be reported to any outside agency or entity, findings will be timely
736 reported.

737 **False Allegation.** Any employee who knowingly provides false information, or makes a knowingly
738 false report of wrongful conduct or false report of retaliation will be subject to disciplinary action
739 up to and including termination.

740 Whistleblower Policy

741 **Retaliation Prohibited.** Retaliation is defined as reprimand, discharge, suspension, demotion, or
742 denial of promotion or transfer, or change in the terms and conditions of employment that occurs
743 in retaliation for an employee's good faith report of wrongful conduct by another R1 employee.

744 R1 prohibits retaliation against any employee who in good faith makes a complaint, raises a
745 concern, or assists in an investigation or proceeding regarding any conduct the employee or
746 others reasonably believe to be a violation of this or other R1 policies (including the
747 *Discrimination and Harassment Prevention* and related policies), or a violation of law, rule, or
748 regulation. R1 prohibits retaliation even if complaints are later determined to be unfounded.

749 If employees believe they have been retaliated against, that any other violation of this policy has
750 occurred, or employees have questions concerning this policy, they are encouraged to contact
751 the Executive Director. R1 or its designee will investigate all complaints of retaliation and will
752 take appropriate corrective action against any employee who engages in retaliation, up to and
753 including dismissal.

754 Discrimination and Harassment Prevention Policy

755 **General Policy.** All employees are responsible for assuring that the workplace is free from
756 discrimination and harassment based on an employee's race, color, sex or gender, national origin,
757 religion, ancestry, age, disability, pregnancy, marital status, military discharge status, military
758 status, order of protection status, sexual orientation, genetic information, citizenship, or other
759 factors prohibited by law. All employees must be familiar and comply with this policy prohibiting
760 unlawful discrimination and harassment in the workplace.

761 This policy prohibits any R1 employee or member of the public conducting business with R1
762 employees from discriminating against or harassing an employee and from creating a hostile
763 work environment for an employee.

764 Likewise, it is a violation of this policy for an employee to harass non-employees on our premises
765 or during work related functions. Non-employees include individuals performing services for R1,
766 such as contractors and consultants.

767 Unlawful discrimination or harassment in any form by any employee or other person interacting
 768 with an employee will not be tolerated. All R1 supervisors are responsible for preventing and
 769 eliminating harassment in their respective work areas.

770 **Discrimination.** Discrimination, for the purposes of this policy, is defined as any action affecting
 771 the terms and conditions of employment that is taken against an employee because of the
 772 person's race, color, sex, national origin, religion, ancestry, age, disability, pregnancy, marital
 773 status, military discharge status, military status, order of protection status, sexual orientation,
 774 genetic information, citizenship, or any other characteristic protected by law. Discrimination also
 775 includes any such action taken against an employee because the person associates with another
 776 person of a certain race, color, sex, national origin, religion, ancestry, age, disability, pregnancy,
 777 marital status, military discharge status, military status, order of protection status, sexual
 778 orientation, genetic information, citizenship, or any other characteristic protected by law.

779 Forms of discrimination can include improper discipline, discriminatory hiring or promotion
 780 decisions, inequities in salary, benefits, or accommodations, as well as any other action or
 781 inaction by another which adversely affects the terms or conditions of employment.

782 **Unlawful Harassment.** This policy prohibits slurs or other verbal or physical conduct relating to
 783 an individual's race (including traits associated with race, such as hair texture and protective
 784 hairstyles), color, gender, national origin, religion, ancestry, age, disability, pregnancy, marital
 785 status, military discharge status, military status, order of protection status, sexual orientation,
 786 genetic information, citizenship, work authorization status, or any other basis prohibited by law.
 787 Prohibited harassment based on the above includes, but is not limited to, behavior that:

- 788 • has the purpose or effect of creating an intimidating, hostile, or offensive work
 789 environment;
- 790 • has the purpose or effect of interfering with an individual's work performance; or
- 791 • otherwise adversely affects an individual's employment opportunity.

792
 793 Examples of harassment can vary widely depending on the circumstances; however, common
 794 examples include:

- 795 • racial or ethnic epithets;
- 796 • racial or ethnic slurs;
- 797 • racial or ethnic jokes;
- 798 • inappropriate use of slang terms; and
- 799 • use of derogatory terms.

800
 801 **Sexual Harassment.** Sexual harassment is a form of unlawful harassment defined by the Illinois
 802 Human Rights Act as any unwelcome sexual advances or any conduct of a sexual nature when:

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

- 807 • such conduct has the purpose or effect of substantially interfering with an individual’s
- 808 work performance or creating an intimidating, hostile, or offensive working
- 809 environment.

810
 811 No employee, contractor, or any other person doing business with R1 shall be permitted to
 812 engage in sexual harassment of any kind, including the harassment by R1 employees of non-
 813 employees performing services for R1, such as contractors and consultants. The most severe and
 814 overt forms of sexual harassment are easier to determine. Some sexual harassment is subtler and
 815 depends, to some extent, on individual perception and interpretation.

816
 817 Conduct which may constitute sexual harassment includes:

- 818 • Verbal: sexual innuendos, suggestive comments, insults, humor, and jokes about sex,
- 819 anatomy or gender-specific traits, sexual propositions, threats, repeated requests for
- 820 dates, or statements about other employees, even outside of their presence, of a sexual
- 821 nature.
- 822 • Non-verbal: suggestive or insulting sounds (whistling), leering, obscene gestures, sexually
- 823 suggestive bodily gestures, “catcalls,” “smacking” or “kissing” noises.
- 824 • Visual: posters, signs, pin-ups or slogans of a sexual nature, viewing pornographic material
- 825 or websites.
- 826 • Physical: touching, unwelcome hugging or kissing, pinching, brushing the body, any
- 827 coerced sexual act, or actual assault.
- 828 • Textual/Electronic: “sexting” (electronically sending messages with sexual content,
- 829 including pictures and video), the use of sexually explicit language, harassment, cyber
- 830 stalking, and threats via all forms of electronic communication (email, text/picture/video
- 831 messages, on-line postings, blogs, instant messages, and social network websites like
- 832 Facebook and Twitter).

833
 834 **Procedure for Reporting Discrimination and Harassment.** Employees who become aware of
 835 possible discrimination or harassment, even if they are not victims, are responsible for reporting
 836 the matter immediately to a supervisor.

837 An employee who believes that he or she has been subjected to or has been a witness to unlawful
 838 discrimination or harassment by an employee or other person in the workplace should, if
 839 comfortable in so doing, address the incident(s) as directly and firmly as possible by clearly
 840 communicating to the offending employee that the conduct is unwelcome, offensive, or
 841 otherwise unacceptable. If uncomfortable confronting an alleged harasser, or after confronting
 842 the alleged harasser, employees must also report the incident to the employee’s supervisor or
 843 any R1 supervisor, including the Executive Director.

844 An employee is not required to report an incident of discrimination or harassment to a supervisor
 845 who the employee believes has engaged in such conduct. An employee may report the conduct
 846 to any R1 supervisor, including the Executive Director. If the person alleged to have engaged in

847 discrimination or harassment is the Executive Director, reports shall be directed to the Chair of
848 the Board.

849 R1 supervisors who have received reports of discrimination or harassment shall immediately
850 contact the Executive Director about the report. Supervisors shall not discourage employees from
851 making a report.

852 All reports describing conduct that is inconsistent with this policy will be investigated promptly.
853 Documentation of any incident may be submitted with any report including, but not limited to,
854 written records such as letters, notes, memos, telephone messages, etc.

855 **Reporting Outside of R1.** The purpose of this policy is to establish prompt, thorough, and
856 effective procedures for responding to every report and incident of discrimination and
857 harassment so that problems can be identified and addressed by R1. However, all employees
858 have the right to contact the Illinois Department of Human Rights (IDHR) or the Equal
859 Employment Opportunity Commission (EEOC) for information regarding filing a formal complaint
860 with those agencies. An IDHR complaint must be filed within 180 days of the alleged incident(s)
861 unless it is a continuing offense. A complaint with the EEOC must be filed within 300 days. The
862 following is contact information for the Illinois agencies:

863		
864	Illinois Department of Human Rights	Illinois Human Rights Commission
865	100 West Randolph Street	100 West Randolph Street
866	Suite 10-100	Suite 5-100
867	Chicago, IL 60601	Chicago, IL 60601
868	(312) 814-6200	(312) 814-6269
869		

870 **Investigation of Reports of Discrimination and Harassment.** All allegations, including
871 anonymous reports, will be accepted and investigated regardless of how the matter comes to
872 the attention of R1. Because of the serious implications of sexual harassment charges and
873 difficulties associated with their investigation an effective inquiry and an appropriate outcome
874 may depend on the ability and willingness of the claimant and other relevant parties to cooperate
875 with the investigation.

876 In the event that a report is made, an investigation will be conducted to determine the facts
877 surrounding the allegation. Because of their inherently sensitive nature, complaints of
878 discrimination or harassment will be investigated in a confidential manner and shall remain, to the
879 extent possible, confidential.

880 After a thorough investigation has been conducted, any employee found to have violated this
881 policy shall be subject to appropriate training, coaching, or disciplinary action up to and including
882 termination.

883 **Malicious or False Accusations.** R1 recognizes that any knowingly false accusation of
884 discrimination or harassment can have serious adverse effects on an accused individual. Given

885 the seriousness of the consequences for the accused, a knowingly false report is a severe offense
 886 that can itself result in disciplinary action. All employees shall act honestly and responsibly in
 887 enforcing this policy. Anyone who knowingly makes a false accusation or knowingly provides false
 888 information during the course of an investigation shall be subject to discipline up to and including
 889 termination.

890 **Policy Against Retaliation.** R1 prohibits retaliation against anyone who reports alleged
 891 discrimination or harassment, or assists in the investigation of a discrimination or harassment
 892 report. An employee who retaliates against a person who reports or assists in the investigation
 893 of discrimination or harassment shall be subject to discipline up to and including termination.

894 R1 employees are prohibited from taking any retaliatory action against a fellow employee due
 895 to:

- 896 • disclosure or threatened disclosure of any violation of this policy;
- 897 • provision of information related to or testimony before any public body conducts an
 898 investigation, hearing, or inquiry into any violation of this policy; or
- 899 • assistance or participation in a proceeding to enforce the provisions of this policy.

900 For the purposes of this policy, retaliatory action means the reprimand, discharge, suspension,
 901 demotion, denial of promotion or transfer, or change in the terms or conditions of employment
 902 taken against any employee in retaliation for involvement in protected activity pursuant to this
 903 policy.

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

906 **Consequences of a Violation of the Discrimination and Harassment Prevention Policy.** In
 907 addition to any and all other discipline that may be applicable pursuant to R1 policies, any person
 908 who violates this policy may be subject to discipline or discharge by R1. Any discipline imposed
 909 by R1 shall be separate and distinct from any penalty or judgment imposed by a court of law.

910 Violence in the Workplace Policy

911 R1 is committed to providing a workplace that is free from acts or threats of violence Threats of
 912 physical harm and intimidation or acts of violence will receive a prompt, thorough, and impartial
 913 investigation. Every threat of violence is potentially serious and must be treated as such.

914 **Prohibited Conduct.** To ensure both safe and efficient operations, R1 requires all of its employees
 915 to display common courtesy and engage in safe and appropriate behavior on the job at all times.
 916 R1 prohibits the following:

- 917 • any act or threat of violence made by an employee against another employee;
- 918 • any act or threat of violence, including but not limited to intimidation, harassment, or
 919 coercion;

- 920 • any act or threat of violence made directly or indirectly by words, gestures, writings, or
- 921 symbols;
- 922 • any act or threat of violence that endangers the safety of employees, contractors, or the
- 923 general public;
- 924 • the possession, sale, or use of weapons in the R1 office and/or while on R1 time—
- 925 weapons include firearms, knives, explosives, or other objects used to harass, intimidate
- 926 or that may cause injury another individual or R1 property.

927 **Responding to Violence in the Workplace.** For any individual who becomes aware of any actual
 928 violence, imminent violence, or threat of imminent violence, obtaining emergency assistance
 929 must be a matter of first priority. The individual should immediately contact the Rockford Police
 930 Department by dialing 9-1-1. As soon as possible after calling 911, the Executive Director must
 931 be contacted. If the person alleged to have engaged in the conduct is the Executive Director, the
 932 Chair of Board must be contacted.

933 In instances where it has been determined that the Rockford Police Department does not need
 934 to be called, R1 employees must still contact the Executive Director immediately about workplace
 935 threat(s) or incident(s) of violence.

936 **Violation of Policy.** R1 will promptly investigate any physical or verbal altercation, threats of
 937 violence, or other conduct by employees that threatens the health or safety of other employees
 938 or the public, or otherwise might involve a breach of or departure from the conduct standards
 939 contained in this policy. All incidents of physical or verbal altercations are treated as gross
 940 misconduct and may result in disciplinary action up to and including termination.

941 Weapons in the Workplace Inspection

942 R1 prohibits employees from using or possessing deadly weapons or destructive devices while at
 943 the R1 office or while on work time.

944 **Prohibited Weapons and Devices.** This policy applies to using, carrying, or possessing any of the
 945 following weapons or devices:

- 946 • firearms, including, but not limited to, handguns, rifles, pellet guns, and similar devices;
- 947 • knives;
- 948 • instruments capable of inflicting a heavy blow, including, but not limited to, nightsticks,
- 949 clubs, and similar devices;
- 950 • explosive devices, including, but not limited to, firecrackers, bombs, grenades, and similar
- 951 devices; and
- 952 • other devices whose primary purpose is the infliction of bodily harm.

953
 954 **Exceptions.** Individuals licensed under the Illinois Firearm Concealed Carry Act may store a
 955 firearm or ammunition consistent with laws governing the license terms. Prohibited weapons
 956 and devices do not include tools, instruments, or equipment used in the normal course of an
 957 employee’s job duties.

958 Workplace Inspections

959 R1 reserves the right to search and inspect R1 owned or controlled property, equipment, and
 960 premises including, but not limited to, desks, offices, and storage areas. **Employees have no**
 961 **expectation of privacy in such property or premises that are owned or controlled by R1, or**
 962 **property brought onto premises owned or controlled by R1.** In addition, R1 reserves the right
 963 to inspect and search electronic resources such as computers, networks, servers, internet
 964 services, e-mail, voicemail, phones, scanners, and copy machines. For safety and similar
 965 purposes, R1 also reserves the right to conduct inspections of property brought onto its premises
 966 by employees, contractors, vendors, or others. A refusal to cooperate in an inspection may result
 967 in disciplinary action up to and including termination.

968 Handling Confidential or Proprietary Information

969 As a governmental entity, all records are subject to 5 ILCS 140/Freedom of Information Act.

970 Employees shall not remove, disclose, copy, or in any way share proprietary information, or assist
 971 in its removal, disclosure, copying, or sharing by any means (including disclosing access
 972 passwords) with any unauthorized person inside or outside of R1 without the express written
 973 permission of the owner.

974 Proprietary information is information that does not reside in the public domain and is viewed as
 975 the property of the owner. Information that is not generated by R1, information that is purchased
 976 from third parties, or information collected by other agencies and shared with R1 are several
 977 examples of what may constitute proprietary information. This information is often protected by
 978 copyright or other laws.

979 R1 employees may also come into contact with information that is confidential or of a sensitive
 980 nature. Access to this information is restricted to employees that require access to the
 981 information in the normal course of their work for R1 and they are obligated, as a condition of
 982 their employment, to abide by all license agreements and memorandums of understanding or
 983 contracts between R1 and third parties that govern the confidentiality of information.

984 Violation of this policy may result in disciplinary action up to and including termination of
 985 employment and, in extreme cases, may result in civil action or referral to appropriate law
 986 enforcement agencies.

987 Attire (Personal Appearance/Dress Code)

988 R1 requires its employees to present a neat, professional appearance in the workplace. It is
 989 expected that all employees will exercise good judgment and dress appropriately for their
 990 workday. Employees shall consider the following factors when determining appropriate dress in
 991 the workplace:

- 992 • the nature of their work;
- 993 • the nature of their public contact, if any, and the typical expectations of outside parties
- 994 with whom they work;

- 995 • the prevailing dress practices of other employees in similar jobs; and
- 996 • safety considerations.

997 The option to wear casual wear should never be considered an exemption to the neat,
 998 professional appearance required by R1’s dress code.

999 Communications with the Media

1000 In order to ensure that accurate information is disseminated to the public by the news media,
 1001 only authorized employees may speak on specified topics on behalf of R1. Before committing to
 1002 provide or disseminate any statement or materials related to R1 business, all employees must
 1003 discuss the content of statement(s), news release(s), or impending interview(s) with the
 1004 Executive Director.

1005 Outside Employment

1006 All outside employment (including self-employment) must be disclosed to the Executive Director
 1007 at the outset of an applicant’s employment with the R1. If a current R1 employee engages in
 1008 outside employment after hire, the employment must be disclosed to the Executive Director
 1009 within five (5) days of the commencement of the other employment. Outside employment shall
 1010 not compete with or compromise R1’s interests or adversely affect job performance and the
 1011 ability to fulfill all responsibilities to R1. No current employee shall engage in or accept
 1012 employment or render any service for private interest when such employment or service is
 1013 incompatible or creates a conflict of interest with their R1 employment. Employees shall not
 1014 engage in any private business or outside employment-related activity while on duty with, or
 1015 performing work for R1. If a conflict arises, the employee will be given the opportunity to resign
 1016 from either R1 employment or the outside employment position. Failure to meet the obligations
 1017 in this paragraph may result in discipline, up to, and including termination of employment.

1018 Cross Reference: Code of Conduct – Conflict of Interest

1019 Political Activity

1020 R1 employees, like all citizens, have constitutionally protected rights to vote, support political
 1021 candidates of their choice, and freely express their political opinions outside the workplace. At
 1022 the same time, employees are subject to certain restrictions due to R1's status as a governmental
 1023 entity.

1024 As R1 receives a large amount of its funding from the federal government, R1 is subject to the
 1025 provisions of the Hatch Act, which limits the political activity of persons employed in connection
 1026 with federally-supported projects. This law specifies that employees of state and local
 1027 governments receiving federal grants or loans may not:

- 1028 • use one's official authority for purposes of interfering with and/or affecting the results of
- 1029 an election or nomination for office;

- 1030 • directly or indirectly coerce, attempt to coerce, command, or advise a state or local officer
- 1031 or employee to pay, lend, or contribute anything of value to a party committee,
- 1032 organization, agency, or person for political purposes; or
- 1033 • be a candidate for elective office in a partisan election.

1034 Employees must also recognize the closeness of R1's relationship to political officials throughout
 1035 the region and its dependence on good working relationships with these officials in order to
 1036 achieve its goals and implement regional plans. R1's effectiveness depends in part on the
 1037 prudence with which its employees exercise their personal political rights. Any employee may
 1038 express their opinion on legislation being considered by other units of government. But one's
 1039 position must be clearly stated as their own personal position and not that of R1, unless R1 has
 1040 instructed the employee to take a position on its behalf.

1041 Similarly, while the Hatch Act permits other types of partisan political campaigning and
 1042 management aside from those activities above (including being a candidate for nonpartisan
 1043 office), it is important that employees not use R1 facilities, resources, or normal working hours
 1044 for such purposes. It is recommended that any employee who contemplates running for
 1045 nonpartisan office, or who manages the affairs or serves as an officer of a partisan political
 1046 campaign, party, or political club, informs the Executive Director of their intentions before the
 1047 activity begins.

1048 Both R1 and the individual employee may be held accountable for any violation of the Hatch Act.
 1049 Employees who intend to engage in any type of political activity should contact the Executive
 1050 Director for guidance. This policy is not intended to inhibit or prohibit any employee from
 1051 exercising political rights expressly protected by law.

1052 Gift Ban Policy

1053 No officer, member, or employee shall intentionally solicit or accept any gift from any prohibited
 1054 source, as the same is defined in 5 ILCS 430/1-1 State Officials and Employees Ethics Act, and
 1055 following or in violation of any federal or state statute, rule, or regulation. This ban applies to and
 1056 includes the spouse of the immediate family living with the officer, member, or employee.

1057 Except as otherwise permitted herein, the acceptance or solicitation of gifts from vendors,
 1058 contractors, or other third parties is prohibited. Any gifts or holiday items presented throughout
 1059 the year must be reported to the Executive Director.

1060 The acceptance of gifts is limited according to the following policy:

- 1061 1. Opportunities, benefits, and services that are available on the same conditions as for the
- 1062 general public.
- 1063 2. Educational materials, admissions, and travel expenses not prohibited by the
- 1064 appropriate ethics commission or by the Auditor General for the Auditor General and its
- 1065 employees.
- 1066 3. Items that can be shared by employees in the office (i.e. candy, fruit baskets) are
- 1067 acceptable but must be shared accordingly.

- 1068 4. Gifts that are intended to benefit individual employees are unacceptable.
 1069 5. Food or refreshments not exceeding \$50 per person in value on a single calendar day;
 1070 provided that the food or refreshments are consumed on the premises from which they
 1071 are purchased/prepared/catered.
 1072 6. Alcoholic gifts are prohibited.
 1073 7. Cash gifts, gift certificates, etc. are prohibited.

1074
 1075 These limitations should be construed as a guideline for the solicitation of gifts.

1076 Drug-Free Workplace Policy

1077 **Substance Abuse.** R1 endeavors to provide a productive, healthy, safe, and secure work
 1078 environment for its employees. R1 recognizes substance abuse as a potential endangerment to
 1079 these conditions because of the harmful or impaired behavior which may result from an
 1080 employee being under the influence of alcohol, illegal drugs, or inappropriately using/abusing
 1081 prescription drugs. Employees must be able to perform their responsibilities unimpaired by any
 1082 substance abuse problems.

1083 Employees have access to substance abuse counseling under the Employee Assistance Program
 1084 (EAP) and rehabilitation options covered under R1’s health plan. R1 will assist in identifying those
 1085 professional services which are available under its EAP or health insurance plan, as well as other
 1086 possible treatment options for employees who request assistance.

1087 **Drug-Free Workplace Act.** As a recipient of federal grants and contracts, R1 must comply with
 1088 the provisions of the Drug Free Workplace Act of 1988. In accordance with the provisions of this
 1089 federal law, R1 maintains a drug-free workplace. The unlawful manufacture, distribution,
 1090 dispensation, possession, or use of a controlled substance by any employee in R1’s workplace or
 1091 while performing R1 work is prohibited.

1092 If an R1 employee is convicted under a criminal drug statute (a criminal statute involving
 1093 manufacture, distribution, dispensation, use, or possession of a controlled substance) for a
 1094 violation occurring in R1’s workplace or while performing R1 work, the employee must notify the
 1095 Executive Director *no later than five (5) days after the conviction*. Under the Drug Free Work Place
 1096 Act, R1 must in turn notify the appropriate federal funding source(s) of the conviction within ten
 1097 (10) days after receiving such a notice.

1098 Each R1 employee will be required to acknowledge receipt of and agree to abide by this policy
 1099 by signing an Acknowledgement.

1100 **Violation.** Where unsatisfactory job performance occurs as a result of substance abuse, or where
 1101 an employee otherwise fails to comply with this policy, such violation may result in:

- 1102 • discipline up to and including termination of employment;
 1103 • continuing drug and alcohol testing; and/or

- 1104 • referral to and compliance with a drug and/or alcohol treatment program as a condition
- 1105 of continuing employment.

1106 Smoking

1107 The Smoke-Free Illinois Act bans smoking in all workplaces. R1 maintains a smoke-free workplace.
 1108 Employees are prohibited from smoking within the R1 office and are also banned from smoking
 1109 within 50 feet of the R1 office entrance, windows, or ventilation intakes. Note that the use of “e-
 1110 cigarettes” or “vapor cigarettes” are considered smoking under this policy and are subject to the
 1111 same prohibitions.

1112 **3. OFFICE OPERATIONS AND POLICIES**

1113 Hours

1114 **Work Week.** For timekeeping and payroll purposes, the employee work week begins on Sunday
 1115 and ends on Saturday.

1116 **Office Hours.** The hours during which the R1 office is considered open for business to the public
 1117 are 8:00 a.m. to 5:00 p.m. Under certain circumstances or at certain times of year, the Executive
 1118 Director may approve revised office hours.

1119 **Work Hours.** The work hours of each individual employee may vary, depending upon the work
 1120 requirements of the position and the arrangements made with their supervisor. Full-time
 1121 employees are responsible for managing a forty (40) hour work week. Hourly employees who are
 1122 not exempt from the Fair Labor Standards Act (FLSA) (non-exempt employees) may not exceed
 1123 40 work hours in a week without the prior approval of their supervisor. **Meal Break (Un-paid).**
 1124 Each work day of six (6) hours or more requires all employees take a meal period of at least thirty
 1125 (30) minutes during the workday; and it must start no later than four and half hours after the
 1126 beginning of the shift, but no later than the start of the 5th hour. Any time taken for the meal
 1127 period shall not be paid nor shall it be counted toward fulfillment of the 40-hour work week.
 1128 Policy development is in accordance with the Fair Labor Standard Act (FSLA).

1129 Attendance

1130 **Attendance Expectations.** Punctuality and good attendance are important for the efficient and
 1131 successful operation of any organization. Unscheduled absences, excessive absenteeism, and
 1132 tardiness make it very difficult to fulfill job requirements.

1133 When an employee knows he or she will need time away from work, the employee should contact
 1134 their supervisor as soon as possible. Unscheduled absences may lead to discipline.

1135 Regular office hours, attendance expectations, and Illinois law, define the workday as 8 hours. A
 1136 full-day absence requires the use of 8 hours PTO, exceptions can be made with supervisor
 1137 approval.

1138 Telework requests must be approved by the Executive Director, who is responsible for
 1139 authorization, limitations, and risk management.

1140 **Unplanned Absence Procedure.** If an employee will be absent from work unexpectedly (such as
 1141 sickness or personal issue), he or she must call or email their supervisor before their starting time.
 1142 Aside from extenuating circumstances, the employee should make the call or email and not have
 1143 someone else do it for them. An employee will be considered a “no call-no show” if he or she
 1144 calls in more than two hours following the start of the work day. It is the employee’s
 1145 responsibility to contact their supervisor on a daily basis regarding the status of attendance
 1146 during an unexpected absence that lasts more than one day.

1147 **Extended Absence.** If an employee is absent for more than three consecutive days, he or she
 1148 may be required to provide documentation of the reason for an unplanned absence.

1149 Severe Weather Policy

1150 It is the policy of R1 to grant its employees paid leave if the office is closed due to severe weather.
 1151 The determination to close the office will be made by the Executive Director.

1152 If an employee believes he or she cannot safely report to work or must leave work due to severe
 1153 weather when the office has *not* been closed due to severe weather, the employee shall notify
 1154 their supervisor as soon as practical. In this instance, the employee may utilize earned vacation,
 1155 sick, or personal time, or make specific arrangements with their supervisor to make up the time.

1156 If an employee is on vacation, sick, or personal time during a period when the R1 office is closed
 1157 by the Executive Director due to severe weather, the leave for that day will not be deducted from
 1158 the employee’s accrual.

1159 Safety in the Workplace

1160 It is R1’s goal that all employees be provided a safe working environment and work in a safe
 1161 manner. All employees must recognize and carry out their duties in a manner that gives due
 1162 regard for their own safety and the safety of others. Any employee who believes he or she is
 1163 subjected to unsafe working conditions must report such conditions to their supervisor or the
 1164 Executive Director immediately.

1165
 1166 **Employee Responsibility.** Employees are expected to follow safe working practices and
 1167 contribute to a safe working environment. Employees must report any injury they experience
 1168 while working, no matter how slight, to a supervisor immediately and in no event later than the
 1169 end of the scheduled workday in which the injury occurs or the employee realizes they have
 1170 suffered a work-related injury.

1171
 1172 **Supervisor Responsibility.** In the event that a supervisor becomes aware that an employee has
 1173 experienced an injury while working, it is the supervisor’s responsibility to report the injury to
 1174 the Executive Director within twenty-four (24) hours of the injury for appropriate follow up and

1175 documentation with R1’s Worker’s Compensation insurance provider. The supervisor should
 1176 provide to the Executive Director a written statement summarizing the injury, including the
 1177 following information:

- 1178 • Date and time of the injury/illness, and/or date and time the work-related injury/illness
 1179 was realized;
- 1180 • Description of the injury/illness;
- 1181 • Where the injury/illness took place; and
- 1182 • The circumstances surrounding the injury/illness.

1183
 1184 If medical treatment is required, the employee should be sent to an immediate care facility, or
 1185 taken to an emergency room by ambulance as appropriate.

1186 Travel and Expense Reimbursement Policy

1187 **General Policy.** It is the policy of R1 to reimburse employees for necessary and reasonable
 1188 expenses incurred in the conduct of their work or attendance at events such as seminars,
 1189 conferences, and training. Expenses must be approved in advance and in writing by the
 1190 employee’s supervisor and the Executive Director. Eligible travel expenses are limited to meals,
 1191 lodging, transportation, and registration required to participate in an event. It is the responsibility
 1192 of the employee to avoid unnecessary or excessive expenses, including entertainment-related
 1193 expenses.

1194 **Overnight Accommodations.** As a general rule, expenses for overnight lodging may be
 1195 authorized when an employee would be required to leave home before 6:00 a.m., return after
 1196 12:00 midnight, or when the distance traveled calls for the need for overnight accommodations.
 1197 The hotel nightly rate plus applicable taxes are eligible for reimbursement. Employees are
 1198 strongly encouraged, whenever possible, to stay in lodging identified as having low rates for the
 1199 particular time and geographic area. Lodging rates must be approved by the employee’s
 1200 supervisor prior to booking.

1201 **Mode of Travel and Mileage.** An employee’s mode of travel may vary depending on the time,
 1202 distance, and cost factors involved. When in question, the mode of travel shall be decided in
 1203 consultation with the Executive Director. All air travel shall be for coach class. Authorized mileage
 1204 expenses will be reimbursed at the current IRS mileage rates ([IRS Publication 15-B](#)). Drivers are
 1205 responsible for maintaining a valid license, registration, and insurance. Mileage reimbursement
 1206 shall serve in lieu of actual costs of fuel, maintenance, fees, depreciation, and other ordinary
 1207 costs.

1208 **Meals.** Authorized employee meal expenses will be reimbursed consistent with the current State
 1209 of Illinois reimbursement per diem rate (Title 80, Public Officials and Employees, Chapter IV:
 1210 Travel Regulation Council, Part 300, Illinois Administrative Code [Appendix A](#)). The per diem rate
 1211 is inclusive of tax and gratuity. Employees entitled to three meals in a day may follow the State’s

1212 per diem rate for the day rather than following the per diem rate by meal. Any meal expense
 1213 which exceeds the maximum shall be the responsibility of the employee.

1214 Employees will not be reimbursed for the cost of meals that are otherwise provided at
 1215 conferences, seminars, or other meetings. For example, if a lunch is provided at a conference
 1216 and the employee decides to eat lunch offsite, the employee will not be reimbursed for the cost
 1217 of their lunch, and the employee must not submit that expense for reimbursement. Likewise, if
 1218 lunch is provided at the conference, the employee cannot use the per diem day rate as the
 1219 maximum allowed for the two remaining meals expensed for the day.

1220 **Reimbursement.** Eligible expenses may not exceed the limits established by this policy and
 1221 authorized in advance. Receipts for expenditures shall be submitted for reimbursement within
 1222 30 days.

1223 Computer and Electronic Communications Policy

1224 **General.** R1 e-mail, its computer network, voice mail, and related equipment (including,
 1225 computer hard drives, software, telephone, or other transmission lines, etc.) are to be used for
 1226 R1 business. Without the prior approval of a supervisor, non-work-related use of such equipment
 1227 is strictly prohibited. Employees are prohibited from:

- 1228 • using passwords, accessing files, or retrieving stored information without proper
 1229 authorization;
- 1230 • displaying or transmitting any communication that may be construed as harassment on
 1231 the basis of race, sex, national origin, age, disability, pregnancy, religion, ancestry, genetic
 1232 information, citizenship or other groups protected by law. Such prohibited
 1233 communications include, but are not limited to, explicit images, messages, cartoons,
 1234 ethnic slurs, racial epithets, and similar communications;
- 1235 • deleting, examining, copying or modifying or altering data, files, e-mail and/or voice mail
 1236 belonging to R1 or its employees, without prior consent;
- 1237 • introducing computer viruses or other disruptive or destructive programs into R1's
 1238 network, equipment, or programs;
- 1239 • accessing any inappropriate web site, including but not limited to any sex-related, dating,
 1240 hate crime, or other web sites inappropriate to the employment environment;
- 1241 • using other employees' passwords without authorization;
- 1242 • disclosing the password another employee without proper authorization;
- 1243 • using the internet or email system for gambling;
- 1244 • sending messages anonymously or with fictitious names; or
- 1245 • maintaining R1 files off-network, except on agency hard drives designated for archival
 1246 purposes authorized by the Executive Director;
- 1247 • using email, the computer network, voicemail, or related equipment in other non-
 1248 business or a non-work-related manner that R1 determines, in its sole discretion, is
 1249 inappropriate.

1250 **Access Control and Key Card Usage.** Upon employment each employee will be issued a
 1251 building access key card and/or a parking deck access card. Employees are responsible for each
 1252 card, once issued. Employee is responsible for notifying Human Resource immediately if a card
 1253 is lost, so that it can be deactivated. Any lost/misplaced cards will be replaced at the expense
 1254 of the employee at \$25 per card. Payment can be made by check (preferred), or through
 1255 payroll deduction.

1256
 1257 **Computer Usage.** Regarding employee computer workstations:
 1258 • The installation of non-standard hardware or other equipment on workstations or the
 1259 network by employees is strictly prohibited without the approval of or installation by R1's
 1260 contracted IT service provider.
 1261 • The installation of software by employees is prohibited. All software must be installed by
 1262 R1's contracted IT service provider.
 1263 • Employees shall neither share any password for any R1 computer with any unauthorized
 1264 person, nor obtain any other user's password by any unauthorized means.
 1265 • Employees shall not connect their own personal computer or laptop computer to the R1's
 1266 network or phone lines without the permission of their supervisor and, if such permission
 1267 is given, with the assistance of R1's contracted IT service provider.

1268 **Internet Access.** The internet is a useful research and communication tool provided to R1
 1269 employees for performing R1 work. The following guidelines pertain to information obtained
 1270 from or provided on the internet:
 1271 • Employees may not represent the employee's individual opinion as R1 policy.
 1272 • Employees shall report all suspected computer viruses, adware, and malware to R1's IT
 1273 service provider.
 1274 • Any resource, website, or information of any kind for which a fee is required must not be
 1275 accessed or downloaded without prior approval of a supervisor.

1276 Office internet service and phone lines are made available on-site to employees in the discharge
 1277 or their duties. Therefore, reimbursement for costs associated with either will not be reimbursed.

1278 **Email.** The following email guidelines apply to the use of R1 email:
 1279 • Employees must be aware of and at all times attempt to prevent potential R1 liability in
 1280 their use of email. For that reason, all outgoing messages which do not reflect the official
 1281 position of R1 must include the following disclaimer:
 1282 ○ "The opinions expressed in this email are my own and not those of the Region 1
 1283 Planning Council."
 1284 • The following activities constitute abuse of R1's email system and are strictly prohibited:
 1285 ○ sending messages that disrupt or threaten to disrupt the efficient operation of R1
 1286 business or administration;
 1287 ○ sending messages that violate existing law, public policy, or individual rights, and
 1288 create potential liability for R1;

- 1289 ○ sending messages that contain confidential, privileged, or private information
- 1290 except when such messages are transmitted for an authorized purpose and in an
- 1291 appropriately secure manner;
- 1292 ○ sending personal messages, including the following:
- 1293 ▪ messages for personal gain or for private commercial activity;
- 1294 ▪ messages to promote, distribute materials for, or solicit individuals for
- 1295 commercial ventures, political or religious causes, and/or charitable or
- 1296 other social organizations in which the employee is involved;
- 1297 ▪ “chain” or “junk” email;
- 1298 ▪ email sent via distribution lists that concern non-R1-related topics; or
- 1299 ▪ participation in non-R1-related “blogs” or “chat-room” discussions during
- 1300 work hours.
- 1301 ● Employee email messages may be subpoenaed as part of an investigation or requested
- 1302 pursuant to the Illinois Freedom of Information Act. They may also be used as evidence
- 1303 in court or other legal proceedings. The content of email messages is subject to complete
- 1304 disclosure and may be publicly released without an employee’s permission or knowledge.
- 1305 ● Email should not be used for the transfer of highly sensitive information such as bank
- 1306 account numbers, social security numbers, and other sensitive information at risk for
- 1307 theft. This type of information should be communicated using an electronically
- 1308 encrypted method.

1309 **Violation.** Failure by any employee to comply with the provisions of this policy may result in
 1310 disciplinary action up to and including termination. If necessary, R1 also reserves the right to
 1311 advise appropriate legal officials of any potentially unlawful conduct.

1312 **Notice.** All computer systems, hardware, software, and related equipment are the property of
 1313 R1. All electronically generated information and files, including email, produced on R1
 1314 equipment are the property of R1.

Employees shall have no expectation of privacy in their use of any R1 computer equipment.

1315 To ensure the proper use of R1 computers, email, computer network, and/or related equipment,
 1316 R1 reserves the right to monitor and access any of those systems and equipment at any time with
 1317 or without notice to an employee.

1318 **Social Media Policy.** The purpose of this policy is to address the rapidly evolving landscape of
 1319 social media on the internet and the way the public communicates with and obtains
 1320 information from R1 via social media.

1321 Social media is defined as a web-based tool that allows for interactive communications among
 1322 multiple people via the internet. Common social media outlets include, but are not limited to, all
 1323 forms of social networking, instant messaging in any form, video sharing, and online photo and
 1324 document management and sharing. Due to the rapidly evolving nature of the internet and
 1325 social media, this policy contemplates that new internet sites and social media may be

1326 developed, which by their nature will be controlled by this policy. Because these social media
 1327 outlets are currently unknown, they are not referenced above.

1328 The purpose of social media is to provide two-way communication with site users. R1 encourages
 1329 the use of social media in conformance with this policy to further its goals as well as to assist R1
 1330 in informing the general public about its activities.

1331 **Responsibility.** The Executive Director shall determine to what extent social media outlets are
 1332 suitable for business use. The Executive Director shall also determine which R1 employee(s)
 1333 (“Responsible Employee”) will be assigned the task of overseeing outlet upkeep, managing posts
 1334 and content moderation, and monitoring the accounts on those social media sites utilized by R1.

1335 **Rules and Procedures**

- 1336 1. All authorized R1 usage of social media sites or services shall be considered an extension
 1337 of R1’s information networks and will be branded with R1’s name and/or logo.
- 1338 2. The Responsible Employee along with the Executive Director will review and approve the
 1339 R1’s use of any social media site.
- 1340 3. All social media accounts will be established in such a way as to prohibit the public from
 1341 posting random comments or questions if possible. However, comments or questions
 1342 offered in response to specific content posted by R1 may be enabled.
- 1343 4. The Responsible Employee and/or the Executive Director shall be the only R1 employees
 1344 responsible for posting content on the social media site(s). Approved content may include
 1345 R1 events, newsletters, press releases, emergency information, and other items
 1346 consistent with the executive director-approved Communications Plan.
- 1347 5. The Responsible Employee shall be responsible for reviewing the content posted by R1
 1348 for appropriateness, quality, consistency with overall R1 message and branding, priorities,
 1349 goals, and other criteria relevant to R1 objectives. The Responsible Employee has the
 1350 right to delete or remove inappropriate and/or offensive postings or comments. This
 1351 includes any negative posting regarding a specific R1 employee or Board member.
- 1352 6. Whenever possible and appropriate, social media content should refer or link to R1’s
 1353 website.
- 1354 7. R1’s employees who use R1 social media outlets (either to post content or comment) are
 1355 responsible for complying with applicable federal, state, and local laws, regulations,
 1356 ordinances, and R1 policies. Employees must conduct themselves at all times as official
 1357 representatives of R1 and with knowledge that social media activity may be subject to the
 1358 Freedom of Information Act.
- 1359 8. Employees are not permitted to use R1-branded social media outlets to express personal
 1360 opinions or subjective information on any religious, political, or social issue, neither
 1361 during or outside business hours.
- 1362 9. Use of private messaging or chat features should be avoided. . Only the Responsible
 1363 Employee and Executive Director are permitted to respond to any “chat”-type messages
 1364 that may be received and may be subject to the Freedom of Information Act.

1365 10. Employees are not permitted to personalize accounts set up with R1-issued email
 1366 addresses. The account set up with the Responsible Employee’s name is solely for the
 1367 employee to gain posting access to R1’s main page. Personal social media accounts may
 1368 not be used to administrate R1 accounts.

1369 Employees who fail to use social media outlets in a professional manner and in accordance with
 1370 this policy are subject to discipline up to and including termination.

1371 Cell Phone Use

1372 This section outlines the rules relating to the use of cell phones at work, including the safe use of
 1373 cell phones by employees while operating a vehicle during work hours. Employees who violate
 1374 this policy will be subject to discipline up to and including termination.

1375 **Personal Cell Phone Use.** Employees are expected to exercise their discretion when using
 1376 personal cell phones to talk, text, or utilize other cellular features. Excessive use of personal cell
 1377 phones during the workday interferes with employee productivity and may distract others from
 1378 their work and is prohibited.

1379 **Safety Issues for Cell Phone Use.** R1 employees are prohibited by law from using a cellular phone
 1380 while driving and must not do so while driving to perform work for R1 (e.g. traveling to and from
 1381 work meetings or appointments). If an employee needs to use their cell phone, he or she must
 1382 move their vehicle to a safe location, such as the side of the road, and stop the vehicle before
 1383 using the cell phone. If pulling to the side of the roadway is impossible and a call must be
 1384 answered, and when not prohibited by law, employees shall: keep the conversation as brief as
 1385 possible, use hands-free options if available, refrain from the discussion of complicated or
 1386 emotional matters, and keep their eyes and attention on the road. *Texting while driving is always*
 1387 *prohibited by this policy and state law.* Special care should be taken in situations where there is
 1388 heavy traffic, road construction, severe weather, or unfamiliar driving conditions. Under no
 1389 circumstances should employees place themselves or the public at risk to conduct R1 business.

1390 Employees charged with traffic violations resulting from the use of their phone while driving will
 1391 be solely responsible for all liabilities that result from such actions.

1392 **4. PAY AND BENEFITS**

1393 Compensation

1394 R1 seeks talented, motivated staff with a broad range of backgrounds that will take pride in
 1395 achieving the organization’s goals. Employee compensation is designed to attract, reward, and
 1396 retain top talent while controlling costs and enhancing compensation flexibility. This strategy
 1397 describes R1’s base compensation and pay for performance philosophy.

1398 The Executive Director is responsible for establishing and revising the compensation schedule for
 1399 all positions, subject to the availability of funds to support the compensation schedule under the

1400 budget approved by the Board of Commissioners. The Executive Director shall include
 1401 consideration of the relative rating of positions within the organization, prevailing compensation
 1402 for comparable positions in the job market, the work demands of each position, and
 1403 requirements of the Affordable Care Act as it related to benefit eligibility.

1404 Overtime

1405 The following rules shall apply to overtime for employees who are not exempt from overtime pay
 1406 requirements under the Fair Labor Standards Act (FLSA):

- 1407 1. All non-exempt employees are eligible for overtime and will be paid overtime on all hours
 1408 worked in excess of 40 hours in a work week. Overtime will be paid at the rate of one and
 1409 one-half (1.5) times the employee’s regular hourly rate.
- 1410 2. All overtime requests shall be authorized by the non-exempt employee’s supervisor *prior*
 1411 to the employee working over 40 hours in a work week. Supervisors must consult with
 1412 the Executive Director before approving overtime.
- 1413 3. For purposes of computation of overtime eligibility in a given week, vacation time,
 1414 personal time, and holidays shall be considered hours worked. Unless prohibited by law,
 1415 all other paid time off such as sick time shall not be considered hours worked for purposes
 1416 of triggering overtime pay.

1417
 1418 Employees who are considered exempt from overtime pay requirements under the Fair Labor
 1419 Standards Act (FLSA) may be expected to work more than 40 hours in a work week; however,
 1420 exempt employees are ineligible for overtime pay when expected to work more than 40 hours.

1421 Paid Time Off Summary

1422 Full-time employees with less than 40 hours worked in a week are required to use available
 1423 paid time off until exhausted. If available paid time off is not adequate to cover absences, the
 1424 request for leave may be denied. Unpaid absences may result in ineligibility for full-time status
 1425 and benefits.

Full-Time Employees	Holidays	Floating Holidays*+	Personal*+	Sick	Vacation+
Earned	Jan 1	Jan 1	Jan 1	Accrued	Accrued
Accrual	10 specified days/year	2 days/year	16 hrs/ year	6.67 hrs/mo	6.67(+) hrs/mo
Usage Increments	8 hours	8 hours	1-hour increments	1-hour increments	1-hour increments
Permitted Uses	Specified dates	As approved by supervisor	Employee discretion, severe weather	Illness, injury, severe weather	As approved by supervisor, severe weather

Approval	Calendar issued annually	Schedule with supervisor	As much notice as possible/approval	
Expiration	Expire year-to-year		1,000 hr maximum accumulation	Two-year accrual equivalent
Separation Compensability	Unpaid		Unpaid at separation (unless retiring)	Paid

1426 *Initial allocation prorated based on start date.

1427 +Available for use after completion of 60-days of employment.

1428 Part-Time and Seasonal Employees

1429 In accordance with the Illinois Paid Leave for All Workers Act, all part-time and seasonal
 1430 employees will accrue PTO at a rate of 1.5 hours every pay-period starting January 1st, 2024 or
 1431 the hire date, whichever is later. This PTO will **not** be paid out upon separation or retirement.
 1432 Un-used PLAWA hours earned for a given year may carry-over into the following year, however
 1433 any hours accrued are not to exceed 80 hours total for any given year.

1434 Holidays

1435 **Observed.** Regular full-time employees are eligible to be paid for R1 holidays. The ten (10)
 1436 observed full-day holidays are:

- 1437 • New Year's Day
- 1438 • Good Friday
- 1439 • Memorial Day
- 1440 • Independence Day
- 1441 • Labor Day
- 1442 • Thanksgiving Day
- 1443 • The day after Thanksgiving Day
- 1444 • Christmas Eve
- 1445 • Christmas Day
- 1446 • New Year's Eve

1447
 1448 The dates on which some of these holidays are observed may vary from year to year. A schedule
 1449 showing the dates on which R1 offices are closed in observance of these holidays will be issued
 1450 each year.

1451 **Floating Holidays.** Regular, full-time employees will also be given two (2) paid floating holidays
 1452 on January 1st of each year. Those employees who wish to celebrate other holidays not included
 1453 among the designated holidays above may do so by using their floating holidays. Floating
 1454 holidays:

- 1455 • are not permitted to be used during the first 60 days of employment;

- 1456 • cannot be rolled over to the following year (employees will lose the personal holidays if
1457 not used within the given calendar year);
1458 • are not permitted to be used during the employee’s notice of resignation period; and
1459 • are not paid out upon separation of employment.

1460 Each floating holiday shall be taken in the full eight (8) hour increment, at the request of the
1461 employee.

1462 An employee who wishes to use their floating holidays must provide as much notice as possible,
1463 in writing (e.g. email), to their supervisor and must accurately account for the time taken in the
1464 R1 timekeeping system.

1465 Personal Time

1466 Regular, full-time employees are provided sixteen (16) hours of paid personal time on January 1st
1467 of each year.

1468 Personal time:

- 1469 • is not permitted to be used within the first 60 days of employment;
1470 • cannot be rolled over to the following year (employees will lose personal time if not used
1471 within the given calendar year);
1472 • is not permitted to be used during the employee’s notice of resignation period; and
1473 • is not paid out upon separation of employment.

1474 Personal time shall be taken in one (1) hour increments at the discretion of the employee, but
1475 personal time used may not exceed eight (8) hours per day.

1476 An employee who wishes to use their earned personal time must provide as much notice as
1477 possible, in writing (e.g. email), to their supervisor and must accurately account for the time
1478 taken in the R1 timekeeping system.

1479 Sick Time

1480 Regular, full-time employees earn sick time at the rate of 6.67 hours per month worked.
1481 Employees will begin earning sick time the first month following an employee’s date of hire and will
1482 be credited at the end of each completed month in which the employee worked or was paid for
1483 at least one-half of the month.

1484 Employees may accumulate a maximum of 1000 hours of sick time. Once an employee accrues
1485 the maximum amount of sick time, the employee **will not** earn additional sick time; failure to use
1486 the accrued sick time will result in forfeiture of future sick time earned. The employee will again
1487 begin earning sick time when, and only to the extent that, sick time is used by the employee.

1488 Sick time:

- 1489 • is not intended for use during the employee’s introductory period; and
1490 • is not paid out upon separation of employment *except* when an employee retires.

1491 Sick time shall be taken in one (1) hour increments at request of the employee, but sick time used
 1492 may not exceed eight (8) hours per day.

1493 An employee who wishes to use their earned sick time must provide as much notice as possible,
 1494 in writing (e.g. email), to their supervisor and must accurately account for the time taken in the
 1495 R1 timekeeping system.

1496 **Use of Sick Time.** Eligible employees may use sick time due to illness or injury, consistent with
 1497 the 820 ILCS 191/1 Illinois Sick Leave Act, including:

- 1498 • for an eligible employee’s own illness, injury, or medical appointment;
- 1499 • for employee absences due to an illness, injury, or medical appointment of the
 1500 employee's child, stepchild, spouse, domestic partner, sibling, parent, parent-in-law,
 1501 grandchild, grandparent, or stepparent (a “covered family member”);
- 1502 • for personal care of a covered family member; or
- 1503 • for a serious health condition of the eligible employee or the eligible employee’s spouse,
 1504 child, or parent that qualifies for leave under FMLA.

1506 An eligible employee’s child is a biological child, adopted child, foster child, stepchild, legal ward,
 1507 or a child of a person standing in the place of a child (“loco parentis”).

1508 **Use of or Payment for Sick Time Upon Retirement.** Terms of sick time disbursement are subject
 1509 to the current rules established by Illinois Municipal Retirement Fund (IMRF) as they may exist at
 1510 the time. Unless prohibited by current IMRF rules, employees may elect to use their accrued sick
 1511 time immediately before they plan to retire. However, if an employee chooses not to do so, the
 1512 employee may receive payment for seventy-five percent (75%) of their accumulated sick time up
 1513 to a maximum of 600 hours of accrued sick time. Retirement is defined as voluntary separation
 1514 from employment by an individual qualified for immediate payment of pension benefits.

1515 Vacation

1516 Regular, full-time employees shall earn paid vacation leave. Temporary and part-time employees
 1517 are not eligible for vacation benefits. Eligible employees begin earning paid vacation time the first
 1518 month following an employee’s date of hire and will be credited at the end of each completed
 1519 month in which the employee worked or was paid for at least one-half of the month.

1520 Vacation leave is earned based on length of employment according to the following schedule:
 1521

Length of Employment	Vacation Time
First full month through 2 full years	6.67 hours/month (80 hours or 2 weeks)
Start of 3 rd year through 14 full years	10 hours/month (120 hours or 3 weeks)
Start of 15 th year through 24 full years	13.333 hours/month (160 hours or 4 weeks)

Start of 25 th year and over	16.667 hours/month (200 hours or 5 weeks)
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1522 *Exceptions to vacation time earned may be made by the Executive Director at their discretion to*
 1523 *compete for talent for certain, hard-to-fill positions.*

1524 Vacation leave shall be taken in one (1) hour increments, but vacation used may not exceed eight
 1525 (8) hours per day. Vacation time is not permitted to be used during the first 60 days of
 1526 employment.

1527 **Scheduling Vacation Leave.** Vacation leave requests must be made in the time keeping system
 1528 by the employee; when the employee does this, the time off request will be routed to the
 1529 employee’s supervisor for approval. Insufficient notice may result in the vacation leave request
 1530 being denied.

1531 In considering the vacation request, the supervisor shall determine the number of employees in
 1532 their department on vacation at any time. Length of R1 service and work demands may be
 1533 considered in prioritizing vacation leave requests by multiple employees for the same period.

1534 **Maximum Vacation Accrual.** Employees may accrue vacation leave up to, but not exceeding,
 1535 two years of vacation leave. For example, an employee in the 5th year of service may accrue up
 1536 to 240 hours of vacation leave (double the 120 hours of time he or she earns in a year at their
 1537 tenure). Once an employee accrues the maximum amount of vacation leave, the employee will
 1538 not earn additional vacation leave; failure to use the accrued vacation leave will result in
 1539 forfeiture of future vacation time earned. The employee will again begin earning vacation leave
 1540 when, and only to the extent that, vacation leave is used by the employee.

1541 **Pay in Lieu of Time Off.** No employee shall be compensated for vacation leave in lieu of using
 1542 the vacation leave. Vacation leave is designed for rest and relaxation away from employment. It
 1543 is in the employee’s and R1’s best interest that all accrued vacation leave be used.

1544 Payment for accrued vacation time will be made to an employee only upon separation of
 1545 employment.

1546 **Payment for Vacation Time at Separation.** Upon leaving R1 service, employees will be
 1547 compensated for all vacation accrued and not used as of the date of separation.

1548 Leaves of Absence

1549 **Family and Medical Leave.** Pursuant to the United States Department of Labor, eligible
 1550 employees have certain rights and obligations under the Family and Medical Leave Act (the
 1551 “FMLA”).

1552 *Eligibility Requirements.* Employees are eligible for leave under FMLA if:

- 1553 • they have worked for R1 for at least 12 months; and
- 1554 • have 1,250 hours of service with R1 in the previous 12 months.

1555

1556 FMLA leave may be granted based upon the following requirements and under the following
 1557 circumstances:

1558 *Basic Leave Entitlement.* The FMLA requires covered employers such as R1 to provide up to 12
 1559 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- 1560 • for incapacity due to pregnancy, prenatal medical care, or birth of a child;
- 1561 • to care for the employee’s child after birth, or placement of a child for adoption or foster
 1562 care;
- 1563 • to care for the employee’s spouse, son, daughter, or parent who has a serious health
 1564 condition; or
- 1565 • for a serious health condition that makes the employee unable to perform the employee’s
 1566 job.

1567
 1568 *Military Family Leave Entitlements.* Eligible employees whose spouse, son, daughter or parent is
 1569 on covered active duty or called to covered active-duty status may use their 12-week FMLA leave
 1570 entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending
 1571 certain military events, arranging for alternative childcare, addressing certain financial and legal
 1572 arrangements, attending certain counseling sessions, and attending post-deployment
 1573 reintegration briefings. FMLA also includes a special leave entitlement that permits eligible
 1574 employees to take up to 26 weeks of leave to care for a covered service member during a single
 1575 12-month period. A covered service member is:

- 1576 • a current member of the Armed Forces, including a member of the National Guard or
 1577 Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in
 1578 outpatient status, or is otherwise on the temporary disability retired list for a serious
 1579 injury or illness; or
- 1580 • a veteran who was discharged or released under conditions other than dishonorable at
 1581 any time during the five-year period prior to the first date the eligible employee takes
 1582 FMLA leave to care for the covered veteran and who is undergoing medical treatment,
 1583 recuperation, or therapy for a serious injury or illness.

1584
 1585 Note that the definitions of “serious injury or illness” for current service members and veterans
 1586 are distinct from the FMLA definition of “serious health condition.”

1587 *Benefits and Protections.* During FMLA leave, R1 will maintain the employee’s health coverage
 1588 under its group health plan on the same terms as if the employee had continued to work. Upon
 1589 return from FMLA leave, most employees must be restored to their original or equivalent
 1590 positions with equivalent pay, benefits, and other employment terms. Use of FMLA leave cannot
 1591 result in the loss of any employment benefit that accrued prior to the start of the employee’s
 1592 leave.

1593 *Definition of Serious Health Condition.* A serious health condition is an illness, injury, impairment,
 1594 or physical or mental condition that involves either an overnight stay in a medical care facility or
 1595 continuing treatment by a health care provider for a condition that either prevents the employee

1596 from performing the functions of the employee’s job, or prevents the qualified family member
 1597 from participating in school or other daily activities. Subject to certain conditions, the continuing
 1598 treatment requirement may be met by:

- 1599 • a period of incapacity of more than three consecutive calendar days combined with at
 1600 least two visits to a health care provider or one visit and a regimen of continuing
 1601 treatment;
- 1602 • incapacity due to pregnancy; or
- 1603 • incapacity due to a chronic condition.

1604 Other conditions may meet the definition of continuing treatment. If an employee has a condition
 1605 he or she believes may meet the conditions, the employee should consult with their supervisor.

1606 *Use of Leave.* An employee does not need to use this leave entitlement in one block. Leave can
 1607 be taken intermittently or on a reduced leave schedule when medically necessary. Employees
 1608 must make reasonable efforts to schedule leave for planned medical treatment so as not to
 1609 unduly disrupt R1’s operations. Leave due to qualifying exigencies may also be taken on an
 1610 intermittent basis.

1611 *Substitution of Paid Leave for Unpaid Leave.* FMLA leave is without pay, except those employees
 1612 who will be required to substitute Vacation and Sick Leave for FMLA leave until such paid leave
 1613 has been exhausted. Leave that qualifies as paid leave under a temporary disability benefit plan
 1614 (if any) also runs concurrently with FMLA leave and no other paid time off is substituted for this
 1615 leave. Leave that qualifies as paid leave under state, 36s’ compensation laws also run
 1616 concurrently with FMLA leave and no other paid time off is substituted for this leave. In no
 1617 situation may an employee duplicate benefits or attempt to use benefits simultaneously that
 1618 would result in receiving benefits greater than 100% of the employee’s base hourly or salary rate.
 1619 After all paid leave of any kind has been exhausted, the remaining weeks of FMLA leave will be
 1620 without pay.

1621 *Employee Responsibilities.* Employees must provide 30 days’ notice of the need to take FMLA
 1622 leave when the need is foreseeable. When 30 days’ notice is not possible, the employee must
 1623 provide notice as soon as practicable and generally must comply with R1’s normal call-in
 1624 procedures. Employees must provide sufficient information for R1 to determine if the leave may
 1625 qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient
 1626 information may include that the employee is unable to perform job functions, a family member
 1627 is unable to perform daily activities, the need for hospitalization or continuing treatment by a
 1628 health care provider, or circumstances supporting the need for military family leave. Employees
 1629 also must inform R1 if the requested leave is for a reason for which FMLA leave was previously
 1630 taken or certified. Employees may be required to provide a certification and periodic
 1631 recertification supporting the need for leave.

1632 *Employer Responsibilities.* R1 will inform employees requesting leave whether they are eligible
 1633 under FMLA. If they are not eligible, R1 will provide notice and a reason for the ineligibility. For
 1634 those employees who are eligible, R1 will inform them if leave will be designated as FMLA-
 1635 protected and the amount of leave counted against the employee’s leave entitlement.

1636 *Unlawful Acts.* The FMLA makes it unlawful to:

- 1637 • interfere with, restrain, or deny the exercise of any right provided under FMLA; and
- 1638 • discharge or discriminate against any person for opposing any practice made unlawful by
- 1639 FMLA or for involvement in any proceeding under or relating to FMLA.

1640

1641 *Enforcement.* An employee may file a complaint with the U.S. Department of Labor or may bring

1642 a private lawsuit against an employer for alleged FMLA violations. FMLA does not affect any

1643 federal or state law prohibiting discrimination, or supersede any state or local law which provides

1644 greater family or medical leave rights.

1645 *Twelve-Month Period.*

- 1646 • **Service Member Family Leave.** In the case of Service Member Family Leave, the 12-month
- 1647 period in which an employee may take their 26 weeks of leave will begin on the first day
- 1648 of Service Member Family Leave and will continue for the next 12 months.
- 1649 • **All Other FMLA Leaves.** For all other FMLA leaves, R1 will use the “12-month backward”
- 1650 method in determining the number of weeks of FMLA leave to which an employee is
- 1651 entitled. Under this method, when an employee makes a request for FMLA leave, R1 will
- 1652 examine their FMLA leave record for the past 12 months. In that 12-month time period,
- 1653 an employee will be entitled to take a maximum of 12 weeks of family and medical leave.

1654 **Military Leave.** An employee who enters the military service of the United States, National

1655 Guard, or any branch of the armed forces reserve shall be granted a military leave of absence in

1656 accordance with the federal Uniformed Services Employment and Reemployment Rights Act

1657 (USERRA), the Illinois Service Member Employment and Reemployment Rights Act or other

1658 applicable law. An employee who expects or intends to take a military leave of absence, or who

1659 is ordered to report for active duty, must, if possible, notify their supervisor verbally or in writing

1660 as soon as that employee becomes aware that they will be absent due to military obligations.

1661 Employees who are members of the National Guard or in the armed forces reserve will receive

1662 pay for up to two weeks per calendar year for any required temporary military leave. In such

1663 cases, employees shall receive the difference between their regular salary and whatever

1664 compensation they receive for their military service. The military check or pay stub should be

1665 submitted R1 payroll in order to document the pay. Employees may retain any military payment

1666 they received for transportation and/or living allowances associated with their service.

1667 **Jury Duty Leave.** A leave of absence will be granted to regular, full-time employees while on jury

1668 duty. Employees will be paid the difference between their jury duty pay and their usual salary

1669 upon presentation of court receipts showing their participation and compensation.

1670 **Bereavement Leave (Funeral Leave).** A regular full-time employee who has completed their first

1671 60 days of employment shall be allowed up to three (3) days (within a fourteen-day period) with

1672 pay for the purpose of arranging and attending the funeral of the following family members:

1673 spouse, civil union partner, children and step-children, parents and step-parents, siblings,

1674 grandparents, grandchildren, mother in-law, father in-law, children in- law, grandparents in-law,
 1675 sister in-law, and brother in-law. Eligible regular part-time employees, who have completed their
 1676 introductory period shall be allowed pro-rated funeral leave for up to three (3) consecutive days
 1677 with pro-rated pay for the same family members listed in this paragraph. The supervisor, at their
 1678 discretion, may authorize time off without pay for situations not covered herein. Funeral leave
 1679 shall not be granted if an employee is on approved leave, vacation, or holiday on the day of the
 1680 funeral.

1681 **Family Bereavement Leave.** In addition to the bereavement leave in accordance with the
 1682 following.

1683 *Eligible Employees.* Eligible employees are those employees eligible for leave under the Family
 1684 and Medical Leave Policy.

1685 *Reasons for Leave.* Eligible employees may take up to a total of 10 work days leave for the
 1686 following reasons:

- 1687 • attending the funeral or alternative to a funeral of a covered family member;
- 1688 • making arrangements necessitated by the death of a covered family member;
- 1689 • grieving the death of the covered family member; or
- 1690 • being absent from work due to:
 - 1691 ○ a miscarriage;
 - 1692 ○ an unsuccessful round of intrauterine insemination or of an assisted reproductive
 - 1693 technology procedure;
 - 1694 ○ a failed adoption match or an adoption that is not finalized because it is contested by
 - 1695 another party;
 - 1696 ○ a failed surrogacy agreement;
 - 1697 ○ a diagnosis that negatively impacts pregnancy or fertility; or
 - 1698 ○ a stillbirth.

1700 A “covered family member” is an eligible employee's child, stepchild, spouse, domestic partner,
 1701 sibling, parent, mother-in-law, father-in-law, grandchild, grandparent, or stepparent.

1703 A “child” is an eligible employee’s biological child, adopted child, foster child, stepchild, legal
 1704 ward, or a child of a person standing in the place of a child (“loco parentis”).

1706 *Pay.* Family Bereavement Leave is without pay; however, the employee may use available
 1707 Bereavement Leave Pay or vacation (or other accrued paid time off) before taking unpaid Family
 1708 Bereavement Leave.

1710 **Victims’ Economic Safety and Security Act Leave.** Pursuant to the Illinois Victims' Economic
 1711 Security and Safety Act (VESSA), R1 grants unpaid leave to its employees who are victims of
 1712 domestic, sexual , gender, or other crime of violence or to those who have a “family or household
 1713 member” (a spouse or party to a civil union, parent, grandparent, child, grandchild, sibling, or any

1714 other person related by blood or by present or prior marriage or civil union, other person who
 1715 shares a relationship through a child, or any other individual whose close association with the
 1716 employee is the equivalent of a family relationship as determined by the employee, and persons
 1717 jointly residing in the same household) who are victims of domestic, sexual, gender, or other crime
 1718 of violence and whose interests are not adverse to the employee as it relates to the domestic,
 1719 sexual, gender, or other crime of violence.

1720 *Eligibility.* All employees are eligible for leave under this policy. Employees are entitled to a
 1721 maximum of eight (8) weeks of unpaid leave during any twelve (12) month period. VESSA does not
 1722 create a right for an employee to take unpaid leave that exceeds the unpaid leave time allowed
 1723 under or in addition to the unpaid leave time permitted by FMLA.

1724 *Reasons for Leave.* An employee who is a victim of domestic, sexual, gender, or other crime of
 1725 violence or who has a family or household member who is a victim of domestic, sexual, gender, or
 1726 other crime of violence and whose interests are not averse to the employee as it relates to such
 1727 violence may be entitled to leave for the following reasons:

- 1728 • seeking medical attention for or recovering from physical or psychological injuries caused by
 1729 such violence to the employee or to the employee's family or household member;
- 1730 • obtaining services from a victim services organization for the employee or the employee's
 1731 family or household member;
- 1732 • obtaining psychological or other counseling for the employee or the employee's family or
 1733 household member;
- 1734 • participating in safety planning, temporarily or permanently relocating, or taking other
 1735 actions to increase the safety of the employee or the employee's family or household
 1736 member from future domestic, sexual, gender, or other crime of violence or to ensure
 1737 economic security; or
- 1738 • seeking legal assistance or remedies to ensure the health and safety of the employee or the
 1739 employee's family or household member, including preparing for or participating in any
 1740 civil or criminal legal proceeding related to or derived from such violence.

1741 *Notice.* Employees must give at least forty-eight (48) hours' notice prior to the commencement of
 1742 their leave, unless such notice is not practicable. If an employee cannot give forty-eight (48) hours'
 1743 notice, the employee must provide notice as soon as possible.

1744 *Certification.* R1 may require employees to certify their right to leave by submitting a sworn
 1745 statement and, if they have possession of such documents, they shall provide:

- 1746 • documentation from an employee or volunteer of a victim services organization, an
 1747 attorney, clergy member, or a medical or other professional from whom the employee or
 1748 the employee's family or household member has sought assistance; or
- 1749 • a police or court record; or
- 1750 • other corroborating evidence.

1751 Employees may choose which document to submit, and R1 will not request or require more than
 1752 one document to be submitted in a 12-month period.

1753
 1754 *Confidentiality.* All information pertaining to the use, notice, and certification of domestic and
 1755 sexual violence leave provided to R1 shall be retained in the strictest confidence, except to the
 1756 extent that disclosure is requested or consented to in writing by the employee or otherwise required
 1757 by applicable law. *Intermittent Leave.* Intermittent leave or reduced work schedule leave (i.e.,
 1758 taking leave in separate blocks of time, rather than leave for a continuous period of time) may be
 1759 available if permitted by the employee’s supervisor and the Executive Director.

1760 *Paid or Unpaid Leave.* When taking leave for VESSA, eligible employees may elect to use (1)
 1761 unpaid leave, or (2) accrued or provided paid vacation, personal, or sick time. On the notice
 1762 required, employees should indicate whether the leave is elected to be unpaid or paid. Both
 1763 unpaid and paid leave will be counted toward the 12-week length of leave required to be
 1764 provided under VESSA.

1765 *Health Insurance and Other Benefits.* While on unpaid VESSA leave, R1 will pay its standard
 1766 contribution for health insurance benefits and the employee is responsible for the employee
 1767 contribution. Other benefits will be suspended while the employee is on unpaid status. Upon
 1768 return to work, the employee will once again receive benefits equivalent to those he or she
 1769 earned prior to leave.

1770 *Reporting.* R1 may require the employee to report periodically, in writing, of their status and
 1771 intention to return to work upon completion of leave.

1772 *Return to Work.* Upon completion of VESSA leave, R1 will restore the employee to the position held
 1773 prior to the leave, or to a substantially equivalent position, subject to exceptions as provided by law.

1774 **Personal Leaves of Absence (Non-FMLA Leave of Absence.)** Employees may request non-FMLA
 1775 unpaid leave only after the completion of their introductory period. After the exhaustion of all
 1776 other leaves of absence, a non-FMLA leave of absence may be granted at the sole discretion of
 1777 the Executive Director for reasons that do not qualify under the Family and Medical Leave Policy,
 1778 and for employees who are ineligible for Family and Medical Leave under that policy, or for
 1779 employees who have exhausted their leave under that policy. Such leaves of absence are granted
 1780 solely at the discretion of the Executive Director. R1 is under no obligation to grant such a leave.
 1781 In evaluating such requests, the Executive Director shall consider the reason for the leave and
 1782 the ability of R1 to carry on the activities assigned to the employee with existing staff or
 1783 temporary employees. In no case shall the leave be for more than one (1) year. No vacation time
 1784 or other benefits will be earned or accrued during such leave period.

1785 **Blood Donation Leave.** Pursuant to the Employee Blood Donation Act, full-time employees who
 1786 have been employed for a period of six (6) months or more and who donate blood will be allowed
 1787 up to one (1) hour of paid leave to donate blood every fifty-six (56) days, in accordance with the

1788 appropriate medical standards established by the American Red Cross, America’s Blood Centers,
1789 the American Association of Blood Banks, or other nationally recognized standards. Employees
1790 must request and receive approval from their supervisor for the leave. Confirmation of blood
1791 donation may be required.

1792 **Voting Leave.** Pursuant to 10 ILCS 5/7-42 and 10 ILCS 5/17-15, employees will be allowed up to
1793 two (2) hours of paid leave to cast their vote if their work hours begin less than two hours after
1794 the opening of polls and end less than two hours before closing of polls. Employees must make
1795 arrangements with their supervisor for leave.

DRAFT



Procurement Policy

I. PURPOSE.

The purpose of this Procurement Policy is to establish the Region 1 Planning Council (R1) procurement standards for the acquisition of goods and services.

R1's Procurement Policy is designed to ensure timely, efficient, and economic procurement consistent with good business practice and applicable law. Unless stated otherwise, these policies apply to all procurement actions regardless of funding source and payment method. All purchases shall be reasonable and necessary, non-duplicative, and shall be made competitively, where practicable. Performance, quality, suitability, delivery, and service are factors to be considered when purchasing.

II. POLICY STATEMENT.

The R1 Policy is as follows:

- A. R1's primary objective in purchasing is to procure goods and services for the highest value appropriate to the required need.
- B. To make the most efficient use of resources available to R1 from its funding sources, both public and private.
- C. To obtain competitive pricing in the procurement of goods and services.
- D. To maintain an open and competitive process, whereby all responsible suppliers will receive proper consideration.
- E. When a bid process is utilized, the lowest responsible and responsive bidder, conforming to bid specifications, will be given greater consideration.
- F. When comparable goods and services are available, the lowest responsible and responsive supplier will be given greater consideration.
- G. When using either the bid process or standard procurement process and all other factors are equal, local vendors may receive preference when permitted by law.
- H. Employees of R1 must neither solicit nor accept gratuities, favors, or anything of monetary value from suppliers or bidders. Solicitation for or acceptance of anything of monetary value for the employee will result in disciplinary action up to and including termination of employment.
- I. R1 employees may not participate in the selection, award, or administration of a purchase or procurement contract if he or she has a real or apparent conflict of interest. Such conflict of interest would arise when the employee or any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of these parties has a financial or other interest in or tangible benefit from suppliers or firms considered for contract.
- J. All bids and quotes are subject to the State of Illinois Freedom of Information Act; however, bids, quotes, and proposals shall not be used by vendors or R1 to gain unfair competitive advantage either prior to, during, or after the competitive bidding process.

Effective :Pending board approval.

- 41 K. Based on the federal standards contained in 2 CFR 200.321, R1, as a federal grantee agency, will
42 take all necessary affirmative steps to assure that minority businesses, women’s business
43 enterprises, and labor surplus area firms are used when possible.
- 44 L. Other requirements specified by the most current version of 2 CFR 200 pertaining to the
45 procurement of goods and services.
- 46

47 **III. APPROVALS AND AUTHORIZATIONS.**

48 Region 1 Planning Council Board has delegated the responsibility and authority for implementing this
49 policy to the Executive Director (or designee.) The Executive Director is authorized to develop, install, and
50 manage the operation of appropriate business systems to accomplish the purchasing function. Any
51 revisions or amendments to this policy must be submitted to the Board for approval.

- 52 A. The Executive Director (or designee) shall be responsible for establishing and implementing
53 operational procedures for procurement of goods and services, and to maintain appropriate
54 business systems to comply with this policy and best practices.
- 55 B. The Executive Director (or designee) has the responsibility and authority to direct the day-to-day
56 operation of purchasing activities and the processing of procurement transactions.
- 57

58 **IV. GOODS AND SERVICES PROCUREMENT.**

- 59 A. **Expense Pre-Approval.** It is the policy of R1 that the Expense Pre-Approval Form will be a standard
60 document utilized for the systematic procurement of goods and services for R1; shall be the sole
61 documentation required for the procurement and payment of goods and services with a
62 monetary value of \$5,000 or less, as well as quotes (if required), invoice, and applicable shipping
63 notice; and must have an authorized signature by the Executive Director prior to payment
64 processing.
- 65 B. Goods and services may not be received prior to the encumbrance of necessary funds in the
66 general ledger; and goods and services that have been ordered and received on or before June
67 30th will have funds available in the current year’s budget for payment within the first 30 days of
68 the new fiscal year. Any items or services received after June 30th must have a new fiscal year
69 approval completed.
- 70

- 71 **V. VENDOR SELECTION.** R1 may evaluate prospective vendors to determine responsibility
72 including, but not limited to: *suspension and debarment status, conflict of interest,*
73 *certifications, financial disclosures, taxpayer identification number, past performance in*
74 *business or industry, references (of its choosing), compliance with applicable laws, financial*
75 *responsibility, insurability, effective equal opportunity compliance, payment of prevailing*
76 *wages if required by law, capacity to produce or sources of supply, and the ability to provide*
77 *required maintenance service or other matters relating to the Respondent’s ability to deliver*
78 *in the quality and quantity within the time and price as specified in this solicitation.*
- 79
- 80

81 **VI. PURCHASE TYPES.**

82 Purchase Types are defined to establish the minimum requirements authorizing procurement of
83 goods and services on behalf of R1.
84

85 Table: 1.0 –Procurement Requirement Summary

Policy Detail	Purchase Type	Threshold	Minimum Requirement
V.A.	Micro-Purchase (goods, services)	\$10,000 and under	Executive Director approval
V.A.	Micro-Purchase (construction)	\$2,000 and under	Executive Director approval
V.B.	Small Purchases	\$ 10,000 to \$100,000	Three quotes minimum required
V.C.	Large Purchases	\$100,000 and above	Formal competitive bid or RFP process Requires Board approval
V.D.	Emergency Purchases	As determined by Executive Director	Board notification

86

87 A. Micro-Purchase Procedures.

- 88 1. Purchases of non-construction-related goods or services in the aggregate amount of \$10,000
89 or less shall be considered micro-purchases.
- 90 2. Purchases of construction-related goods or services in the aggregate amount of \$2,000 or less
91 shall be considered micro-purchases and shall be subject to all applicable requirements
92 contained in the Davis-Bacon Act and Illinois Prevailing Wage Act. (FAR Subpart 2.1 Section
93 2.101)
- 94 3. Micro-purchases shall be distributed equitably among qualified suppliers.
- 95 4. Micro-purchases may be awarded without soliciting competitive quotations if the department
96 head initiating the transaction and the Executive Director (or designee) consider the price to
97 be reasonable.

98

99 B. Small Purchase Procedures.

- 100 1. Purchases for goods and services in the aggregate amount between \$ 10,000 to \$100,000
101 shall be considered Small Purchases.(30 ILCA 500/20-20)
- 102 2. Small Purchases shall be submitted on a R1 purchase requisition or purchase order form,
103 and must include detailed information regarding the item or service to be purchased.
- 104 a. For purchases between \$10,000 to \$100,000, R1 shall obtain a minimum of three
105 written quotes, and may use a Request for Proposals (RFP) for services, if appropriate.
106 The purchase requisition or purchase order must include the backup documentation
107 of the quotes obtained.

108 b. For purchases between \$10,000 to \$100,000, the requirement for three written
109 quotes is waived if the goods or services are available through competitively solicited
110 contracts bid and are negotiated by the State of Illinois, U.S. General Services
111 Administration, or other lead public agency or non-profit government purchasing
112 alliance in accordance with public purchasing rules and regulations as allowed by
113 Illinois State Statute (5 ILCS 220/3). The purchase requisition or purchase order must
114 include documentation regarding the contract method utilized for the purchase.
115

116 C. Large Purchase Procedures.

- 117 1. Purchases for goods and services in the aggregate amount of \$100,000 and above shall be
118 considered Large Purchases. Splitting orders and/or paying from two consecutive fiscal years
119 to avoid this limit violates this policy.
120 2. Large Purchases shall follow the Competitive Bid Procedures established by this policy.

121 a. Competitive Bid Procedures.

122 It is the policy of R1 to allow for competitive prices when practical and that the use of a
123 bid system shall be used to carry out this Policy as follows:

124 1. Bid Types:

- 125 a. Formal sealed bids (formal bid) shall be used when the projected monetary
126 value of goods and services to be procured exceeds \$100,000.
127 b. Requests for Proposals (RFP) may be used in lieu of formal sealed bid when
128 the good or services required, due to their nature, do not fall in a classification
129 for which clearly established technical specifications can be provided to
130 bidders.

131 2. Steps in the Bidding Process:

- 132 a. R1 Directors (or their designees) will prepare specifications for goods and
133 services to be bid. The Executive Director (or designee) will assist in the
134 preparation of specifications upon request; however, the final determination
135 as to the quantity, quality, and technical specifications of the goods or
136 services shall be the responsibility of the requesting Director.
137 b. Once the formal bid solicitation or RFP has been created, the Executive
138 Director (or designee) shall verify with the Executive Director that funds are
139 available to support the procurement.
140 c. The requesting R1 Director will submit the formal bid solicitation or RFP to
141 the Executive Director for review and approval prior to being released to
142 potential bidders.
143 d. Formal bid solicitations and RFPs shall include:
144 i. an introductory letter
145 ii. purchase terms and conditions
146 iii. bid specifications and requirements
147 iv. bid guidelines
148 v. bid/quote list/sheet

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- e. Public notice of the formal bid solicitation or RFP shall be published in at least one local newspaper in the relevant city or county where the goods and/or services will be needed and/or posted to a business-to-business commerce application. Public notice outlet selection shall be at the discretion of the Executive Director (or designee). This public notice shall include:
 - i. a general description of the good or service to be purchased;
 - ii. where bid or proposal specifications are located; and
 - iii. the time and place for opening bids.
 - f. A public bid opening of all submitted bids.
 - g. The Executive Director (or designee) will prepare an analysis of bids received for presentation review in advance of the meeting. Analysis shall include a detailed bid summary and a history of prior awards and business recently transacted between the R1 and responsive bidders.
 - h. The Executive Director (or designee) will make a recommendation for approval by the R1 Board or Executive Committee (whichever is next available to review and approve large purchase contracts and bid awards.)
 - i. The Executive Director (or designee) will issue an order for the awarded goods and services only after approved by the Board.
 - j. The Executive Director (or designee) will notify all bidders of the results of bid award/contract.
 - k. After award of contract or bid, original bids, quotes, or proposals submitted by vendors will be retained by the R1 for at least three (3) years, or as required by law.
3. Awarding Bids and Contracts. It is the policy of Region 1 Planning Council:
- i. To pursue competitive pricing in securing goods and services, including through joint buying opportunities when practicable.
 - ii. To make the most efficient use of all funding agency resources. When comparable goods and services are available, the supplier with the lowest price will be given greater consideration. When the bid process is utilized, the lowest responsible and responsive bidder conforming to the specifications will likewise be given greater consideration.
 - iii. The R1's primary purchasing objective is acquiring the greatest value and, as such, price may be, at times, a secondary consideration.
 - iv. In addition to price and terms of sale, such as conditions for award of bid, the following shall also be given great consideration: quality of goods bid, the financial condition and proven ability of the supplier, ability to provide goods and services in a timely manner, and the history of the supplier in past dealings with R1.
 - v. In awarding of bids, the location of the supplier will be considered only

191 when allowable by law, and in such case the ability to provide regional
192 assistance is advantageous.

193 vi. To be fair and equitable, giving all viable vendors proper consideration.

194 vii. To procure goods and services with consideration for the environment,
195 when excessive cost does not make such prohibitive.

196

197 b. Contracts.

198 i. The Executive Director (or designee) will obtain legal counsel review or
199 contracts prior to entering into a contract.

200 ii. Contracts shall be signed by the Executive Director only after all required
201 endorsements to awarded bidders insurance and proof of coverage have
202 been received for review and retention through the contract service period
203 or until goods/services have been received (or as required by law.)

204 iii. Contracts for goods and services may be awarded for a one-year period and
205 may be awarded with the option for renewal or extension (dependent upon
206 appropriations) for a total period not to exceed five (5) years from the initial
207 date of award.

208 iv. Approval of a contract by the R1 Board shall authorize the Executive
209 Director to sign the contract in the same or substantially same terms.

210

211 D. Emergency Purchases. It is the policy of the R1 that emergency purchases may be made
212 consistent with the following guidelines:

213 A. Emergency purchases shall be classified as those purchases which ensure employee,
214 client, or public health, welfare, or safety, protect agency property or equipment, and
215 limit the liability of R1. Exceptions to this policy may occur in order to satisfy funding
216 agency requirements and the associated provision of client services in a timely and
217 responsive manner.

218 B. Emergency purchases are at the discretion and approval of the Executive Director and
219 will be exempted from all provisions of this policy. The R1 Board shall be notified of any
220 emergency purchases made pursuant to this policy at their next regular meeting.

221

222 **VII. SURPLUS OR OBSOLETE PROPERTY.** It is the policy of Region 1 Planning Council that:

223 A. Items no longer usable for their intended purpose and/or having maintenance or repair
224 costs which are cost prohibitive, qualify as surplus property.

225 B. If the item has any residual value, as determined by the Executive Director, the property
226 may be sold with no guarantee of future operation or warranty provision. In all cases, if
227 an item was purchased with state or federal funds, disposition will be made in
228 accordance with grantor agency regulations.

229 C. If the item has no residual value and not usable for its intended function, it will be
230 disposed of or recycled appropriately and removed from inventory.

231 D. Any items which have an appraised value less than the cost of sale will be disposed of by
232 offering them to governmental or not-for-profit agencies or disposed of at the landfill or

233 recycling center.
234 E. R1 will not sell any excess property, which is determined to be dangerous or contain toxic
235 or hazardous components, but rather will dispose of said equipment/property in the
236 manner prescribed by the manufacturer.

237
238 **VIII. CREDIT CARD POLICY.**

239 R1 may obtain credit cards in order to advance operational efficiency with specific focus on
240 charging and payment of business and internet expenses such as air fares, lodging, car rental,
241 hotels, other ground transportation, meals, and other miscellaneous items that cannot be
242 conveniently paid for by other means.

243
244 A. Eligibility. The Executive Director will determine the number and assignment of business
245 credit cards to be issued and will monitor usage of those cards. Cardholders will be
246 advised of the serious fiscal and ethical responsibilities of managing the business credit
247 card.

248
249 B. Policy. R1 credit cards are for authorized business-related purchases only, such as:

- 250 a. Hotel expenses
- 251 b. Conference or meeting registrations
- 252 c. Business meals
- 253 d. Car rentals, rental car motor fuel
- 254 e. Supplies and equipment that can be more efficiently by purchased by credit card
255 and whereby tax-exempt purchases can be accomplished

256 R1 funds may not be used for expenditures in excess of approved budget, motor fuel
257 for personal vehicles, to make loans, for alcohol, goods or services for personal use or
258 benefit, or any other use prohibited by law or R1 policy.

259
260 C. Procedures.

261 1. Purchasing Limits. R1 credit card limits will be determined necessary by the Executive
262 Director for the purchase goods and services consistent with R1 policies and grantor
263 guidelines.

264 2. Tax Exempt Status. Tax-exempt status will be applied in the procurement of all goods
265 and services.

266 A. Receipts. Receipts for all purchases made on R1 credit cards are to be submitted
267 with the monthly payment requisition for reconciliation with account statements
268 within 10 days of the month following the purchase.

269
270 **IX. ALLOWABLE EXPENDITURES AND FUNDING.**

271 A. As a government agency, R1 is held to a high level of accountability for its business
272 practices. Accordingly, every reasonable effort will be made to ensure that funds are
273 used in a responsible and appropriate manner.

274 B. R1 receives significant funding from a variety of federal and state agencies; those

275 agency requirements and good business practices establish both general and specific
276 restrictions on expenditures.
277 C. R1 may incur expenses in accordance with established practice or custom for the
278 improvement of working conditions, employer-employee relations, employee morale,
279 and employee performance. Such expenses may include food, non-alcoholic beverages,
280 and related equipment and supplies, tangible gifts and awards to employees for
281 recognition programs, such as official retirement events or employee recognition or life
282 events with an individual item value of less than \$500 and with the prior approval of the
283 Executive Director.

284
285 **X. EXCEPTIONS.**

286 It is the policy of R1 that:

- 287 A. Although R1 procurement policy is designed to be flexible enough to accommodate
288 most situations, there will be occasions that require techniques or solutions outside
289 the established guidelines. In order to ensure internal consistency, however, some
290 control must be maintained by the R1 Board over exceptional situations. Purchases
291 beyond the R1 established procurement policy will be referred to the R1 Board for
292 review and approval. Exceptional circumstances will be defined by the Executive
293 Director, and they will make the final determination for forwarding the exception to
294 the Board for approval.
- 295 B. The formal bidding process, as prescribed in the purchasing policies, shall not be
296 required for all items purchased through competitively solicited contracts bid and
297 negotiated by the State of Illinois, U.S. General Services Administration, or other
298 lead public agency or non-profit government purchasing alliance in accordance with
299 public purchasing rules and regulations as allowed by Illinois State Statute (5 ILCS
300 220/3.)
301