# SWAN BOARD MEETING AGENDA

**Thomas Ford Memorial Library**
**800 Chestnut Street, Western Springs, IL 60558**
June 28, 2019 - Time 9:30 a.m.
Conference Room
708-246-0520

1. Call to Order, Roll Call

2. Introduction of Visitors/Public Comment

   Public comment is allowed at SWAN meetings

3. Action Item – Acceptance of the June 28, 2019 SWAN Board Meeting Agenda (Exhibit pgs. 1-2)

   RESOLVED, THAT THE SWAN BOARD ACCEPTS THE JUNE 28, 2019 SWAN BOARD
   MEETING AGENDA AS PRESENTED

4. Action Item – Approval of SWAN Financials, May (Exhibit pgs. 3-9)

   a. Balance sheet and detail of expenditures for May 2019
   b. Approval of the payment of bills for May 1, 2019 through May 31, 2019 in the amount of
      $212,811.04
      RESOLVED, THAT THE SWAN BOARD APPROVES THE PAYMENT OF BILLS FOR MAY 1
      THROUGH MAY 31, 2019 AND ACCEPTS THE BALANCE SHEET AND DETAIL OF
      EXPENDITURES FOR MAY 2019

5. Action Item – Acceptance of the May 17, 2019 SWAN Board Meeting Minutes (Exhibit pgs.10-13)

   RESOLVED, THAT THE SWAN BOARD ACCEPTS THE MAY 17, 2019 SWAN BOARD
   MEETING MINUTES AS PRESENTED

6. Reports
   a. Board President Report
   b. Executive Director Report (Exhibit pgs. 14-19)
   c. Operations Report (Exhibit pgs. 20-31)
   d. Treasurer Report
   e. Board Calendar (Exhibit pgs. 32-34)

7. Action Item – Approve Revised SWAN Holidays (Exhibit pg. 45)

8. Action Item – Approve Personal Paid Leave Policy (Exhibit
   pgs.48-49)

9.  Action Item – Approve Parental Leave Policy (Exhibit pg. 49)

10. Action Item – Approve Revised Harassment Policy (Exhibit pgs. 58-59)

11. Action Item – Approve Names and Preferred Pronouns Policy (Exhibit pgs. 60-61)

12. Action Item – Approve Revised Travel Policy (Exhibit pgs. 83-85)

13. Action Item – Approval to Write Off Allowance for Doubtful Accounts Balance (Exhibit pgs. 87-89)

14. Discussion Item – Legal Opinion on 501(c)3 Governing Board and Donations (Exhibit pgs. 90-93)

15. Discussion Item—Board Officers Election & Committee Appointments, July 19, 2019 Board Meeting (Exhibit pg. 94)

16. Action Item – Executive Session – SWAN Executive Director Yearly Review

Executive Session for the purposes of discussing "The appointment, employment, compensation, discipline, performance, or dismissal of specific employees of the public body or legal counsel for the public body." 5 ILCS 120/2(c) (1).

17. Information Item – RAILS FY21 LLSAP Support Grant Application, Due August 1, 2019 (Exhibit pgs. 95-107)

18. Information Item – RAILS FY20 LLSAP Support Grant Allocations (Exhibit pg. 108)

19. Next Board Meeting

    The next SWAN Board Meeting will be held on July 19, 2019 at SWAN Quail Ridge at 9:30 a.m.

20. Adjournment

*All agenda items may be acted upon by the SWAN Board

| SWAN Board Member | Library | Office | Term Expires |
|---|---|---|---|
| Jamie Bukovac | Indian Prairie Public Library | Treasurer | July 1, 2020 |
| Julie Milavec | Downers Grove Public Library | | July 1, 2021 |
| Ted Bodewes | Thomas Ford Memorial Library | | July 1, 2020 |
| Stacy Wittmann | Eisenhower Public Library District | Vice President | July 1, 2021 |
| Rich Wolff | Tinley Park Public Library | President | July 1, 2019 |
| Doug Losey | Hillside Public Library | | July 1, 2019 |
| Tiffany Verzani | Elmwood Park Public Library | Secretary | July 1, 2019 |

| May 2019 | YTD Actual | FY19 Revised Budget | 92% |
|---|---|---|---|
| Revenues | 2,958,174.29 | 3,114,401.00 | 95% |
| Expenses | 2,837,992.33 | 3,184,484.00 | 89% |
| Excess of Revenues over (under) Expenses | 120,181.96 | (70,083.00) | |

**SWAN**
Balance Sheet
As of 5/31/2019

| | Balance End Of Month | | Average Interest Rates & Interest Earned during May | |
|---|---:|---|---|---:|
| **Assets** | | | | |
| **Cash & cash equivalents** | | | | |
| **Cash- MaxSafe** | 1,584,863.26 | | 2.420% | $ 3,250.76 |
| **Cash- Hinsdale Bank Checking** | 820,980.70 | | 0.000% | $ - |
| Total Cash & cash equivalents | 2,405,843.96 | | Investment Income | $ 3,250.76 |
| **ProPay Funds** | | | | |
| **ProPay Funds** | 93.53 | | | |
| Total ProPay Funds | 93.53 | | | |
| **Accounts receivables** | | | | |
| **Accounts Receivable** | 63,223.57 | | | |
| **Allowance for Doubtful Accounts** | (622.99) | | | |
| Total Accounts receivables | 62,600.58 | | | |
| **Prepaid expenses** | | | | |
| **Deposits** | 23,467.08 | | | |
| **Vendor Credits** | 8,658.18 | | | |
| **Prepaid Expenses** | 48,991.60 | | | |
| Total Prepaid expenses | 81,116.86 | | | |
| **Capital assets, net** | | | | |
| **Building And Improvements** | 6,895.00 | | | |
| **Equipment** | 36,500.50 | | | |
| **Computers** | 324,383.36 | | | |
| **Accumulated Depreciation** | (308,482.86) | | | |
| Total Capital assets, net | 59,296.00 | | | |
| **Other Assets** | | | | |
| **Deferred Outflows - OPEB** | 6,383.00 | | | |
| Total Other Assets | 6,383.00 | | | |
| Total Assets | 2,615,333.93 | | | |
| | | | | |
| **Liabilities** | | | | |
| **Other Postemployment Benefits** | | | | |
| **Postemployment Benefits** | 36,924.00 | | | |
| Total Other Postemployment Benefits | 36,924.00 | | | |
| **Deferred revenue** | | | | |
| **Deferred Revenue** | 257,787.36 | | | |
| **Deferred Revenue - MAGIC Fee Supplement Grant** | 205,532.00 | | | |
| Total Deferred revenue | 463,319.36 | | | |
| **Compensated absences** | | | | |
| **Compensated Absences** | 82,948.91 | | | |
| Total Compensated absences | 82,948.91 | | | |
| **Facilities** | | | | |
| **Rent Payable** | 50,475.07 | | | |
| Total Facilities | 50,475.07 | | | |
| **Other liabilities** | | | | |
| **Deferred Inflows - OPEB** | 3,954.00 | | | |
| Total Other liabilities | 3,954.00 | | | |
| Total Liabilities | 637,621.34 | | | |
| | | | | |
| **Net Assets** | | | | |
| **Beginning Net Assets** | | | | |
| **Unrestricted** | 1,857,530.63 | | | |
| Total Beginning Net Assets | 1,857,530.63 | | | |
| **Current YTD Net Income** | 120,181.96 | | | |
| Total Net Assets | 1,977,712.59 | | | |
| | | | | |
| **Total Liabilities and Net Assets** | 2,615,333.93 | | | |

| | | Current Month Actual | Current Month Revised Budget | YTD Actual | YTD Revised Budget | Total Revised Budget | Percent of Annual Budget | General Ledger Line Item Detail |
|---|---|---|---|---|---|---|---|---|
| **Revenue** | | | | | | | | |
| 4050 | Other Grants | 0.00 | 100.00 | 84,735.50 | 1,100.00 | 1,200.00 | 7,061.29% | RAILS New 19 LLSAP Grant Revenues for Remainder of First Year OCLC Fees and NCOA Fees, RAILS Green Hills Grant, as well as the RAILS SWANstravaganza Grant |
| 4060 | Fees For Services And Materials | 220,704.33 | 206,601.00 | 2,271,722.63 | 2,262,118.00 | 2,468,716.00 | 92.02% | SWAN Quarterly, Annual, and Semi-Annual Fees |
| 4061 | Internet & Enhanced Access Fees | 353.79 | 608.00 | 6,014.45 | 6,688.00 | 7,300.00 | 82.38% | SWAN Annual Internet Access Fees |
| 4070 | Reimbursements | 0.00 | 2,542.00 | 11,697.26 | 27,962.00 | 30,500.00 | 38.35% | Member Reimbursements for SWANstravaganza Meals and SWANstravaganza Vendor Table Registration Fees |
| 4071 | Reimbursements - Lost Materials | 27.00 | 0.00 | (114.32) | 0.00 | 0.00 | 0.00% | Reciprocal Borrowing and ILL Losses |
| 4072 | Reimbursements - Collection Agency Fees | 0.00 | 75.00 | 120.00 | 825.00 | 900.00 | 13.33% | Reciprocal Borrowing and ILL Loss Collection Agency Fees |
| 4075 | Group Purchase Receipts | 0.00 | 0.00 | 1,254.15 | 0.00 | 0.00 | 0.00% | Credit Card Swipes and Envisionware Subscriptions for Members |
| 4080 | Investment Income | 3,250.76 | 567.00 | 33,675.06 | 6,237.00 | 6,800.00 | 495.22% | Interest |
| 4090 | Other Revenue | 49,915.43 | 49,915.00 | 549,069.56 | 549,068.00 | 598,985.00 | 91.66% | RAILS Support to SWAN |
| **Total Revenue** | | **274,251.31** | **260,408.00** | **2,958,174.29** | **2,853,998.00** | **3,114,401.00** | **94.98%** | |
| **Expenses** | | | | | | | | |
| 5000 | Library Professionals | 24,737.10 | 24,916.00 | 298,008.66 | 298,984.00 | 323,900.00 | 92.00% | Staff Salaries |
| 5010 | Other Professionals | 53,987.08 | 74,208.00 | 688,664.69 | 890,492.00 | 964,700.00 | 71.38% | Staff Salaries |
| 5020 | Support Services | 24,318.79 | 19,862.00 | 262,173.21 | 238,338.00 | 258,200.00 | 101.53% | Staff Salaries |
| 5025 | Vacation Expense | 0.00 | 0.00 | 0.00 | 0.00 | 2,800.00 | 0.00% | Compensated Absences for Vacation Time Accrued |
| 5030 | Social Security Taxes | 7,675.68 | 9,108.00 | 90,922.38 | 109,292.00 | 118,400.00 | 76.79% | Social Security Taxes |
| 5050 | Worker's Compensation | 245.17 | 183.00 | 3,060.33 | 2,013.00 | 2,200.00 | 139.10% | Worker's Compensation Insurance |
| 5060 | Retirement Benefits | 9,831.82 | 10,892.00 | 120,457.83 | 130,708.00 | 141,600.00 | 85.06% | Retirement Benefits and Retirement Plan Fees |
| 5070 | Health, Dental, Life And Disability Insurance | 20,011.79 | 19,358.00 | 198,143.38 | 212,938.00 | 232,300.00 | 85.29% | Health, Dental, Life & Disability Insurance |
| 5080 | Other Fringe Benefits | 0.00 | 208.00 | 0.00 | 2,288.00 | 2,500.00 | 0.00% | Tuition Reimbursements |
| 5085 | Wellness Benefits | 0.00 | 425.00 | 1,838.60 | 4,675.00 | 5,100.00 | 36.05% | Staff Wellness |
| 5100 | Recruiting | 0.00 | 75.00 | 248.60 | 825.00 | 900.00 | 27.62% | Background Checks and Job Postings |
| 5110 | Print Materials | 0.00 | 667.00 | 4,062.57 | 7,337.00 | 8,000.00 | 50.78% | Printed Materials Including SWAN Branded Items for SWANstravaganza (partially offset by GL Account #'s 4050 and 4070) as well as Branded Calendars for Members and Branded Items for Green Hills Go-Live |

| | | Current Month Actual | Current Month Revised Budget | YTD Actual | YTD Revised Budget | Total Revised Budget | Percent of Annual Budget | General Ledger Line Item Detail |
|---|---|---|---|---|---|---|---|---|
| 5130 | E-Resources | 0.00 | 42.00 | 0.00 | 462.00 | 500.00 | 0.00% | ALA TechSource Subscription |
| 5140 | Rent/Lease | 8,795.81 | 8,420.00 | 105,633.81 | 92,620.00 | 101,044.00 | 104.54% | Facility Lease (Including Tenant's Share of Real Estate Taxes, Operating Expenses, and Insurance) |
| 5150 | Utilities | 400.16 | 450.00 | 5,184.83 | 4,950.00 | 5,400.00 | 96.01% | Gas and Electric |
| 5160 | Property Insurance | 123.00 | 123.00 | 1,353.00 | 1,353.00 | 1,476.00 | 91.66% | Flood Insurance |
| 5170 | Repairs And Maintenance | 29.50 | 17.00 | 1,030.60 | 187.00 | 200.00 | 515.30% | Key Fob Maintenance and Other Facility Maintenance |
| 5180 | Custodial/Janitorial Service And Supplies | 777.42 | 708.00 | 8,804.67 | 7,788.00 | 8,500.00 | 103.58% | Cleaning Services and Supplies |
| 5190 | Other Buildings and Grounds | 0.00 | 8.00 | 150.00 | 88.00 | 100.00 | 150.00% | Security Camera Surveillance Subscription |
| 5250 | In-State Travel | 40.01 | 183.00 | 1,662.04 | 2,013.00 | 2,200.00 | 75.54% | In-State Travel |
| 5260 | Out-Of-State Travel | 1,041.89 | 917.00 | 2,994.28 | 10,087.00 | 11,000.00 | 27.22% | Out-of-State Travel |
| 5270 | Registrations And Meeting, Other Fees | 294.14 | 242.00 | 3,350.86 | 2,662.00 | 2,900.00 | 115.54% | Snacks, Supplies, and Lunches for Meetings and Staff Events |
| 5280 | Conferences And Continuing Education Meetings | 173.70 | 1,167.00 | 23,631.18 | 12,837.00 | 14,000.00 | 168.79% | Sirsi Dynix Training, Staff Conference and Class Registrations, Usability Study Participant Gift Cards, and Swanstravaganza Expenses (partially offset by GL Account #'s 4050 and 4070) |
| 5300 | Liability Insurance | 749.50 | 742.00 | 8,149.72 | 8,162.00 | 8,900.00 | 91.56% | General Liability, Crime, Cyber Crime, and D&O Insurance |
| 5310 | Computers, Software And Supplies | 3,667.11 | 5,207.00 | 28,149.61 | 57,277.00 | 62,481.00 | 45.05% | Computer, Software, and Supplies under $5,000 Individual Cost as well as Subscriptions for Adobe Creative Cloud, Adobe Acrobat Pro, LastPass, No IP, Noun Project, Microsoft Office 365, Panda Security, SendGrid Email Delivery System, Snagit Software, Envisionware Subscription, Asana Project Management, Go To Assist Software, Avangate Installer Software, StatusCake System Monitoring, Microsoft pfSense Usage, and Microsoft Azure |
| 5320 | General Office Supplies And Equipment | 72.50 | 750.00 | 1,631.58 | 8,250.00 | 9,000.00 | 18.12% | Office Supplies and Equipment under $5,000 Individual Cost Including Coffee |
| 5330 | Postage | 0.00 | 75.00 | 69.41 | 825.00 | 900.00 | 7.71% | Postage |
| 5380 | Telephone And Telecommunications | 1,586.84 | 1,675.00 | 16,716.29 | 18,425.00 | 20,100.00 | 83.16% | Phone, Chat, and Internet |
| 5390 | Equipment Rental | 219.20 | 308.00 | 3,620.53 | 3,388.00 | 3,700.00 | 97.85% | Copier Lease and Usage |

| | | Current Month Actual | Current Month Revised Budget | YTD Actual | YTD Revised Budget | Total Revised Budget | Percent of Annual Budget | General Ledger Line Item Detail |
|---|---|---|---|---|---|---|---|---|
| 5400 | Equipment Repair And Maintenance Agreements | 20,410.38 | 40,973.00 | 508,548.36 | 450,708.00 | 491,683.00 | 103.43% | Sirsi Dynix Annual Maintenance, Sirsi Dynix eRC Connector, SMS Notifications, Sirsi Dynix JavaScript Enhancement, Sirsi Dynix Server Upgrade, EBSCO Open Athens Subscription, EBSCO Discovery Subscription, VM Software License Costs, Dell Warranty, Lenovo Warranty, Sonicwall Maintenance, Smartnet Maintenance, NetGate Support, and Linux Software Maintenance |
| 5410 | Legal | 2,587.06 | 150.00 | 6,200.06 | 1,650.00 | 1,800.00 | 344.44% | Legal Fees |
| 5420 | Accounting | 0.00 | 833.00 | 5,200.00 | 9,163.00 | 10,000.00 | 52.00% | Audit and Actuary Expenses |
| 5430 | Consulting | 84.17 | 5,425.00 | 37,550.87 | 59,675.00 | 65,100.00 | 57.68% | Stategic Planning Consulting, Management Association/HR Source Costs, and Benchmarking |
| 5435 | Payroll Service Fees | 330.75 | 317.00 | 3,144.67 | 3,487.00 | 3,800.00 | 82.75% | Paylocity Payroll Service Fees |
| 5440 | Contractual Staff | 0.00 | 200.00 | 1,600.00 | 2,200.00 | 2,400.00 | 66.66% | Answering Service Costs |
| 5450 | Information Service Costs | 22,966.26 | 22,767.00 | 252,202.65 | 250,437.00 | 273,200.00 | 92.31% | Formsite Membership Costs, OCLC Fees, Authority Processing, Syndetic Reviews, SSL Certificate Costs, Survey Monkey Subscription, MailChimp Subscription, ALA RDA Toolkit, and EBSCO Novelist Subscription |
| 5460 | Contract Agremt W/ Systems, Member Libraries & Cooperatives | 0.00 | 0.00 | 79,280.24 | 0.00 | 0.00 | 0.00% | RAILS New 19 LLSAP Grant Expenses for Remainder of First Year OCLC Fees and NCOA Costs, and RAILS Green Hills Grant Expenses |
| 5480 | Other Contractual Services | 1,947.79 | 1,842.00 | 30,204.05 | 20,262.00 | 22,100.00 | 136.66% | Unique Management Placements, Monthly Notice Printing, NCOA Costs not covered by the RAILS New 19 Grant, and HR Source Support Costs |
| 5485 | Group Purchases | 0.00 | 0.00 | 1,527.50 | 0.00 | 0.00 | 0.00% | Credit Card Swipes and Envisionware Subscriptions for Members |
| 5490 | Depreciation | 2,847.29 | 0.00 | 31,320.19 | 0.00 | 0.00 | 0.00% | Monthly Depreciation Expense |
| 5500 | Professional Association Membership Dues | 100.00 | 33.00 | 350.00 | 363.00 | 400.00 | 87.50% | Professional Memberships for SWAN and Staff |
| 5510 | Miscellaneous | 622.99 | 83.00 | 1,061.69 | 913.00 | 1,000.00 | 106.16% | Member Overpayments and Double Payments to be Reimbursed, Allowance for Doubtful Accounts Additions, as well as Reciprocal Borrowing and Vendor Adjustments from Prior Years |
| 5515 | Miscellaneous - E-Commerce Fees | 0.00 | 0.00 | 89.39 | 0.00 | 0.00 | 0.00% | Fees for SWAN ProPay Account Used for Testing |
| Total Expenses | | 210,674.90 | 253,559.00 | 2,837,992.33 | 2,928,122.00 | 3,184,484.00 | 89.12% | |
| Excess of Revenues over (under) Expenses | | 63,576.41 | 6,849.00 | 120,181.96 | (74,124.00) | (70,083.00) | | |

| Effective D... | Vendor Name | Transaction Description | Check Amount |
|---|---|---|---|
| 5/2/2019 | Paylocity Corporation | Net Wages: April 27, 2019 Payroll | 35,577.34 |
| 5/2/2019 | Paylocity Corporation | Payroll Taxes: April 27, 2019 Payroll | 14,921.18 |
| 5/3/2019 | Paylocity Corporation | Payroll Service Fees: April 27, 2019 Payroll | 85.83 |
| 5/13/2019 | ICMA Retirement Corporation | Retirement Deduction and Contribution:May 11, 2019 Payroll | 4,915.91 |
| 5/13/2019 | ICMA Retirement Corporation | Retirement Deduction and Contribution:May 11, 2019 Payroll | 1,663.01 |
| 5/15/2019 | BuildingStars | Cleaning Service for May 2019 | 598.00 |
| 5/15/2019 | Claudia Nickson | Travel Reimbursement | 40.01 |
| 5/15/2019 | Klein, Thorpe and Jenkins, Ltd. | Professional Services through 3/31/19 | 2,587.06 |
| 5/15/2019 | Limricc-Phip | Health Insurance for May 2019 | 21,769.58 |
| 5/15/2019 | Wellness Insurance Network-WIN | Life Insurance for May 2019 | 186.20 |
| 5/15/2019 | Marcive Inc | Authority Processing for April 2019 | 366.48 |
| 5/15/2019 | Reliance Standard Life Insurance Co | LTD/STD Insurance for May 2019 | 890.18 |
| 5/15/2019 | Unique Management Services, Inc. | Debt Collect for April 2019 | 17.90 |
| 5/15/2019 | Unique Management Services, Inc. | Notices for April 2019 | 1,929.89 |
| 5/15/2019 | First Bankcard | May 2019 Credit Card Payment of March/April Balances | 4,781.77 |
| 5/16/2019 | Paylocity Corporation | Net Wages: May 11, 2019 Payroll | 35,810.66 |
| 5/16/2019 | Paylocity Corporation | Payroll Taxes: May 11, 2019 Payroll | 15,009.20 |
| 5/17/2019 | Paylocity Corporation | Payroll Service Fees: May 11, 2019 Payroll | 85.83 |
| 5/24/2019 | Quail Ridge Drive Investors, LLC | June 2019 Rent Payment | 9,116.24 |
| 5/27/2019 | ICMA Retirement Corporation | Retirement Deduction and Contribution:May 25, 2019 Payroll | 4,915.91 |
| 5/27/2019 | ICMA Retirement Corporation | Retirement Deduction and Contribution:May 25, 2019 Payroll | 1,663.01 |
| 5/30/2019 | Cintas #769 | Mats for Doorway Entry | 107.80 |
| 5/30/2019 | Comcast | Internet Service 5/15-6/14/19 | 1,255.00 |
| 5/30/2019 | ComEd | Electric 4/18-5/17/19 | 341.15 |
| 5/30/2019 | Nicor Gas | Ga service 4/14-5/13/19 | 59.01 |
| 5/30/2019 | Wells Fargo Vendor Fin Serv | Copier Lease | 219.20 |
| 5/30/2019 | Paylocity Corporation | Net Wages: May 25, 2019 Payroll | 37,783.03 |

| Effective D... | Vendor Name | Transaction Description | Check Amount |
|---|---|---|---|
| 5/30/2019 | **Paylocity Corporation** | **Payroll Taxes: May 25, 2019 Payroll** | 15,955.57 |
| 5/31/2019 | **Paylocity Corporation** | **Payroll Service Fees: May 25, 2019 Payroll** | 159.09 |
| | | **Total 1003 - Cash- Hinsdale Bank Checking** | **212,811.04** |
| **Report Total** | | | **212,811.04** |

SWAN BOARD MEETING MINUTES
800 Quail Ridge Drive, Westmont IL 60559

**May 17, 2019**

Call to Order, Roll Call

President Bodewes called the meeting to order at 9:33 a.m.  The following members were present to establish a quorum:

Ted Bodewes
Julie Milavec
Doug Losey
. Stacy Wittmann
Rich Wolff
Tiffany Verzani
Jamie Bukovac (arrived at 9:45 am)

Introduction of Visitors/Public Comment

Edith Craig, Saint Charles Public Library
Dawn Bussey, Glen Ellyn Public Library
Aaron Skog, SWAN Executive Director
Ginny Blake, SWAN Office Manager

Public comment is allowed at SWAN meetings

Action Item – Acceptance of the May 17, 2019 SWAN Board Meeting Agenda

Wolff moved, seconded by Milavec that it be

RESOLVED, THAT THE SWAN BOARD ACCEPTS THE MAY 17, 2019 SWAN BOARD MEETING AGENDA AS PRESENTED

Motion carried by unanimous voice vote.

Action Item – Approval of SWAN Financials, April 2019

Wolff moved, seconded by Wittmann that it be

RESOLVED, THAT THE SWAN BOARD APPROVES THE PAYMENT OF BILLS FOR APRIL 1 THROUGH APRIL 30, 2019 AND ACCEPTS THE BALANCE SHEET AND DETAIL OF EXPENDITURES FOR APRIL 2019

Motion carried by roll call vote with the following results:
Ayes: Losey, Bodewes, Milavac, Wolff, Wittmann, Verzani

Action Item – Acceptance of the April 12, 2019 SWAN Board Meeting Minutes

Losey moved, seconded by Verzani that it be

RESOLVED, THAT THE SWAN BOARD ACCEPTS THE APRIL 12, 2019 SWAN BOARD MEETING MINUTES AS PRESENTED

Motion carried by unanimous voice vote.

Action Item – Acceptance of the April 12, 2019 SWAN Personnel Committee Meeting Minutes

Losey moved, seconded by Milavec that it be

RESOLVED, THAT THE SWAN BOARD ACCEPTS THE APRIL 12, 2019 SWAN PERSONNEL COMMITTEE MEETING MINUTES AS PRESENTED

Reports

a. Board President Report

None

b. Executive Director Report

Skog provided a brief discussion on the new libraries that want to be a part of SWAN. There are 4 of them: Roselle Public Library, Warrenville Public Library District, Bartlett Public Library, and Glenside Public Library. They are all standalone libraries. The preference would be to libraries that are surrounded by other SWAN libraries. The Board agreed to continue to have discussions/updates with the membership at the Quarterly meetings.

Skog noted the board election concluded.

The next Clarity Meeting will discuss the membership survey conducted during the strategic planning process last year. Bussey (GED) asked if a list of issues has been developed yet. Discussion around what is the mission of this task force. There needs to be more communication. Bukovac noted we need to have bigger discussions around membership input. What is the "mission" of the task force. Skog noted that the SWAN Board reviewed the written charge for the group, and that we have work ahead of us. All meeting resources - agenda, notes, packets - are available on the SWAN Support Site.

A brief discussion about concerns with configuration issues with Explore More Illinois. Skog will have update in a few weeks after Dawne Tortorella meets with Jessica Barnes at RAILS.

Milavec asked if there are any updates on Harvey Public Library District & Calumet Park Library payments. Skog noted SWAN will continue with the procedure of "non-payment of membership dues".

Verzani asked if Lisle Public Library responded to the Internet Access Letter. Skog replied they have not.

There was a brief discussion about BLUEcloud Analytics High Demand Holds report. More staff training and best practices as well as SWAN being more proactive are all positive from the Board. Tortorella will highlight BLUEcloud Analytics progress at the Quarterly meeting in June.

Operations Report

No discussion.

Treasurer Report

None.

Board Calendar

Skog noted we are waiting for the FY21 RAILS LLSAP Support Grant application.

Discussion Item – Accounting Services

Skog discussed the yearly cost for accounting services, use of a lock box, as well as the CCS visit and reaching out to our current auditing firm Lauterbach & Amen. The Board agreed Skog should proceed with sending Request for Information to potential accounting firms.

Discussion Item – Revised SWAN Holidays

A brief discussion explaining SWAN employees will receive either Martin Luther King Day or President's Day as a Holiday, but not both. Board agreed to add as an Agenda Item on next month's Board Agenda.

Discussion Item – New Parental Leave Policy

Milavec discussed that the committee wanted to bring this to the Board as a whole. There were questions, and because of that, Skog put together a Q&A document. Checking in with other library directors, some board members' found the reaction to adding a policy to SWAN was positive. Bodewes would like to see the policy be more expansive. Discussion with how the policy will read. i.e. general medical leave, family leave, etc. The Board decided to have the Personnel Committee meet again to revise the policy, and discuss with HR Source to form/recommend correct wording as well.

Discussion Item – Revised Harassment Policy

Board agreed to add as an Agenda Item on next month's Agenda.

Discussion Item – New Names and Preferred Pronouns Policy

A brief discussion on the New Policy.  HR Source recommendation to have employees opt out when it comes to adding pronouns to email signature.  Board agreed to add as an Agenda Item on next month's Agenda.

Discussion Item – Revised Travel Policy

Discussion around travel costs included comparison of transportation costs and employee choice of transportation. SWAN wants to find the lowest cost travel for sending staff to conferences and training that is not local. For example, transportation reimbursement for mileage should not exceed cost of air transportation. Board agreed to add as an Agenda Item on the next month's Agenda.

Discussion Item – SWAN June 6, 2019 Quarterly Meeting Agenda

Discussion on how to make the Quarterly Meeting's of more interest.  Let the members know how SWAN is moving forward and becoming more independent.   The Board enjoys having SWAN Department heads speak.  Reminder again the meeting begins at 10 a.m. at Oak Brook.

Discussion Item – Executive Session – SWAN Executive Director Yearly Review

The Regular Board Meeting adjourned at 10:45 a.m. for the closed Executive Session.


 The Board reconvened at 12:30 p.m.  The meeting was adjourned by President Bodewes at 12:33 p.m.


Next Board Meeting

The next SWAN Board Meeting will be held on June 28, 2019 at Thomas Ford Memorial Library at 9:30 a.m.

Minutes Prepared by Ginny Blake

Respectfully Submitted,

Tiffany Verzani, Board Secretary

# SWAN Executive Director Report

*June 28, 2019*

## SWAN Strategic Plan 2019-2023

We provided an overview to attendees at the June Quarterly meeting on the strategic plan and tactical plan. With the ending of our second quarter in 2019, I wanted to update the Board on the goals of the tactical plan.

**Objectives**

1. Develop a Shared and Accurate Diagnosis of Member Dissatisfaction Around the Existing ILS and OPAC
2. Deliver on the Solutions that Can Be Readily Implemented, While Focusing on Long Term Solutions
3. Reconstitute as a Mission Driven 501c3 with Clear Representative Governance Practices
4. Increase Presence of the Patron Perspective
5. Strengthen the Collective Identity
6. Seek External Funding Options to Support the Research & Development Initiatives of SWAN

**Tactical Plan Goals**

| 2019: Q1 (JANUARY-MARCH) | 2019: Q2 (APRIL-MAY) |
|---|---|
| ✓ Form Clarity Task Force (Obj 1)<br>✓ Complete Infrastructure Migration (Obj 2)<br>✓ Membership Implementation Freeze (Obj 2)<br>✓ Plan SWANx19 Event (Obj 5)<br>✓ Article Search Usability Study (Obj 4) | ✓ Evaluate BLUEcloud Staff Interface (Obj 2)<br>✓ Perform an Assessment of BLUEcloud Acquisitions (Obj 2)<br>✓ Automated Delivery In-Transit Label (Obj 2)<br>✓ Pilot Online Membership Forums (Obj 5)<br>✓ Create a Curriculum of Training for Member Library Staff (Obj 1)<br>✓ Create More Online Documentation (Obj 1)<br>Create New OCLC Holdings Update Process for SWAN (Obj 2)<br>Evaluate Organization Legal Entity (Obj 3)<br>Offer Library Patrons Mobile Application through BLUEcloud Mobile (Obj 2)<br>Conduct ILS Audit (Obj 1) |

| 2019: Q3 | 2019: Q4 |
|---|---|
| Negotiate Extension of SirsiDynix Agreement (Obj 2) | Upgrade Enterprise 5.0.1 (Obj 4) |
| Create Net Promoter Score Survey (Obj 1) | Assess the Discovery Platform for SWAN & Provide Recommendation (Obj 4) |
| Study & Offer E-Content Consortia Purchases (Obj 2) | Determine Community Driven Software Initiatives within FY21 Operations Budget (Obj 2) |
| | Clarify Role of SWAN Advisory & User Groups (Obj 5) |
| | Build "Your Library Statistics" Monthly Report (Obj 2) |

**Tactical Plan Roadmap**

The goal of roadmap is to show that the duration of some of the tactical plan goals will take several quarters to complete. Blue is Objective 1, red is Objective 2, green is objective 3, purple is objective 4, and orange is objective 5.
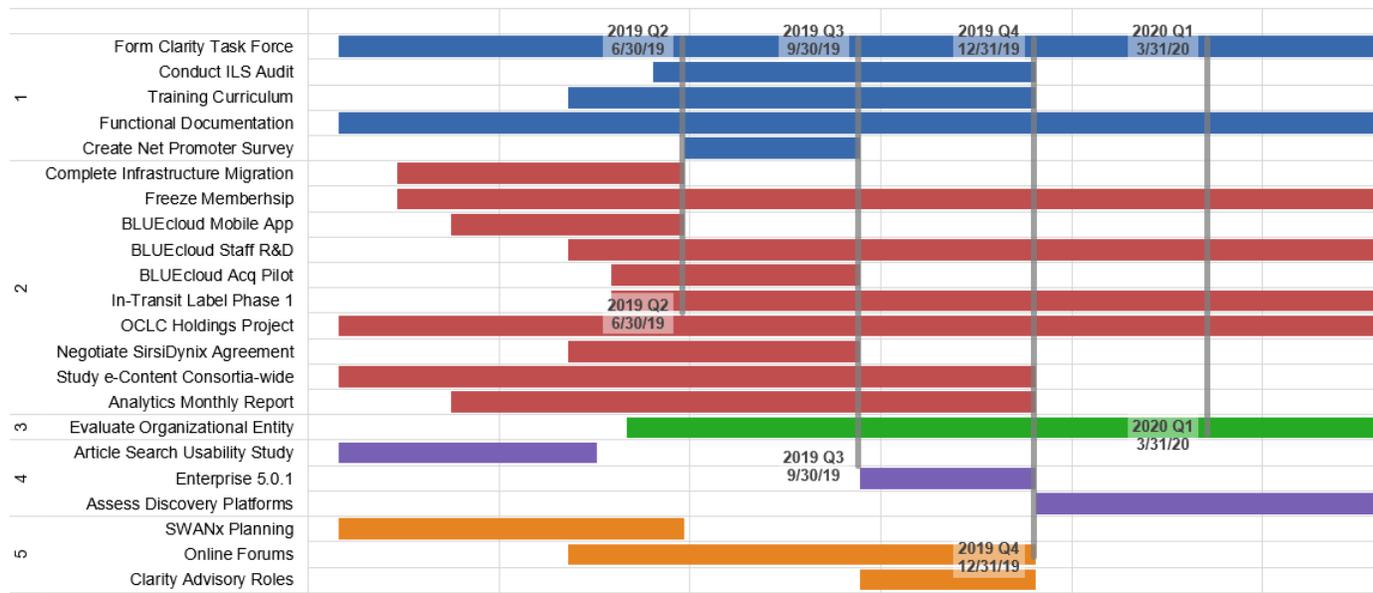
## Objective 1: Develop a Shared and Accurate Diagnosis of Member Dissatisfaction Around the Existing ILS and OPAC (Staff Interface and Online Catalog)

**Form Clarity Task Force**

The task force held its third meeting last month. The results of the strategic plan survey and comments from library staff were reviewed. From this discussion, Clarity will design an evaluation of WorkFlows and Enterprise use within the representative's libraries.

Below is a summary of Clarity meeting discussion to date.

What is not going well:
- Symphony Acquisitions: library staff using Acquisitions have been unhappy with the New 19 impact on how quickly they can complete their work routine.
- BLUEcloud Analytics: the organization and vast number of reports is confusing.
- Placing requests and being denied access to new material is confusing to patrons.
- Patron complaints to library staff about not receiving notification is a constant, low-level issue.

What is going well:
- Advisory and User groups: each group is unique and has a structure that reflects what is important to the group, e.g. Circulation Advisory has 11 reps, while Discovery & User Experience reps prefer a collaborative approach.
- SWAN support and meeting preparation get high marks; post-meeting information and sharing could be improved.

Activity:
- To help us better understand frustration around BLUEcloud Analytics, Clarity conducted a demonstration of another statistical reporting tool for comparison.
- To help us move forward with the goal of evaluating BLUEcloud's new staff interface as part of Objective 2 of the strategic plan, Clarity discussed the various ways SirsiDynix, SWAN, and member libraries can participate in the design and improvement of the new interface.

Next steps:
- Clarity members will conduct journaling at their libraries to help diagnose pain points within their daily use of Symphony WorkFlows.
- Opportunities for additional member feedback will be offered during July-August.
- Initial findings will be presented in September to the SWAN Board.

**Create a Curriculum of Training for Member Library Staff**

This past month, SWAN announced 41 training sessions through December 31, 2019. These are a combination of online, hands-on, and in-person consulting.

**Create More Online Documentation**

The new support website launched in December. The addition of Green Hills Public Library District in February motivated us to publish new and updated documentation on the support website as a component of their SWAN training. I am pleased to see that documentation continues to be created and updated as part of our regular internal processes. The SWAN support site launch was not a one and done moment! I encourage everyone to scan some of the recently updated documentation:

Cataloging: https://support.swanlibraries.net/documentation/64616
Supported 3rd Party Vendors: https://support.swanlibraries.net/documentation/64766
Reciprocal Borrowing Patrons: https://support.swanlibraries.net/documentation/64679

**Conduct ILS Audit**

Dawne Tortorella and Steven Schlewitt have used the monthly SirsiDynix consulting (called SureSailing) to evaluate SWAN's ILS configuration. Under internal discussion are parameter changes that will require some limited experimentation with a member library, e.g. filling holds.

## Objective 2: Deliver on the Solutions that Can Be Readily Implemented, While Focusing on Long Term Solutions

**Complete Infrastructure Migration**

SWAN went live on the Microsoft Azure cloud platform in January. This included moving patron email notification to a new system through the vendor SendGrid. We are now able to verify delivery of emails to patrons and determine a success rate.

**Membership Implementation Freeze**

We have a freeze in place for FY20. This topic was discussed at the June 6, 2019 SWAN Quarterly meeting and the use of bi-annual windows for joining was endorsed.

**Create New OCLC Holdings Update Process for SWAN**

The long-standing solution provided by the State Library under The MARC of Quality is ending June 30, 2020. The new process is underway as "Project X" as the LLSAP staff design the specifications. Scott Brandwein has assured the new solution will have a name that is "both memorable and sophisticated."

**Offer Library Patrons Mobile Application through BLUEcloud Mobile**

We will be announcing a test version for SWAN library staff and announcing training on Mobile's administrative interface. Bookmarks will be shipped to libraries the first week in July.

**Evaluate BLUEcloud Staff Interface**

We formed an internal team to configure BLUEcloud and formed an initial working group of libraries to pilot the new staff interface. We expect this evaluation to last for two years.

**Perform an Assessment of BLUEcloud Acquisitions**

This is an official pilot with SirsiDynix and is of limited duration. We anticipate providing our assessment after the pilot ends this fall.

**Automated Delivery In-Transit Label**

The basic delivery label is now in use with nearly 20 SWAN libraries. New functionality for creating labels for non-SWAN libraries will be announced soon.

## Objective 3: Reconstitute as a Mission Driven 501c3 with Clear Representative Governance Practices

**Evaluate Organization Legal Entity**

We have a follow up legal opinion on the make up of the governing board for a 501c3, and how that would affect the fundraising/donations for the organization.

In April, we discussed how to divide the topics on a 501c3 model over several meetings. SWAN Board President Ted Bodewes recommended the Board review the second legal opinion at its June meeting.

**Governance Study Committee**

A draft of the written charge was discussed at the January and February 2019 SWAN Board meetings and are part of those posted meeting packets.

## Objective 4: Increase Presence of the Patron Perspective

**Article Search Usability Study**

The User Experience team completed a usability study and published the findings in June. This study was included as part of the June Quarterly meeting.

## Objective 5: Strengthen the Collective Identity

**Pilot Online Membership Forums**

SWAN IT & System Support has created an online forum platform for SWAN. This will be used and evaluated with Bibliographic Services and library catalogers.

**Plan SWANx19 Event**

The sessions and registration were announced in June.

## Monthly Financial Report

As of May 31, 2019, the balance sheet reflects a new account called Vendor Credits.  Green Hills Public Library had prepaid maintenance with SirsiDynix prior to joining SWAN.  This credit was passed along to SWAN by SirsiDynix to apply against the SWAN annual maintenance invoice that will be paid in June 2019.  The Vendor Credits will reflect the difference between the amount applied to Green Hills Public Library's FY19 membership fees and the amount applied to SWAN's SirsiDynix maintenance for the FY19 period.  The balance will be spent down as more of this credit is applied to Green Hills FY20 membership fee invoices.

Please note that the May 2019 Revenue and Expense reports do not include SirsiDynix maintenance expenses related to this month.  When the annual maintenance invoice is processed and paid in June, the two months' worth of expenses will be reflected in Equipment Repair and Maintenance Agreements.

SWAN has received $568,468.75 (96%) of the total invoiced fourth quarter SWAN fees of $591,143.25 within less than two months of billing.  The libraries with outstanding prior and current period SWAN fees, as of June 21st, include:

- Harvey – Owing $24,285.25 in total. As of February 7, SWAN received payment for the third quarter FY SWAN fees.

- Calumet Park – Owing $12,045.74 in total. SWAN received payment for SWAN fees on May 13th, and another payment on June 17th.

The June SWAN Board meeting agenda includes a recommendation to write-off invoices SWAN deems it should no longer pursue. A memo detailing the invoices and amounts is included in the meeting packet.

# SWAN Operations Report: June 28, 2019

## Member Engagement – All Staff

Staff conduct training, make site visits, participate and lead membership meetings, and work with our larger library partners in other consortia and with vendors. To help highlight these activities, we have compiled all activities within a comprehensive list.

The following abbreviations are used to show departments:  UX – User Experience, Bib Srvs – Bibliographic Services, IT – Information Technology and Systems Support, Adm – Admin.

## Site Visits, Training, and Networking

During the past reporting period (May 14th – June 21st):

- 5/15 – SWAN Circ Advisory Meeting (UX: Crystal-chair, Tara, Bib Srvs: Sam-co-chair, IT: Vickie, Ian, Dave, Michael, Adm: Dawne)
- 5/21 – Chicago Code4Lib Spring Meeting (UX: Tara, Robin, Bib Srv: Scott, IT: Rudy, Adm: Aaron)
- 5/22 – Open Lab: OCLC Configuration & Setup (Adm: Dawne)
- 5/23 – RAILS Exposing Consortial Holdings Working Group (Adm: Dawne, Bib Srvs: Scott)
- 5/23 — Discovery and User Experience (DUX) Meeting (UX:Tara-chair, Robin, Lauren, Bib Srvs: Scott, IT: Ian)
- 5/24 – BLUEcloud Kick-Off Meeting (UX: Crystal, Bib Srvs: Scott, Sam, Diane, Claudia, IT: Steven, Rudy, Ian, Dave, Michael, Adm: Aaron, Dawne-chair)
- 5/24 – Cicero Site Visit - MobileCirc setup (IT: Ian)
- 5/28 – BLUEcloud Analytics Open Lab (IT: Vickie, Michael, UX: Crystal)
- 5/30 — Itasca Outreach Site Visit (UX: Crystal, Adm: Dawne)
- 5/30 — La Grange Outreach Site Visit (UX: Crystal, Adm: Dawne)
- 5/31 – Northlake Pre-Cat Training (Bib Srvs: Claudia, Diane)
- 6/3 – Roselle Management Team Meeting, SWAN Overview (Adm: Aaron, Dawne)
- 6/5 – Clarity Task Force (Adm: Aaron, Dawne, Bib Srvs: Scott, IT: Steven, UX: Tara)
- 6/6 – St. Charles site visit for RFID discussion (IT: Ian, Vickie)
- 6/6 – SWAN Quarterly Meeting (Adm: Aaron, Dawne, Ginny, UX: Tara, Robin, Crystal, Bib Srvs: Scott, IT: Ian)
- 6/7 – LLSAP Cataloging Managers (Adm: Dawne-chair, Bib Srvs: Scott)
- 6/7 – Messenger Library of North Aurora - Batchloading/OCLC Connexion Training (Bib Srvs: Scott, Claudia)
- 6/12 – ILL User Group (Bib Srvs: Scott, IT: Vickie, UX: Crystal, Adm: Dawne-chair, Helen)
- 6/13 – Serials User Group (Bib Srvs: Scott, Sam-chair, Claudia, Diane, Angela, Sue, IT: Vickie)
- 6/14 – Cataloging Standards Task Force (Bib Srvs: Scott-chair, Sam, Claudia, Diane, Angela, Sue)
- 6/17 – RAILS Exposing Consortial Holdings Working Group (Adm: Dawne, Bib Srvs: Scott)
- 6/19 – Circ Users Group Meeting (UX: Crystal, Tara, Bib Srvs: Sam, IT: Steven, Michael, Dave, Adm: Dawne, Helen)

### SirsiDynix Support & Consulting

- 5/22 – BLUEcloud Mobile Consulting with SirsiDynix (UX: Tara, Robin, Lauren)
- 5/22 – eResource Central Consulting with SirsiDynix (UX: Tara, Robin, Adm: Dawne)
- 5/29 – BLUEcloud Mobile Consulting with SirsiDynix (UX: Tara, Lauren, Adm: Dawne)
- 6/14 — BLUEcloud Staff Client Consulting with SirsiDynix (UX: Tara, Crystal, Bib Srvs: Scott, Sam, Claudia, Diane, IT: Steven, Rudy, Ian, Dave, Michael, Vickie, Adm: Dawne)
- 6/14 – Sure Sailing Call (SWAN staff from all departments participate)
    - Review removal of agency codes for Brookfield Zoo and Frankfort Bookmobile
    - Determining best method of deleting uneditable MARC tags (001, 003, 902, etc)
    - Creating new format policies
    - Discuss challenge of control number matching and book sets
    - Indexing settings when date fields are updated
    - Review processing and behavior of Onshelf Items Reports
    - Discussion on OpenSearch

## SWAN Assistant Director (Dawne Tortorella)

### Interlibrary Loan and Non-SWAN Account Management

Helen Pinder has completed reconciliation of SHARE Illinois accounts reducing the number of these accounts from nearly 400 to 35 active accounts. SHARE Illinois is a program supported by RAILS where RAILS consortia allow direct hold requests in partnering catalogs. However, the majority of requests from these libraries come through OCLC WorldShare ILL and their SHARE Illinois accounts within SWAN were never used. RAILS will be sunsetting this program as Find More Illinois is now available.

Internet Access library accounts were also reconciled with 14 remaining schools from 5 schools districts served through this program. Many of our SWAN public libraries are transitioning to serving their local schools through use of teacher cards or a school card, allowing continuation of holds placement through Enterprise without the cost of Internet Access level account. The Internet Access level allows each school district to have a direct drop-off point for RAILS delivery. For those schools that pick-up items at their local library, there is no benefit to participation as an Internet Access library versus direct card holder (teacher or school) with the library.

Reconciliation of these accounts and data clean-up had another benefit. With consistent coding of delivery information and user profile, the SWAN In-Transit delivery label program developed by Rudy Host can now automatically check out those items that require routing through RAILS delivery to another hub.

### BLUEcloud Analytics

BLUEcloud Analytics Templates have been released to the membership. The purpose of templates is to provide a more open query of data, allowing members to then filter and page by the data desired. These templated reports are available from:

SWAN Reports > Report Templates >

- Count/List Items Report
- Item Circ Report

These reports cast a wide net and collect large amounts of data. The data prompts allow libraries to choose as much general or specific criteria as desired. The following example illustrates a typical path of inquiry.
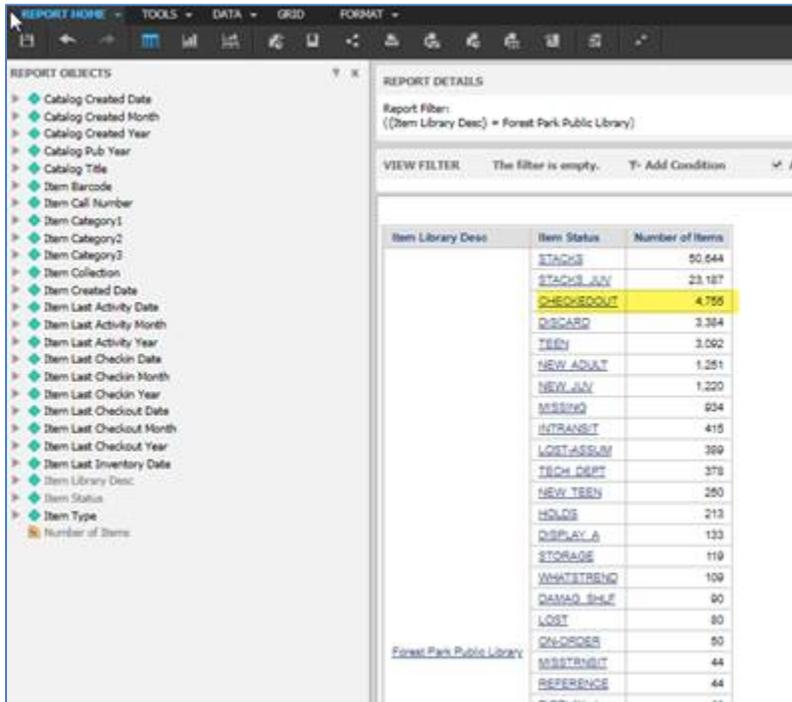
Example: Count/List Items Report
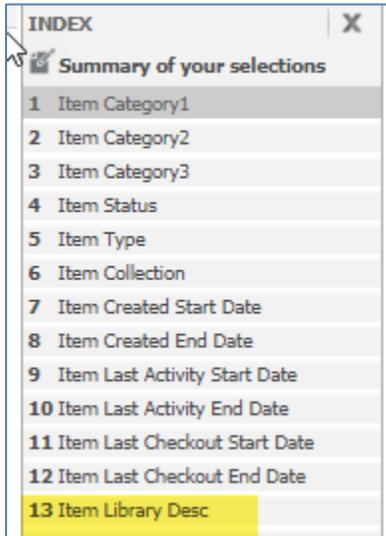


Once that report runs, it returns a total count. The data can be further broken down by selecting additional report objects in the REPORT OBJECT panel.
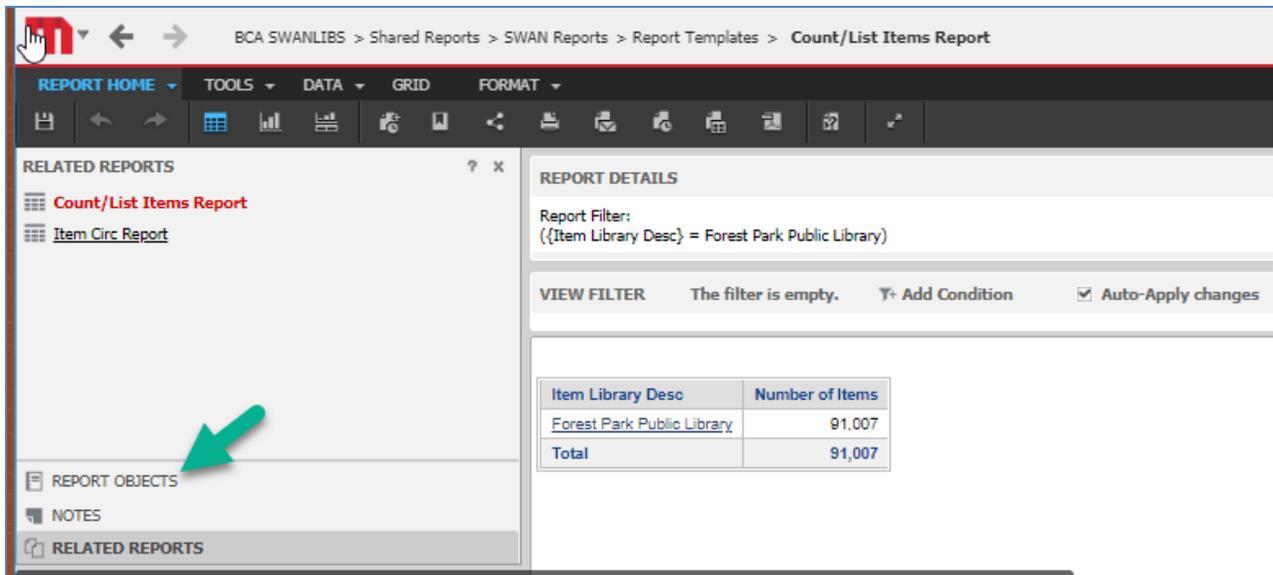
Expanding REPORT OBJECTS, exposes additional data that can be dragged/dropped into the report grid. For example, to see total number of items CHECKEDOUT, drag over "Item Status"



Dragging "Item Library Desc" out of the grid and into the Report Objects creates a more concise display if analysis is done at a single library level. To look more closely at CHECKED OUT items, by Collection (Home Location), drag over "Item Collection", then Sort by Item Status/Item Collection.

- Menu > Data > Data Sort
- Then filter by Item Status = CHECKEDOUT
  TOOLS > View Filter (make sure this is checked)
  In View Filter pane, Add Condition Filter On: Item Status, Select In List, CHECKEDOUT
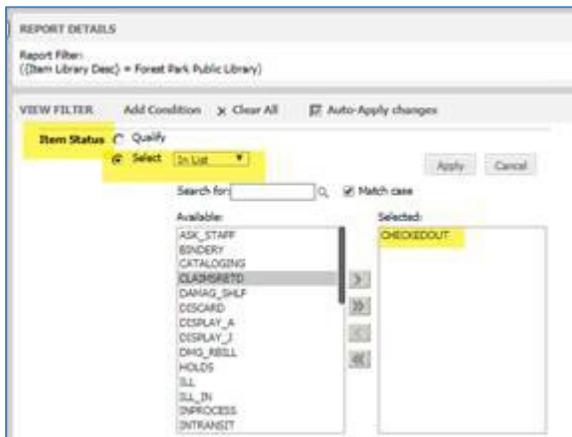
This results in count of items currently checked out and their home location (Item Collection) results.
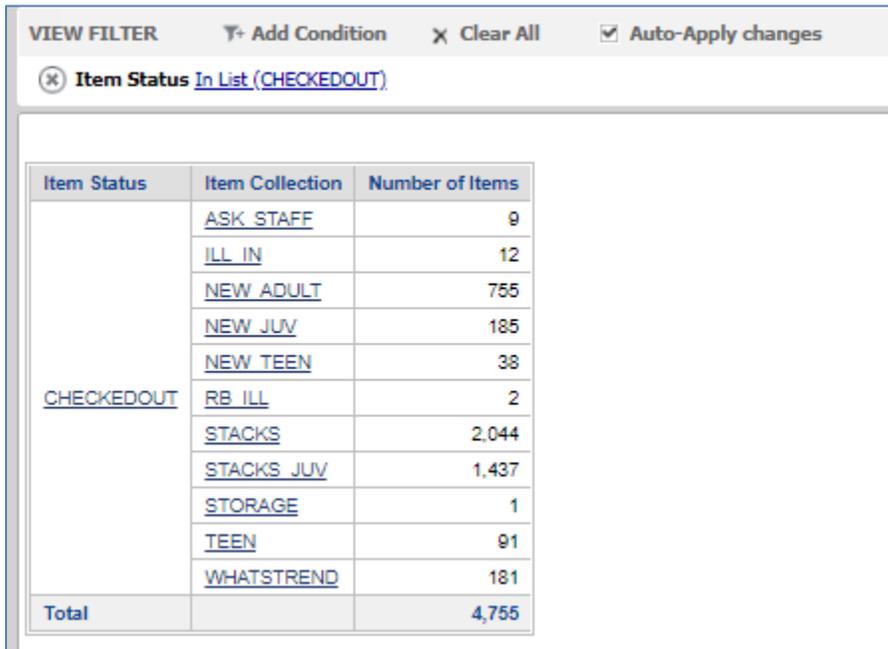
| Item Status | Item Collection | Number of Items |
|---|---|---|
| CHECKEDOUT | ASK_STAFF | 9 |
| | ILL_IN | 12 |
| | NEW_ADULT | 755 |
| | NEW_JUV | 185 |
| | NEW_TEEN | 38 |
| | RB_ILL | 2 |
| | STACKS | 2,044 |
| | STACKS_JUV | 1,437 |
| | STORAGE | 1 |
| | TEEN | 91 |
| | WHATSTREND | 181 |
| Total | | 4,755 |

This scenario illustrates just one example of how the free-form templates enable library-specific analysis. These templates and "what-if" analysis questions will be reviewed during our BLUEcloud Analytics Advanced training and Open Labs (https://www.librarylearning.info/tags/?BlueCloud+Analytics)

## Create a Curriculum of Training for Member Library Staff Announced

SWAN has released training sessions through December 31, 2019. All SWAN events and training sessions can be found at:

https://www.librarylearning.info/tags/?SWAN2019

We are expanding our training options in both content and format. Starting in July, GoToMeeting sessions will be provided as a format to allow staff to take shorter courses online. The format is intended to provide 60 minutes of guided demonstration and training, followed by 30 minutes of Q&A. These sessions will be recorded so that we can share widely with the members and facilitate training whenever convenient for members.

This online format supplements our existing hands-on labs, open consultation sessions (Open Labs) and lecture/discussion workshops.  The course offerings include:

- Acquisitions Overview (1.5 hours) [GoToMeeting]
- Pre-cat Training (1.5 hours) [GoToMeeting]
- BLUEcloud Analytics Overview (2.5 hours) [Hands On Lab]
- BLUEcloud Analytics Advanced (2.5 hours) [Hands On Lab]

- Open Lab: BLUEcloud Analytics (2 hrs) [Open Lab – SWAN HQ]
- OCLC Connexion Import (2 hours) - consulting/by request on site [By request, on site]
- OCLC WorldCat Discovery and WorldShare ILL Integration (2.5 hours) [Lecture– In Person]
- SWAN Resource Sharing Overview (1.5) [GoToMeeting]
- OCLC WorldShare ILL - Setting Up Groups and Deflection (1.5 hours) [GoToMeeting]
- Open Lab: OCLC WorldCat Discovery and ILL Configuration (2 hrs) [Open Lab – SWAN HQ]
- Article Search and EBSCO Discovery Service for Reference Support (1.5 hrs) [GoToMeeting]
- Searching in Workflows (1.5 hours) [GoToMeeting]
- Serials Control Workshop (1.5 hours) [GoToMeeting]

We are soliciting additional ideas for development and have the following on our 2020 wish list so far:

- Setting up OCLC Interlibrary Loan Fee Management (IFM) (1.5 hr)
- Using OCLC Article Exchange for Electronic Copies (1.5 hr)
- What is BLUEcloud? (1.5 hr)
- Serving Homebound Patrons Using WorkFlows Outreach (1.5 hr)
- SWAN Office Hours monthly online drop-in hours (1.5 hrs)
- Bookclubs: Best Practice and Examples (1.5 hr) - maybe online panel with a couple of members
- Highlighting SWAN Cataloging Standards (1.5 hr)
- Tracking Open Tickets with SWAN and Best Practice for Submitting Tickets (1.5 hrs)
- SWAN Library Services Platform – An Overview of Systems & Services (1.5 hrs)
- Short video BLUEcloud Analytics segments (3-5 minutes each)

## SWAN Bibliographic Services (Scott Brandwein)

### BLUEcloud Acquisitions and Cataloging Pilots

SWAN is completing the configuration phase of these projects, and we will begin testing with our member volunteers when access and permissions have been finalized and fully tested. The BLUEcloud Acquisitions pilot is regimented, and we will be following SirsiDynix's plan, focusing on evaluation and feedback.

In contrast, the BLUEcloud Cataloging pilot will evaluate some specific use cases Bibliographic Services has laid out and allow our testing members to do the same. While providing feedback is still an essential aspect of this project, we will be determining if there might be immediate practical uses for the tool that SWAN staff or its membership can adopt.

BLUEcloud Cataloging's emphasis on bibliographic templates may have use in streamlining and standardizing our hand-keyed pre-cats and bringing better fixed field data into them without complicating the process for member staff. Also, the merge and replace functions tied to Z39.50 connections to (for example) OCLC and the Library of Congress have a high degree of configurability that may assist with on-the-fly record enhancement without the need to overlay.

## Serials User Group Meeting

This meeting included a demonstration of new BLUEcloud Analytics reports of serials data, instruction on generating custom chronology patterns using lists, and updates on ongoing projects. Member discussion topics included claiming practices, quirks in issue sorting by chronology, publications with irregular and unpredictable editorial calendars, and the desire to establish a platform to communicate when publications cease or change chronology with other members.

## Cataloging Standards Task Force

The Cataloging Standards Task Force had a second meeting in June. In addition to discussing fixed field data, author main entries, and optional role designations, we went over some of the system-level hinderances related to standard numbers, particularly how it handles repeated and invalid ISBNs and UPCs. At the time of the meeting, we had questions pending with SirsiDynix, so we could not fully flesh out our expectations with regard to these numbers. But the fuller understanding of how our database interacts with this type of MARC data will inform how we go forward.

I expect the task force will be able to conclude this project by the end of the summer.

This group will also be the first to test our upcoming discussion forums. Bibliographic Services has configured our SWAN Member Forums environment into the beginnings of a structure, and I will be seeding the platform with some discussion points related to the task force's work – follow up on past topics, discussion of minutiae, etc. – during the last week of June. We hope this will be a useful tool for us and can help promote the platform when it is released to the wider SWAN membership.

## OSMOSIS Replacement/Project X Status

The LLSAP Cataloging Managers meeting on June 7th led to the resolution that it is time to begin in earnest the building of a prototype tool that will analyze a MARC extract and generate lists of record adds and deletes for OCLC holdings maintenance. We will work on this now with the goal of creating something concrete to demonstrate in about a month.

## Cataloging Counts: SWAN Bibliographic Services

*Counts do not include nineteen cataloging libraries. Original cataloging counts are new records created for SWAN and added to the OCLC WorldCat database. Copy cataloging counts are records downloaded from OCLC and added to SWAN's bibliographic database.*

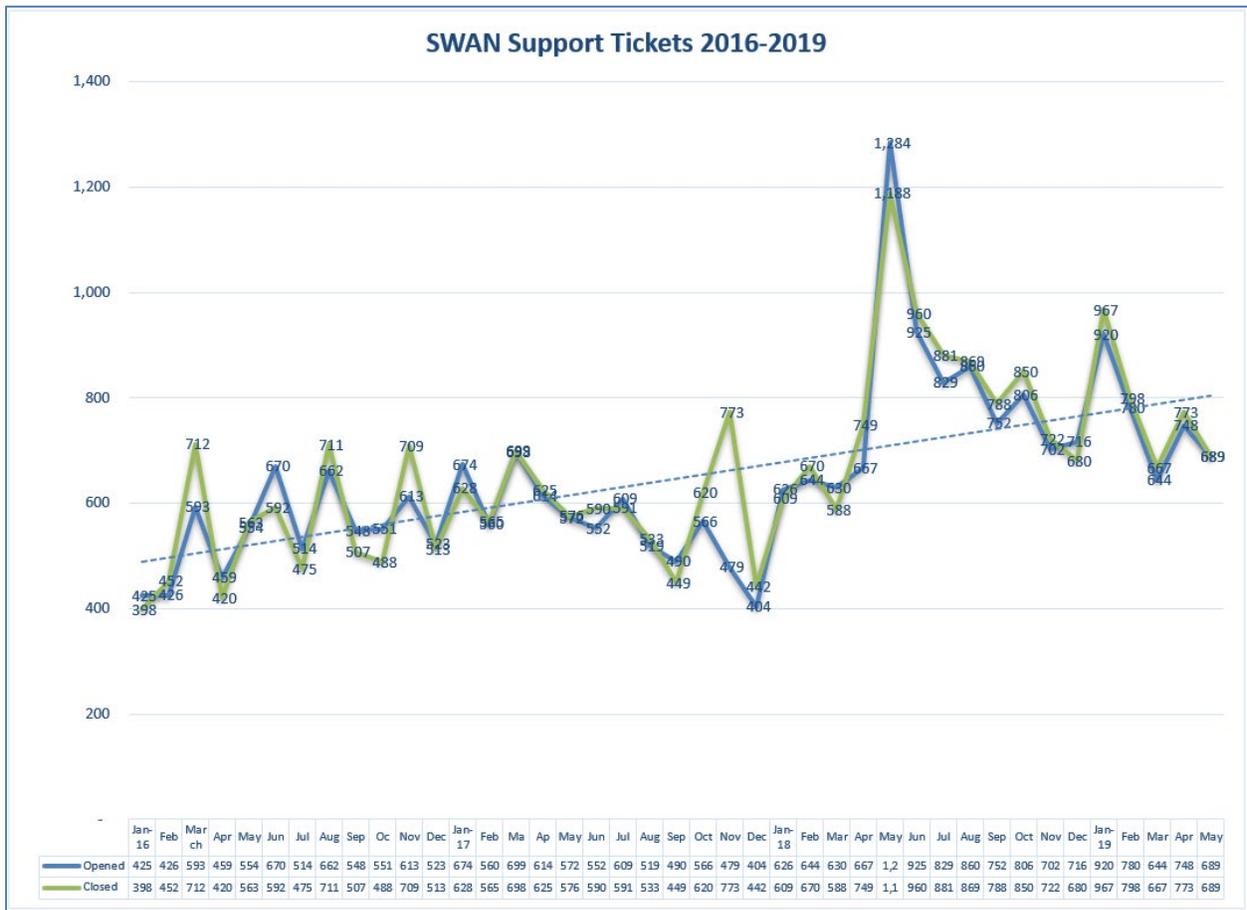For May, there were 98 upgrades of minimal level records in OCLC to full records.

| | Jan | Feb | Mar | April | May | June | July | Aug | Sept | Oct | Nov | Dec | Total |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Orig 2017** | 96 | 132 | 169 | 131 | 133 | 209 | 266 | 184 | 96 | 195 | 93 | 112 | **1,816** |
| **Copy 2017** | 3,133 | 3,616 | 3,203 | 3,576 | 3,456 | 2,954 | 3,848 | 4,856 | 3,031 | 3,135 | 3,392 | 4,054 | **42,254** |
| **Orig 2018** | 122 | 89 | 147 | 70 | 119 | 148 | 118 | 167 | 116 | 209 | 194 | 92 | **1,591** |
| **Copy 2018** | 3,896 | 3,348 | 5,157 | 4,614 | 2,851 | 1,493 | 2,138 | 2,459 | 2,010 | 1,866 | 1,376 | 2,056 | **33,264** |
| **Orig** | 126 | 82 | 106 | 211 | 92 | | | | | | | | |

| 2019 | | | | | |
|---|---|---|---|---|---|
| Copy 2019 | 2,565 | 1,952 | 1,939 | 2,352 | 2,032 |

## SWAN IT & System Support Services (Steven Schlewitt)

### Support Tickets

We have completed our first month under a new arrangement of internal ticket coverage. SWAN's ticket closure rate under the new support rotation and ticket reorganization has been consistent with May showing 689 opened and closed. As of June 21st, 87 tickets are currently open. The IT team is also establishing new processes for stale ticket review with hopes to keep ticket age under 30 days and to ensure consistent follow-up. Library staff should be seeing quicker acknowledgement of tickets by SWAN staff.



SWAN Support Tickets 2016-2019

| | Jan-16 | Feb | March | Apr | May | Jun | Jul | Aug | Sep | Oc | Nov | Dec | Jan-17 | Feb | Ma | Ap | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan-18 | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan-19 | Feb | Mar | Apr | May |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Opened | 425 | 426 | 593 | 459 | 554 | 670 | 514 | 662 | 548 | 551 | 613 | 523 | 674 | 560 | 699 | 614 | 572 | 552 | 609 | 519 | 490 | 566 | 479 | 404 | 626 | 644 | 630 | 667 | 1,2 | 925 | 829 | 860 | 752 | 806 | 702 | 716 | 920 | 780 | 644 | 748 | 689 |
| Closed | 398 | 452 | 712 | 420 | 563 | 592 | 475 | 711 | 507 | 488 | 709 | 513 | 628 | 565 | 698 | 625 | 576 | 590 | 591 | 533 | 449 | 620 | 773 | 442 | 609 | 670 | 588 | 749 | 1,1 | 960 | 881 | 869 | 788 | 850 | 722 | 680 | 967 | 798 | 667 | 773 | 689 |

### General Projects

- Microsoft Teams rollout and training for SWAN staff – Ian, Steven, Michael
- BLUEcloud Central account and permission configuration – IT team
- Acquisitions libraries' fiscal rollovers – Vickie

- Coordination of temporary branch closing for OES – Ian, Vickie
- Extended patron info consolidation in Symphony – Dave
- Continued investigation into Symphony file transfer security – Rudy
- Coordination of Web Services 2019.03 off-hours upgrade – Steven
- CLR local transactions follow-up – Vickie
- Symphony API refresher training – Ian and Michael

## SWAN Community Forums

After several months of internal discussion and investigation, the IT team has settled on a platform and host for the SWAN community forums, a project that will span all departments in the initial configuration and pilot. Rudy Host configured the open source Discourse threaded discussion board in the SWAN Azure Cloud environment. Tara and the UX team then spent some time customizing the site and creating guidelines for use, and Scott alongside the Bib Services team will soon demo the forums in a limited pilot with a catalogers group. The pilot phase will potentially expand in the upcoming months based upon adoption of the platform.
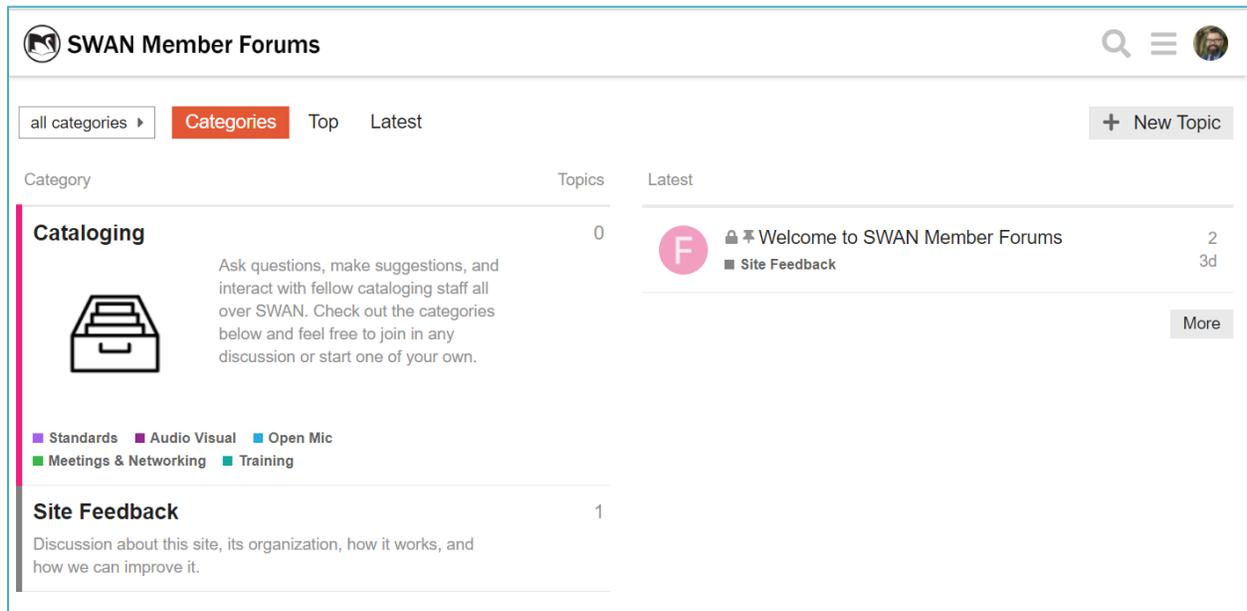


**Figure 1 Built on the open source platform Discourse, SWAN is piloting forums with the Cataloging Libraries**

## Transit Delivery Label Generator Update

We estimate 20 libraries now using the automated delivery label for in-transit items. Rudy Host has continued development work to adapt the utility for delivery transits outside of the SWAN membership. The function currently under development recognizes the receiving library, automatically checks the material out to the appropriate external library account, and generates the corresponding label needed by RAILS to transit to the correct RAILS delivery hub and library. We are also testing a new feature to reprint a label.

## Email Notice Tracking

As of June 21st, SWAN sent 409,491 email notifications in the from the SWAN Symphony server over the past 30 days. SWAN observed a delivery success rate of 98.75% (404,357), with 0.14% (555) of those emails bouncing due to a patron email issue and 0.01% (23) of those emails reported as SPAM by the patron. The remaining amount is currently in a "delivering" status. While the bulk of these emails are patron notifications, some of the emails are to library staff for Symphony reports/statistics.

## Outage Tracking

| Date | Time | Elapsed (Min) | Service | Planned? | Lib Hours? | Reason |
|---|---|---|---|---|---|---|
| 6/1/2019 | 10:00 | 2 | Enterprise | No | Yes | Web services outage following brief Symphony server load spike |

# SWAN User Experience (Tara Wood)

## BLUEcloud Mobile

We are ready to release a beta version of the BLUEcloud Mobile to member libraries for testing. Information to access the test app and request customizations is available through the SWAN support site. We are still working with SirsiDynix to set a go-live date.

In our last report, we outlined the following issues, all of which we have resolved working closely with SirsiDynix. These include:

- Reviewing and correcting eResource Central (eRC) integrations for each library
- Resolving issues with viewing holds, and suspending and unsuspending holds
- Configuring the display of item availability
- Troubleshooting our Syndetic Solutions integration, which provides item covers, summaries, table of contents, and other enhanced content for items
- Setting up fines and BLUEcloud Commerce/ProPay integration

In this process, we also identified improvements to the search facets configuration and to labels used in the app. Some labels did not align with the labels used in Enterprise—for example, "Sign On" in the app and "Log In" in Enterprise. Others used British English, as the app developers are based in Great Britain, and we updated some wording to the American standard—for example, "Events" instead of "What's On."

Libraries will be able to make additional label changes themselves. Tara is working on BLUEcloud Mobile app administrator training for the membership, and we will set up training dates soon. Trainings will be offered online through GoToMeeting, and they will be recorded for anyone that is not able to attend trainings in real time.

Testing and configuring this app has taken persistence, creativity, and many, many hours of work from the UX team, but we are finally in the home stretch. We think our libraries are going to be very happy with the results.

### BLUEcloud Circulation Evaluation

Crystal Vela has been working in BLUEcloud Circulation almost exclusively for her daily work, and she has been extensively documenting the questions and issues that she finds.

Crystal participated in the kickoff meeting for the BLUEcloud staff client evaluation this month. In addition, Crystal and Tara participated in the BLUEcloud staff client consulting call with SirsiDynix where we shared many of Crystal's findings.

### Workflows Circulation Evaluation

In addition, Crystal and Tara are planning a small generative research activity for Symphony Workflows, with volunteers recruited from Circulation Users Group. We will conduct interactive interview sessions with circulation staff from three libraries to identify areas where we can improve training and documentation, identify and share strategies for efficiency, and provide enhancement requests to SirsiDynix.

### Freegal Records in Enterprise

Robin Hofstetter worked with Freegal and SirsiDynix to set up a connector for Freegal in eResource Central and Enterprise. This means over a million Freegal records will be available for libraries to add to their Enterprise catalogs. Glen Ellyn volunteered as a pilot library, and their Freegal collection has been successfully added to their catalog. Robin is working on a wider rollout.

As we make this connector more widely available, we will closely monitor the impact to Enterprise, eResource Central, and Web Services.

### Continuing Education Class on User Experience Research and Design

The UX Team began the "Understanding User Needs" course, which is the second course required to complete in the UX Certification process. We are learning more about conducting interviews and observations and analyzing results through affinity diagramming – just in time for several research projects coming up, including Crystal's BLUEcloud staff client evaluation, and Robin's analysis of Article Search in reference interactions and instruction sessions.

### Discovery and User Experience (DUX) Advisory Group

In the last DUX meeting, the group reviewed the findings from the Article Search usability testing report. We also reviewed best practices for handling holds when patrons request an item that is the only copy in the system, and that item is marked as missing.

In the short term, a report is available in BLUEcloud Analytics that lists holds that have fallen into this predicament, and libraries can use that report to notify their patrons and place interlibrary loans if desired. In the long term, SWAN is working on an automatic email notification for patrons to notify them when a hold cannot be filled, with instructions to contact their library.

At our next meeting, we will look at the process for downloading and using eBooks and eAudiobooks from Enterprise.

## Circulation Users Group

Crystal and Tara attended the Circulation Users Group meeting in June, which was led by Peggy Tomzik. A major topic discussed was issues around billing and handling of damaged items. Some libraries are more aggressively billing for damage than others, and perhaps in response, other libraries are rejecting items for loan with light damage/normal wear.  Helen will be digging into data about libraries that are frequently billing for damaged items, and Tara, Crystal, and Dawne will work with her to identify patterns that could inform next steps in this discussion.

## SWAN
### Calendar-Timetable of Deadlines and Board Action Requirements

| DATE | MEETING TYPE | ACTION ITEMS |
|---|---|---|
| Monday, July 1, 2019 | | SWAN FY20 Budget goes into effect. |
| Friday, July 19, 2019 | Regular SWAN Board Meeting | Elect Officers: President, VP, Treasurer, Secretary & Complete Signature Card Changes for Bank Accounts. OMA Officers must complete training. Nominate for committees. Board self-evaluation. |
| Thursday, August 1, 2019 | | LLSAP Grant application package due to RAILS |
| Friday, August 9, 2019 | Regular SWAN Board Meeting | |
| Friday, August 16, 2019 | SWAN Expo | Annual conference at Moraine Valley Community College |
| Friday, September 20, 2019 | Regular SWAN Board Meeting | Closed session minutes 6 month review |
| August–September 2019 | | RAILS reviews LLSAP grant applications and determines awards |
| Saturday, September 21, 2019 | Regular SWAN Board Meeting | Identify SWAN policies to review. Review budget process timetable with SWAN Board. |
| Tuesday, October 1, 2019 | | RAILS responds with award letter and grant agreement |
| Friday, October 18, 2019 | Regular SWAN Board Meeting | Aaron begins work on FY21 budget, brings questions to SWAN Board if needed. |
| November [TDB] | Finance Committee | Aaron Skog and Treasurer review Budget; SWAN potential policies are reviewed. |
| Friday, November 15, 2019 | Regular SWAN Board Meeting | Board accepts FY19 audit. |
| | | Aaron to bring FY20 Budget draft; Board discuss Fees and determines next steps. |
| | | Set Board approves meeting dates for 2020 calendar. |
| Thursday, December 5, 2019 | Quarterly | Announce FY21 Budget Process |
| Friday, December 20, 2019 | Regular SWAN Board Meeting | Review of FY21 Budget Draft. |
| | | Approve FY21 LLSAP grant agreement |

| DATE | MEETING TYPE | ACTION ITEMS |
|---|---|---|
| Wednesday, January 1, 2020 | | Signed LLSAP grant agreements due to RAILS |
| Friday, January 17, 2020 | Regular SWAN Board Meeting | Review and recommend draft of SWAN Budget for Membership presentation. Set COW date for February for membership review. |
| | | Recommend Draft of SWAN Budget for Membership Presentation. Set Budget Meeting date for February for membership review? Review Succession Plan for ED. |
| | | SWAN Board reviews and adopts strategic plan. |
| January 2020 [TBD] | SWANcom | Board present draft budget to membership. |
| | SWANcom | Aaron Skog/Board announcement of draft budget to membership. Set February COW date and possible location of meeting. |
| February 2020 [TDB] | Membership Meeting | Meeting to discuss FY21 budget, fees, and reserves worksheet. |
| Friday, February 21, 2020 | Regular | Incorporate changes, suggestions to SWAN budget. Create recommendation to membership. SWAN Board Election Process Review. |
| | | Review Board Election Timetable. |
| | | Yearly review of SWAN Bylaws; establish committee if needed. |
| | | Closed session minutes 6 month review. |
| Thursday, March 5, 2020 | Quarterly | Roll call vote to approve SWAN budget. Announce Board election process. |
| Friday, March 20, 2020 | Regular SWAN Board Meeting | Determine if Finance/Personnel Committee meeint is needed. |
| March 2020 [TBD] | Finance Committee/ Personnel Committee Joint [if needed] | SWAN potential policies are reviewed. Yearly Employee Handbook review based on employment law requirements/recommendations. |
| Friday, April 17, 2020 | Regular SWAN Board Meeting | Review and approve Board Self Evaluation Form; assign date for completion. |
| | | Review proposed Bylaws changes (if any). Vote on recommendation to membership; send out SWANcom notification of amendment. |
| May 2020 [TBD] | SWANcom | Announce election info. |

| DATE | MEETING TYPE | ACTION ITEMS |
|---|---|---|
| Sunday, May 17, 2020 | Regular SWAN Board Meeting | Review Board Self-Evaluation Results. |
| | | Director Evaluation - Review document in preparation to complete for June. Assign deadline for completion. |
| Thursday, June 4, 2020 | Quarterly | Board Election Results. Vote on Bylaw amendments (if any). |
| Friday, June 19, 2020 | Regular SWAN Board Meeting | Review/Write Off Allowance for Doubtful Accounts |
| | | RAILS provides FY22 consortial support grant applications to consortia. |
| | | Director Evaluation - Provide results and discuss (Executive Session). |
| Tuesday, June 30, 2020 | | OCLC State-wide Group Services Agreement Ends |
| Wednesday, July 1, 2020 | | SWAN FY21 Budget goes into effect |
| | | FY21 RAILS LLSAP grant payments and in-kind services begin |
| Friday, July 17, 2020 | Regular SWAN Board Meeting | Elect Officers: President, VP, Treasurer, Secretary & Complete Signature Card Changes for Bank Accounts. OMA Officers must complete training. Nominate for committees. Board self- |
| Sunday, January 31, 2021 | | FY21 LLSAP Grant semiannual reports due to RAILS |

| Date: | June 28, 2019 |
|---|---|
| To: | SWAN Board |
| From: | Aaron Skog, Executive Director |
| Re: | Employee Policy on Requested Paid Leave |

_____

Last month the SWAN Board discussed revisions to existing personnel policy, and the addition of a Preferred Name policy. Per the SWAN Board's request, the Personnel Committee discussed the Parental Leave policy as a more "expansive" policy. HR Source was consulted as to how to create the policy, and the policy language was reviewed. The SWAN Board would approve either the Personal Paid Leave or the Parental Leave.

## Questions & Answers Regarding Paid Leave Policy

**Personal Paid Leave of Absence (Proposed new policy)**

The idea of a paid leave of 4 weeks that was more inclusive led to language for a General Paid Leave of Absence, or a Personal Paid Leave of Absence. HR Source provided language for both. The Personnel Committee discussed the framework of the policy and agreed a paid leave that is requested by SWAN employees would be approved by the SWAN Executive Director.

*Q: Would the Executive Director approving the requested paid leave of staff be somewhat subjective?*

A: HR Source answer:

> Yes, approval of the leave is subjective. But you can still have general internal guidelines when approving leaves. For example, you might decide that SWAN will most often approve all general leave of absence requests that are medical in nature. Most employers like having the flexibility to approve or deny this kind of leave. For example, you might have an employee request 12 weeks off for a trip to Europe. In some instances, you may decide to grant that leave – while in other instances you might choose to deny the leave (especially if it's during a busy time of year, if the employee is in a key operational position, or the employee is not in good standing).

> I did speak with our attorneys here and they confirmed that we don't have any other sample policy to offer that would capture sexual reassignment or other life choices. If you felt compelled to draft a custom policy that was very specific, our attorneys said they would be happy to review it.

The language of the Personal Paid Leave of Absence was reviewed by Jim Griffin, Employment Counsel at HR Source.

**Parental Leave (New)**

The SWAN Management Team requested that a paid leave for parents be considered for adoption by the SWAN organization. This language of the proposed policy was provided by HR Source. The length of the paid leave of 4 weeks was discussed by the Management Team. The Personnel Committee discussed the proposed Parental Leave and suggested a question and answer document be included in the SWAN Board packet. The Personnel Committee met on April 12, 2019 and asked these questions to be answered.

*Q: Would support coverage be a problem for SWAN if this proposed Parental Leave policy put into effect?*

A: No, and this is due to the way SWAN has structured its support coverage. SWAN's recent staffing change has moved more staff into the IT & Support Services department. This team divides coverage for off-hours (evening and weekend support) among its staff, and it now has twice as many staff to provide support ticket and off-hours coverage as it did prior to this staffing change.

*Q: Are there challenges in recruiting & retention of employees where adding this benefit would help SWAN?*

A: Yes. The positions SWAN has most recently created, recruited, and filled have come directly from the college/university setting, where a Parental Leave policy often already exists. Candidates have asked about SWAN benefits during the negotiation, so having some equivalent policy on Parental Leave will keep SWAN competitive for the future. We anticipate further hires for open/new positions with candidates from an academic background.

*Q: Isn't Family and Medical Leave Act (FMLA) enough in assuring employees their position will be held should they take an unpaid parental leave?*

A: FMLA applies to organizations that have over 50 employees, so this would not apply to SWAN.

# SYSTEM WIDE AUTOMATED NETWORK

# (SWAN)


# EMPLOYEE HANDBOOK


## Last Updated 4/26/2018

## SWAN Board Meeting 6/28/2019

# Contents

# INTRODUCTION

## WELCOME

Welcome to the System Wide Area Network (SWAN)!

Created in 1974, SWAN (System Wide Automated Network) is a membership organization of 78 libraries in the suburban Chicago area that was designed to house their collections of books, music, movies, and data in a shared, collaborative environment. Member libraries use a shared online catalog to access to each other's collections and facilitate sharing across libraries. In addition to a vast combined collection of books, movies, and music of the public libraries and community colleges in the network, the catalog includes unique collections from the Brookfield Zoo and the Morton Arboretum.

We believe that each employee plays an important role in helping SWAN support our member libraries and contributes directly to our growth and success. We hope you will take pride in being a member of our team.

This handbook outlines the policies, programs, and benefits available to employees as well as some of the expectations we have of our employees. Please take the time to thoroughly review this handbook as it will answer many questions that you may have about employment.

We hope that your experience here will be fulfilling, enjoyable, and rewarding and wish you every future success!

## INTRODUCTORY STATEMENT/EMPLOYMENT AT WILL

This handbook is designed to acquaint you with SWAN and provide you with information about working conditions, employee benefits and some of the policies affecting your employment. You are responsible for reading, understanding and complying with all provisions of the handbook. It describes many of your responsibilities as an employee and outlines the programs developed by SWAN to benefit employees.

SWAN therefore reserves the right to revise, supplement, deviate from or rescind any policies or portion of the handbook from time to time as it deems appropriate, in its sole and absolute discretion. SWAN will make an effort to notify you of such changes as they occur.

The employee handbook is not intended to create a contract of employment. Rather, it is simply intended to describe SWAN's policies and procedures, employee benefits, and general guidelines. Employment may be terminated, with or without cause, and with or without notice, at any time at the option of either the employee or SWAN. No representative of SWAN, other than the Board, has the authority to enter into any agreement for a specified period of time or to make any agreement contrary to the foregoing. Any such agreement must be by individual agreement, in writing, and signed by you and the Executive Director or President of the SWAN Board. No one has the authority to make any verbal statements of any kind, at any time, which are legally binding on behalf of SWAN or SWAN's Board.

Federal, state or local laws or regulations shall supersede these stated policies, until corrections can be published, in the following instances:

- If any of the policies are or become in conflict with federal, state or local laws or regulations.

- If any omissions or inclusions cause conflict with federal, state or local laws or regulations.

- If typographical or printer error should cause conflict with any federal, state or local laws or regulations.

Some of the subjects described herein are covered in detail in official policy documents, e.g., benefit plans. You should refer to these documents for specific information, since the handbook only briefly summarizes SWAN's policies, procedures and benefits.

Should there be any questions as to the interpretation of the policies or benefits listed in this guide; the final explanation and resolution will be at the sole and absolute discretion of SWAN's Board, subject to federal, state and local laws.

## EQUAL EMPLOYMENT OPPORTUNITY

SWAN will provide equal opportunity to all employees and applicants for employment regardless of race, color, religion, age, sex, national origin, ancestry, disability (mental or physical), pregnancy, military status, marital status, order of protection status, genetic information, sexual orientation, transgender status, or any other category protected by law, all in accordance with applicable law. Such action shall ~~include, but~~include but is not limited to: initial consideration for employment; job placement and assignment of responsibilities; performance evaluation; promotion and advancement; compensation and fringe benefits; training and professional development opportunities; formulation and application of human resource policies and rules; facility and service accessibility; and discipline and termination.

Any employee who believes this policy has been violated should report the situation to a SWAN supervisor or the Executive Director. All such matters will be thoroughly investigated and rectified if a policy violation is identified. Please refer to the policy governing sexual and other types of harassment for more detailed information concerning SWAN's investigative procedures.

SWAN strongly encourages use of this policy if necessary and assures its employees that they need fear no reprisals for bringing forth a good faith claim, regardless of the results of any investigation.

## BENEFITS AND SERVICES

### EMPLOYEE BENEFITS

Eligible employees of SWAN are provided a wide range of benefits. A number of the programs (such as Social Security, workers' compensation, and unemployment insurance) cover all employees in the manner prescribed by law.

Benefits eligibility is dependent upon a variety of factors, including employee classification.

The actual plan documents, which are available by making a written request to SWAN's Executive Director, are the final authority in all matters relating to benefits described in this Handbook and will govern in the event of any conflict. Additionally, SWAN reserves the right to change or eliminate any benefits at any time in accordance with applicable law.

### INSURANCE

SWAN offers health insurance benefits to employees who work 30 or more hours per week, beginning on the 1st of the month following the employee's start date. SWAN will pay a portion of the premium for full-time employees and may pay a portion for family coverage for full-time employees as set by the SWAN Board. Should an employee choose to participate in the plan, the employee's portion of the premium will automatically be deducted from the employee's paycheck. Specific enrollment and plan information will be provided when an employee becomes eligible to participate. A plan description which explains coverage of the benefits in greater detail is also available.

SWAN also offers dental, vision, life and disability insurance. Plan descriptions explaining coverage in more detail are available.

SWAN provides a 401a retirement plan to employees who work 30 hours or more per week. A plan description which explains coverage of the benefits in more detail is available. An optional 457(b) plan and Roth IRA plan are also offered to all employees.

For a copy of any of the plan descriptions or if you have any questions regarding these benefits, please see Human Resources.

## INSURANCE BENEFITS FOR RETIREES

Employees who are enrolled in SWAN's group health plan and resign for any reason at age 59.5 or older, may purchase insurance benefits through SWAN's insurance plan until the retiree has other group health insurance coverage, whether public or private, available to him or her or until the retiree becomes eligible for Medicare. All costs for the benefits are born by the retiring employee and will also include an administrative fee. This policy is subject to availability of retiree coverage as allowed by the health insurance provider. At the time of retirement, participation in the plan is continuous; no retiree can exit the plan and join at a later date.

Specific enrollment and plan information will be provided when an employee becomes eligible to participate. A plan description which explains coverage of the benefits in greater detail is also available. Questions regarding this policy should be addressed to Human Resources.

## RETIREMENT GIFT POLICY

Retiring employees will typically be honored by the SWAN Board with a gift. The Executive Director upon retirement may be fêted with a public reception to be held in a location to be determined. Long term employees upon retirement will typically have a staff reception held in their honor. SWAN will purchase and provide refreshments for the reception.

| Year of Service at Retirement | Price Range |
|---|---|
| 5 years | $25.00 |
| 10 years | $50.00 |
| 15 years | $75.00 |
| 20 years | $100.00 |
| 25 years | $150.00 |
| 30 years | $200.00 |

Employees will typically receive a   Visa gift card at the price range that has been established for the terminal year of service.

## TUITION BENEFIT

SWAN believes that dollars spent on approved programs of study which increase an employee's value to our member libraries and overall job performance are dollars well spent. Because of this belief, SWAN encourages employees to further their education and training in work-related areas and may provide employees with the financial support to do so.

**Eligibility**

Education assistance is available to assist any employee who has been with SWAN for at least 3 months and is considered by his/her supervisor to have a satisfactory performance rating.

Courses must specifically be related to the employee's current position or to the employee's career development with SWAN. Courses must have the approval of the Executive Director **prior** to class enrollment in order to qualify for reimbursement.

Employees wishing to pursue degree or certificate programs will be considered on a case-by-case basis, taking into consideration alignment with individual objectives and SWAN need.

**Reimbursement**
The maximum reimbursement that will be made to an individual employee is $1,000 per calendar year. SWAN will reimburse employees for the actual cost of the coursework, textbooks, and any applicable laboratory fees. A satisfactory grade of B or higher must be received in the course in order for it to be eligible for reimbursement. Reimbursement will be provided upon receipt of a paid tuition bill and official grade report. Requests for reimbursement must be completed within 60 days of course completion.

Employees eligible for reimbursement from any other source (e.g., a government-sponsored program or a scholarship) may seek assistance under our educational assistance program but are reimbursed only for the difference between the amount received from the other funding source and the actual course cost. Total aid from SWAN and other sources may not exceed 100% of the allowable tuition and fees.

Tax consequences (if any) as a result of company reimbursement under this plan are the sole responsibility of the employee. Taxable earnings (if applicable) may be added to overall earnings and reflected on an employee's W-2.

The SWAN Board will allocate funds in the annual appropriation to cover the reimbursement of anticipated tuition costs. The Executive Director will not authorize any activity under this section for which funds are not available.

SWAN expects employees utilizing tuition reimbursement funds to remain with the organization for at least six months following the completion of a course. Employees who fail to remain with SWAN for that time period shall be obligated to reimburse the organization for all of the tuition benefits received during the prior 6 months.

## WELLNESS BENEFIT
As a benefit to all employees, SWAN will reimburse up to $35 per month/$420 per year for wellness-related activities. This benefit will be considered taxable ~~income, and~~income and paid via the payroll process. Wellness-related activities are those that result in a direct physical, nutritional, or other health-related benefit.

Examples include:

- Gym or fitness club membership
- Fitness classes, such as Zumba, yoga, Pilates, CrossFit, cardio kickboxing, spin, and run clubs
- Registration for activities such as runs, fitness workshops, and triathlons
- Flu shots and health screenings
- Smoking cessation programs
- Nutrition programs, nutrition counseling, or nutrition consultations

If you are unsure whether your activity qualifies or have questions about this policy, please speak to Human Resources or the Executive Director. When the employee has finished the event or activity, documentation must be provided along with a completed expense form. Acceptable documentation includes payment receipt and/or attendance forms. This documentation should be signed by the Executive Director. Reimbursement will then be provided to the employee in check form.

## HOLIDAYS

SWAN recognizes the following holidays and will be closed:

1. New Year's Day
2. Martin Luther King Day/President's Day
3. Memorial Day
4. Independence Day
5. Labor Day
6. Thanksgiving
7. Friday after Thanksgiving
8. Christmas Eve
9. Christmas Day
10. New Year's Eve Day

When one of the above holidays falls on a Saturday, SWAN will be closed on the preceding Friday, and eligible employees will be paid for the holiday. If a holiday falls on a Sunday, SWAN will be closed on the following Monday, and eligible employees will be paid for the holiday. Martin Luther King Day and President's Day will be limited floating holiday. Department managers will coordinate with employees on the days off, which will be Martin Luther King Day or President's Day, but not both.

**The following conditions apply to SWAN's holiday pay policy:**

- Holiday pay **will not** be considered as time worked for the purpose of overtime calculations.
- Employees regularly scheduled to work at least 20 hours per week on a consistent basis are entitled to receive holiday pay of 7.5 hours for each holiday.
- Holiday pay is computed at an individual employee's base rate of pay.
- Holidays will not be paid to employees on any type of unpaid leave.
- Holidays falling within an approved scheduled vacation will be recorded as holiday pay.

## VACATION

Because SWAN recognizes the importance of vacation time in providing the opportunity for rest, recreation, and personal activities, SWAN grants annual, paid vacations. The amount of vacation to which employees are entitled depends on their ~~their~~ length of service as of their anniversary date. Part-time employees who work at least 20 hours per week on a consistent basis are eligible for pro-rated paid vacation, depending on the number of hours worked per week. For example, an employee who works 3 days per week is eligible for 3/5 of what a full-time employee is entitled to (i.e., 10 days x 3/5 = 6 days).

Vacation is accrued on a bi-weekly basis. Vacation time will not accrue during any unpaid leave of absence of 10 days or more.

Eligibility for vacation for full-time employees is as follows:

| | |
|---|---|
| 0 – less than 10 years of service | 20 days per year |
| More than 10 years of services | 25 days per year |

### Vacation Scheduling

Vacation time may be taken in half-hour increments. It is each employee's responsibility to schedule and take all earned vacation. Employees must receive the permission of their supervisor prior to scheduling and taking vacation days. When approving vacation time, supervisors will consider the needs of SWAN as well as the need to provide employees the opportunity to use vacation time. Vacation time will be granted in the order requested with consideration of fairness to all employees in a department.

The maximum amount of vacation time that can be held by an employee is the equivalent of 5 days over their total annual accrual. Time accrued beyond the maximum will be lost if not taken by the end of the month. Any exceptions must be approved by the Executive Director.

Upon termination of employment, employees will be paid for vacation benefits that have been earned through the employee's final pay period, but not yet taken.

## PERSONAL TIME

All full-time employees are eligible for three (3) personal days each year. All part-time employees who work at least 20 hours per week on a consistent basis are eligible for one and one-half (1.5) personal days.

Personal days are awarded at the start of each fiscal year and they must be used by the end of the fiscal year in which they are received. Unused personal time will not be paid out upon termination.

The personal day benefit will be subject to the following additional rules:

1. To receive payment for personal time, an employee must notify the supervisor prior to the day of absence, if possible, or satisfy the notification procedure set forth in the Attendance Policy.

2.  If personal days are to be used the day before or after a paid holiday or to extend vacations or weekends, this type of scheduling will require advanced notice to the employee's supervisor, to ensure departmental coverage.

3.  Personal time may be taken in half-hour increments.

## SICK LEAVE

Paid sick leave is provided to all regular employees, who work at least 20 hours per week on a consistent basis. Sick leave is provided for the exclusive purpose of allowing employees to take time off for medical reasons. An employee may use personal sick leave benefits provided by the employer for absences due to an illness, injury, or medical appointment of the employee's child, spouse, sibling, parent, mother-in-law, father-in-law, grandchild, grandparent, or step-parent, for reasonable periods of time as the employee's attendance may be necessary, on the same terms upon which the employee is able to use sick leave benefits for the employee's own illness or injury. Sick leave may be taken in half-hour increments. Taking sick leave under false pretenses is a violation of trust that is subject to disciplinary action, up to and including dismissal.

### Sick leave accrual

Full-time employees receive one sick day per month accrued on a bi-monthly basis. Part-time employees who work at least 20 hours per week on a consistent basis earn a pro-rated amount according to their number of regularly scheduled hours per week. For example, an employee who works 3 days per week is eligible for 3/5 of what a full-time employee is entitled to (i.e., 12 days per year x 3/5 = 7.2 days).

Employees may accrue a maximum of 90 days of sick leave (675 hours). Sick leave will not be paid out upon employment termination.

### Notice of absence

Employees who know in advance that they will be absent for health reasons must give their supervisor advance notice, including the probable start date and duration of the absence. If a sudden illness makes it impossible for an employee to request sick leave before the workday begins, the employee should notify the supervisor within one hour of the scheduled start time. (Please see the Attendance Policy for more information).

### Proof of need for absence

When an employee is absent on sick leave SWAN may require a note from a health care practitioner certifying that the employee was unable to work for health reasons and, when applicable, a note that the employee is fit to return to duty. Failure to provide appropriate documentation may result in the time off being unpaid and/or disciplinary action.

### Confidentiality of medical information

All information about an employee's medical condition is confidential and will be kept in separate files by SWAN's Executive Director. When an employee is absent for medical reasons, the employee's regular personnel file contains only the dates of the medical absence, not the medical reason(s) for the absence.

### GENERAL LEAVE OF ABSENCE

Occasionally, for personal or other reasons, you may need to apply for an unpaid personal leave of absence when you do not qualify for a leave under another SWAN's policy. Under these circumstances, you may qualify for a leave of absence. This leave of absence is typically granted for a maximum of 30 calendar days.

You must apply in writing for this leave of absence and submit your request to the Executive Director. Your request should include the reason for the leave, the date on which you wish the leave to begin, the date on which you will return to active employment with SWAN and any documentation supporting your need for leave. The granting of a leave of absence, and the terms and conditions surrounding the leave of absence, are at the sole discretion of SWAN. While SWAN will make every effort to reinstate the employee to his/her previous position, there are no guarantees.

Requests for an extension of a general leave of absence should be submitted in writing to the Executive Director for re-evaluation. Failure to return from a leave of absence at the time agreed upon will normally result in immediate termination of employment.

### PERSONAL PAID LEAVE OF ABSENCE

Occasionally, for personal or other reasons, you may need to apply for a paid personal leave of absence when you do not qualify for a leave under another of SWAN's policies. Under these circumstances, you may qualify for a paid leave of absence. This leave may be granted for a maximum of up to 20 work days. Employees must be employed for at least 6 months prior to the requested leave. This does not apply to jury duty of less than two weeks or funeral leave. No holiday pay will be given for a holiday that falls within a personal leave of absence.

You must apply in writing for this leave of absence and submit your request to the Executive Director. Your request should set forth the reason for the leave, the date on which you wish the leave to begin and the date on which you will return to active employment with the organization. The granting of a leave of absence, and the terms and conditions surrounding the leave of absence, are at the sole discretion of the organization.

Under this policy, all employees are eligible for up to 20 work days of paid leave, exempt or non-exempt. However, regardless of what policy leave is taken under (bereavement, sick, vacation, etc.), leave shall not exceed 12 weeks per 12 months period. SWAN cannot guarantee a staff's position will be held after 12 weeks.

You must apply in writing for this personal paid leave of absence and submit your request to the Executive Director at least 60 days in advance (or as much notice as practicable if the leave is not foreseeable). Your request should include the reason for the leave, the date on which you wish or believe the leave will begin, the date on which you expect to return to active employment and any

**Commented [A1]:** Personnel policy for Sick and Vacation use days, and not weeks. So, 4 paid weeks would be 20 work days.

**Commented [A2]:** HR Source: make it "work days" to keep it clear.

**Commented [A3]:** HR Source: remove sentence as SWAN already has policy regarding Jury Duty and Bereavement Leave.

**Commented [A4]:** The 12 weeks per 12 months follows FMLA guidelines.

Wording from the parental leave policy draft stated "The paid leave should be used before any accrued vacation or sick benefits," but here under a paid general leave of absence, it could be the reverse. "Employees requesting any paid leave must have exhausted all available paid time off (vacation, sick, personal, etc.)" was part of the St Charles policy. I decided to leave this stipulation out altogether.

documentation supporting your need for leave. Each case is considered on its own merits.

If you are granted a personal leave, your service will remain unbroken, if you return within the period of authorized leave. You may continue your group insurance (and dependent insurance) as provided by local, state and federal laws. Generally, SWAN will continue to pay its portion of the cost of the employee's benefits while an employee is on personal paid leave of absence. An employee must continue to pay their portion of the benefits (i.e. medical, dental, vision, etc.) through payroll deduction, when applicable, or by check or money order made payable to SWAN. Contribution payments must be submitted by the first of the month in which coverage is effective. Failure to make payments for more than 30 days may result in termination of coverage(s).

## PARENTAL LEAVE

> **Commented [A5]:** If the Personal Paid Leave of Absence is preferred, this Parental Leave will be removed.

All employees of SWAN are eligible for parental leave. This leave is available for the birth of any employee's own child or the placement of a child with the employee in connection with adoption or foster care.

Under this policy, all employees are eligible for up to four (4) weeks of paid parental leave. All leave under this policy must be taken consecutively and during the child's first year with the employee. These 4 weeks of paid parental leave c~~should~~ be used before any accrued vacation or sick benefits. However, regardless of what policy leave is taken under (~~Parental, short term disability,~~ sick, vacation, etc.), leave related to the birth of a child or placement of the child with the employee in connection with adoption or foster care shall not exceed 12 weeks per 12 months period. SWAN cannot guarantee a staff's position will be held after 12 weeks.

> **Commented [A6]:** HR Source: "should" or "could"? The language likely is best if "could" were used.

> **Commented [A7]:** The childbirth is considered a medical condition. Since SWAN does not have a short-term disability policy, remove this language.

You must apply in writing for this leave of absence and submit your request to your supervisor at least 60 days in advance (or as much notice as practicable if the leave is not foreseeable). Your request should include the reason for the leave, the date on which you wish or believe the leave will begin, the date on which you expect to return to active employment and any documentation supporting your need for leave.

Generally, SWAN will continue to pay its portion of the cost of the employee's benefits while an employee is on parental leave. An employee must continue to pay their portion of the benefits (i.e. medical, dental, vision, etc.) through payroll deduction, when applicable, or by check or money order made payable to SWAN. Contribution payments must be submitted by the first of the month in which coverage is effective. Failure to make payments for more than 30 days may result in termination of coverage(s).

## FUNERAL/BEREAVEMENT LEAVE

SWAN recognizes the importance of family and the difficulties an employee faces following the loss of a loved one. For that reason, SWAN grants its employees paid bereavement leave in accordance with the following provisions.

If a member of an employee's "immediate family" dies, an employee may take up to five regularly scheduled work days of paid bereavement leave. "Immediate family" includes the employee's parent, spouse, child, domestic partner, brother, sister, grandparent, or grandchild, mother/father in-law, brother/sister in-law or daughter/son in-law.  Step-relatives and relatives by adoption are included on the same basis as blood relatives. Employees are also eligible to take an additional unpaid week of bereavement for the death of a child or step-child.

Additional time or unpaid leave for persons not covered in the definition of "immediate family" may be allowed in some circumstances at the discretion of the Executive Director. Proof of the need for the leave may be required.

### JURY DUTY

Employees shall be given paid time off for jury duty. Any employee summoned for jury duty should provide his/her supervisor with as much notice as possible (typically no less than 15 days prior to when when jury duty is scheduled to begin or the date the employee is required to call to see if he/she must appear). Employees requesting and/or returning from jury duty leave will be required to provide verification of jury duty service.

## MILITARY LEAVE

Leaves of absence without pay for military or reserve duty are granted to all employees of SWAN. Employees called to active military duty or to reserve or National Guard training, or volunteering for the same, should submit copies of their military orders to their supervisor as soon as practicable. Employees will be granted a military leave of absence for the period of military service in accordance with applicable federal and state laws. Employees who are reservists or members of the National Guard are granted time off for required military training. Their eligibility for reinstatement after the completion of their military duty and/or training and benefit continuation/eligibility issues are determined in accordance with applicable federal and state laws. Employees may elect, but are not required, to use any vacation entitlement for the absence.

## VICTIMS' ECONOMIC SECURITY AND SAFETY ACT (VESSA)

### STATEMENT OF POLICY

Eligible employees may use unpaid victims' economic and security and safety leave for up to 8 weeks in a 12-month period for any one or more of the following reasons:

A. Seeking medical attention for, or recovering from, physical or psychological injuries caused by domestic or sexual violence to the employee or the employee's family or household member; or

B. Obtaining services from a victim services organization for the employee or the employee's family or household member; or

C. Obtaining psychological or other counseling for the employee or the employee's family or household member; or

D. Participating in safety planning, temporarily or permanently relocating, or taking other actions to increase the safety of the employee or the employee's family or household member from future domestic or sexual violence or ensuring economic security; or

E. Seeking legal assistance or remedies to ensure the health and safety of the employee or the employee's family or household member, including preparing for or participating in any civil or criminal legal proceeding related to or derived from domestic or sexual violence.

### DEFINITIONS

A. "12-Month Period" - means a rolling 12-month period measured forward from the date leave is taken and continuous with each additional leave day taken.

B. "Family or Household Member" – means a spouse, parent, son, daughter, other person related by blood or by present or prior marriage, other person who shares a relationship through a son or daughter, and persons jointly residing in the same household;

C. "Parent"- means the biological parent of an employee or an individual who stood in loco parentis to an employee when the employee was a child.

D. "Son or Daughter" means a biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing in loco parentis, who is under 18 years of age, or is 18 years of age or older and incapable of self-care because of a mental or physical disability.

E. "Domestic or Sexual Violence" - means domestic violence, sexual assault, or stalking.

## COVERAGE AND ELIGIBILITY
Both full and part-time employees are eligible to apply for this leave.

## INTERMITTENT OR REDUCED LEAVE
An employee may take leave intermittently (a few days or a few hours at a time) or on a reduced leave schedule.

## SUBSTITUTION OF TIME OFF
An employee may elect to substitute accrued paid vacation, sick or personal time or any other applicable paid time off for any part of victims' economic security and safety leave. Such substitution will not extend the employee's total allotment of time off under this policy.

## NOTICE REQUIREMENT
An employee is required to give 48 hours' notice to SWAN in the event of a foreseeable leave. In unexpected or unforeseeable situations, an employee should provide as much notice as is practicable, usually verbal notice within one or two business days of when the need for leave becomes known.

## CERTIFICATION
A. For leaves taken pursuant to this policy, the employee may be required to submit a certification demonstrating the need for the leave. The certification must be provided by the employee as soon as reasonably possible, but in most cases, within 15 days after request.

B. The certification requirement may be satisfied by the submission of a sworn statement from the employee and one of the following:

- Documentation from a victim services organization, attorney, clergy, or medical or other professional from whom the employee or the family/household member has sought assistance from in addressing domestic or sexual violence and/or its effects;

- A police or court record; or

- Other corroborating evidence.

C. All documentation related to the employee's need for the leave pursuant to this policy will be held in strict confidence and will only be disclosed as required/permitted by law.

## EFFECT ON BENEFITS

During an approved VESSA leave, SWAN will maintain your health, disability, and life benefits, as if you continued to be actively employed. If paid leave is substituted for unpaid VESSA leave, SWAN will deduct your portion of the health plan premium as a regular payroll deduction. If your leave is unpaid, you must pay your portion of the premium during the leave. Your group health care coverage may cease if your premium payment is more than 30 days late. If you do not return to work at the end of the leave period, you may be required to reimburse SWAN for the cost of the premiums paid by SWAN for maintaining coverage during your unpaid leave, unless you cannot return to work because of the continuation, recurrence, or onset of domestic or sexual violence or other circumstances beyond your control.

## JOB PROTECTION

If you wish to return to work at the expiration of your leave, you are entitled to return to your same position or to an equivalent position with equal pay, benefits and other terms and conditions of employment. If you take leave because of your own medical condition, you are required to provide medical certification that you are fit to resume work. You may obtain return to Work Medical Certification forms from Human Resources. Employees failing to provide the Return to Work Medical Certification Form will not be permitted to resume work until it is provided.

## REASONABLE ACCOMMODATIONS

SWAN supports the Victims' Economic Security and Safety Act and will attempt to provide reasonable accommodations for people who are entitled to protection under this Act in a timely fashion, unless such accommodations would present an undue hardship for SWAN.

Reasonable accommodation applies to applicants and employees and may include adjustment to a job structure, workplace facility, or work requirement, transfer, reassignment, or modified schedule, leave, a changed telephone number or seating assignment, installation of a lock, implementation of a safety procedure or assistance in documenting domestic or sexual violence that occurs at the workplace or in work-related settings, in response to actual or threatened domestic or sexual violence.

A qualified individual is an individual who, but for being a victim of domestic or sexual violence or with a family or household member who is a victim of domestic or sexual violence, can perform the essential functions of the employment position that such individual holds or desires.

Should you wish to request a reasonable accommodation pursuant to this policy, you should contact Human Resources.

## VOTING TIME

An employee may be permitted two hours of paid leave for the purpose of voting in a state or national election if the employee's working hours begin less than two hours after the opening of the polls **AND** end less than two hours before the closing of the polls. If you need to take time off to vote, you should notify your supervisor of your plans no later than the day before the election. Your supervisor will notify you of the ~~two hour~~two-hour block of time assigned to you for voting purposes. Proof of attendance at the polls may be required.

## MEMBERSHIPS AND DUES

SWAN will pay for the membership of employees in professional associations related to their jobs. If you are interested in taking advantage of this benefit, please speak with your supervisor. Membership will be approved based on available funds.

## EMPLOYMENT CLASSIFICATIONS

It is the intent of SWAN to clarify the definitions of employment classifications so that employees understand their employment status and benefit eligibility. These classifications do not guarantee employment for any specified period of time. Accordingly, the right to terminate the employment relationship, at will, at any time is retained by both the employee and SWAN.

Each employee is designated as either NON-EXEMPT or EXEMPT according to the Fair Labor Standards Act. NON-EXEMPT employees are entitled to overtime pay and are under the specific provisions of federal and state wage and hour laws. EXEMPT employees are not entitled to overtime pay and are excluded from specific provisions of federal and state wage and hour laws.

In addition to the above categories, each employee will belong to one other employment category:

**REGULAR FULL-TIME** employees are those who are regularly scheduled to work a minimum of 30 hours per week or more. Generally, they are eligible for SWAN's benefit package, subject to the terms, conditions, and limitations of each benefit program.

**REGULAR PART-TIME** employees are those who work an average of less than 30 hours per week on a regular, authorized pre-arranged basis. They are eligible for some of SWAN's benefit package, in addition to those required by law, subject to the terms, conditions and limitations of the individual benefit program.

**TEMPORARY** employees are those who work over a designated, predetermined period of time, usually not to exceed six months. Temporary employees are not eligible for any of SWAN's benefit package except those required by law.

## PAY PERIODS AND PROCEDURES

Employees are paid bi-weekly, every other Friday, and the pay period begins on Sunday and ends on Saturday. If a payday falls on a weekend or holiday, payday will be on the last prior workday. Direct deposit of funds is ~~recommended~~recommended, and employees are encouraged to receive payment via this option.

All employees must complete weekly time sheets. The time sheet is an employee's time record and it is important that it is filled out correctly as it is the basis of the employee's pay record. Falsification of this record or failure to accurately and/or timely complete the record will subject an employee to severe discipline up to and including discharge.

SWAN takes all reasonable steps to assure that employees receive the correct amount of pay in each paycheck and that employees are paid promptly on the scheduled payday. In the unlikely event that there

is an error in the amount of pay, the employee should promptly bring the discrepancy to the attention of the Office Manager, so that corrections can be made as quickly as possible. Once legitimate underpayments are identified, they will be corrected in the next regular paycheck. Overpayments will also be corrected in the next regular paycheck unless this presents a burden to the employee (where there is a substantial amount owed). In that case, SWAN will attempt to arrange a schedule of repayments with the employee to minimize the inconvenience to all involved.

## PAY DEDUCTIONS

It is the policy of SWAN not to take any improper pay deductions that would be in violation of the Fair Labor Standards Act, its regulations (specifically Section 541.602(a)) or relevant state law or local ordinance.

Employees who believe their pay has been improperly deducted should report such improper deduction immediately to the Office manager. The complaint will be promptly ~~investigated~~investigated, and the results of the investigation will be reported to the complaining employee. If the employee is unsatisfied with the findings of the investigation, the employee may appeal the decision to the Executive Director.

Any employee whose pay is improperly deducted shall be reimbursed for such improper deduction no later than the next pay period after the improper deduction is communicated to management.

## OVERTIME

Every effort is made to allocate overtime work fairly and in the best interest of everyone. When overtime is necessary, employees will be notified as far in advance as possible. Employees are expected to work overtime if additional work effort is required to serve our members. Non-exempt employees must have the Executive Director's authorization prior to working overtime. Working unauthorized overtime is prohibited and may be disciplined up to and including termination.

Overtime is paid only after a non-exempt employee has worked more than forty (40) hours during the work week. Paid time off (including but not limited to vacation, sick time, personal days, holidays, bereavement, etc.) do not count as hours worked for purposes of overtime. All overtime is paid at one and one-half the employee's regular hourly rate.

## ON-CALL

### Purpose
The implementation of this policy is to accomplish the following:

- To ensure employees understand the on-call policy and that on-call compensation will only be awarded consistent with this policy.

### Applicability
This policy applies to non-exempt employees only.

### Statement of Policy

SWAN employees may be required to serve on-call to provide necessary services to members such as LLSAP services. On-call pay will be awarded to employees who are called back to work outside their normal work schedules consistent with this policy.

### Definitions

1. On-call duty is defined as an unscheduled request by a supervisor or other appropriate SWAN management team member for an employee to return to work for emergency purposes outside of his/her regular work schedule.

2. An employee is considered on-call when the employee is assigned on-call duty and is available to report back to his/her assigned work station within 60 minutes. On-call duties may include travelling to the worksite and/or when an employee performs duties such as answering questions, consulting with a supervisor, or any other on-call related matters.

### Policy

It is the responsibility of each employee assigned on-call duty to:

1. Provide a current telephone number where he/she may be reached when the employee is assigned to the on-call schedule.

2. Remain near a telephone and notifies his/her supervisor of the telephone number where he/she may be reached or paged. (The employee is free to move about as he/she pleases).

3. Make a verbal response to the call within a maximum response time of 30 minutes to confirm that the employee has received the call/page and will report for duty.

4. Be available and ready to return to his/her workstation (or other location as requested) within 60 minutes of receiving a call. When the employee returns to duty, the employee shall complete the required documentation.

5. Comply with all SWAN policies, including Illegal Drugs and Alcohol in the Workplace. Employees who fail to comply with any SWAN policies will be disciplined, up to and including termination of employment.

### Eligibility for Compensation

Non-exempt employees who serve in an on-call capacity as outlined above are eligible for compensation as follows:

1. Employees shall receive one hour's pay at straight time for eight hours of on call time.
2. An employee who is called back to work outside his or her normal work schedule will be paid for the time worked.
3. If an employee is called back to work, he or she will be paid for travel time. If an on-call employee is not called back, no travel pay will be earned.

4. Overtime compensation is only applicable when total hours worked exceed 40 hours in a workweek.

### Compliance with On-Call Policy

It is imperative that employees comply with the policy and procedures outlined herein. Depending on the nature of the problem, failure to respond to emergency calls could result in poor service to SWAN members.  Any employee who is, or becomes, unable to meet his/her on-call obligation shall immediately notify the supervisor.

The supervisor must approve any changes to the approved "on-call" schedule. Employees who fail to meet their "on-call" obligations are subject to disciplinary action.

Failure to respond to a telephone call and/or refusal to report for duty when called during the period an employee is designated for on-call duty may result in disciplinary action, up to and including dismissal.

## PERFORMANCE REVIEWS/SALARY ADJUSTMENTS

Performance reviews are normally conducted on a yearly basis or more frequently if recommended by the employee's supervisor. They are designed to provide communication between the employee and supervisor on the employee's job performance. The review also serves as an objective basis for salary adjustment recommendations. However, a salary adjustment does not necessarily result from a performance review. Salary adjustments will be approved by the Executive Director and normally take place in conjunction with SWAN's fiscal year, which begins July 1.

## SENIORITY

SWAN values the service of our employees by recognizing seniority for certain benefits, service awards and employment decisions. The following guidelines have been created to provide consistency in the establishment and use of seniority.

### Calculating Seniority

- Seniority starts with the date of hire as a regular employee and continues to accrue until employment is terminated. If employment is terminated and the employee is rehired at a later date, the employee will retain the seniority earned at the time of termination. Temporary employment is not recognized in calculating seniority.

- Seniority continues to accrue during paid leaves of absence.

- For SWAN staff hired on July 1, 2012, service as an employee of the Reaching Across Illinois Library System, the Metropolitan Library System, and the Suburban Library System will be counted toward SWAN seniority.


## Employee Guidelines

## SEXUAL AND OTHER FORMS OF HARASSMENT

SWAN is committed to maintaining a work environment that is free of discrimination. In keeping with this commitment, SWAN will not tolerate harassment of SWAN employees by anyone, including any supervisor, co-worker, vendor, patron, contractor, or other regular visitor of SWAN.

Harassment consists of unwelcome conduct, whether verbal, physical, or visual, that is based upon a person's protected status such as race, color, religion, age, sex, pregnancy, national origin, ancestry, disability (mental or physical), military status, marital status, order of protection status, genetic information, sexual orientation, transgender status, and any other category protected by law. SWAN will not tolerate harassing conduct that affects tangible job benefits, interferes unreasonably with an individual's work performance, or that creates an intimidating, hostile or offensive working environment.

The conduct forbidden by this policy specifically includes but is not limited to: (a) epithets, slurs, negative stereotypes or intimidating acts that are based on a person's protected status; and (b) written or graphic material circulated within or posted within the workplace that shows hostility toward a person because of protected status.

"Sexual harassment" consists of unwelcome sexual advances; requests for sexual favors; and other verbal or physical conduct of a sexual nature when made by any employee to another employee where:

1.  Submission to such conduct is made either explicitly or implicitly a term or condition of a person's employment;

2.  Submission to or rejection of such conduct is used as the basis for any employment decisions affecting such individual; or

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

Sexual harassment, as defined above, may include, but is not limited to:

1.  Uninvited sex-oriented verbal "kidding" or demeaning sexual innuendoes, leers, gestures, teasing, sexually explicit or obscene jokes, remarks or questions of a sexual nature;

2.  Graphic or suggestive comments about an individual's dress or body;

3.  Displaying sexually explicit objects, photographs or drawings;

4.  Unwelcome touching, such as patting, pinching or constant brushing against another's body; or

5.  Suggesting or demanding sexual involvement of another employee whether or not such suggestion or demand is accompanied by implicit or explicit threats concerning one's employment status or similar personal concerns.

Keep in mind that an employee may complain about harassment if the employee is subjected to consensual behavior between two or more other employees.

All SWAN employees are responsible to help assure that SWAN avoids harassment. An employee who believes that he or she has been subjected to sexual or other types of harassment or who has witnessed harassment should immediately submit a complaint to the Executive Director. If you are uncomfortable speaking with the Executive Director, then the complaint shall be submitted to the President of the SWAN Board. All complaints shall be investigated in accordance with the procedures contained herein.

SWAN shall promptly and thoroughly investigate all complaints. Reporting harassment or participating in an investigation will not reflect adversely upon an individual's status or affect future employment. Any employee who retaliates against another for exercising their rights under this policy shall be subject to discipline up to and including discharge. The rights to confidentiality, both of the complainant and of the accused, will be respected consistent with SWAN's legal obligations and with the necessity to investigate allegations of misconduct and to take corrective action when this conduct has occurred.

A substantiated charge against an employee will subject the employee to disciplinary action up to and including discharge.

**Retaliation Prohibited**

Reporting harassment or discrimination or participating in an investigation will not reflect adversely upon an individual's status or affect future employment. Any form of retaliation against an employee who reports harassment or discrimination or participates in an investigation is strictly prohibited by the Illinois Human Rights Act, the Illinois State Officials and Employees Act, the Illinois Whistleblower Act, Title VII of the Civil Rights Act of 1964, and Company policy. Any employee who retaliates against another for exercising his or her rights under this policy shall be subject to discipline, up to and including termination.

**Resolution Outside Company**

The purpose of this policy is to establish prompt, thorough and effective procedures for responding to every complaint and incident so that problems can be identified and remedied internally. However, an employee has the right to contact the Illinois Department of Human Rights (IDHR) or the Equal Employment Opportunity Commission (EEOC) about filing a formal complaint. An IDHR complaint must be filed within 180 days of the alleged incident(s) unless it is a continuing offense. A complaint with the EEOC must be filed within 300 days.

Contact Information:

Illinois Department of Human Rights (IDHR)
- Chicago: 312-814-6200 or 800-662-3942; TTY: 866-740-3953
- Springfield: 217-785-5100; TTY: 866-740-3953
- Marion: 618-993-7463; TTY: 866-740-3953

Illinois Human Rights Commission (IHRC)
- Chicago: 312-814-6269; TTY: 312-814-4760
- Springfield: 217-785-4350; TTY: 217-557-1500

United States Equal Employment Opportunity Commission (EEOC)

- Chicago: 800-669-4000; TTY: 800-869-8001

## REASONABLE ACCOMMODATIONS

SWAN supports the Illinois Human Rights Act and Americans with Disabilities Act as amended and will attempt to provide reasonable accommodations for pregnant employees and employees with disabilities in the workplace unless such accommodations would present an undue hardship for SWAN.

Reasonable accommodations apply to all covered employees and include, but are not limited to, hiring practices, job placement, training, pay practices, promotion and demotion policies, and layoff and termination procedures.

A pregnant employee includes any woman affected by and undergoing pregnancy, childbirth, or medical or common condition related to pregnancy or childbirth. A qualified person with a disability is any individual with a medically recognized disability. In both cases, the individual must, with or without reasonable accommodation, perform the essential functions of the job the individual has or wants, and not pose a direct threat to the health or safety of himself/herself or other individuals in the workplace.

Contact Human Resources for further information regarding SWAN's policy on reasonable accommodation or to request a reasonable accommodation in the workplace.

## NAMES & PREFERRED PRONOUNS POLICY

An employee has the right to be addressed by the name and pronoun that correspond to the employee's gender identity, upon request. A court-ordered name or gender change is not required. The intentional or persistent refusal to respect an employee's gender identity (for example, intentionally referring to the employee by a name or pronoun that does not correspond to the employee's gender identity) can constitute harassment and is a violation of the SWAN's anti-harassment policy. If you are unsure what pronoun a coworker might prefer, you can politely and privately ask your coworker how they would like to be addressed.

Gender pronouns are words that an individual would like others to use when talking to or about them. The most commonly used pronouns are "he, him, his" and "she, her, hers." People who are transgender or gender nonconforming may choose to use pronouns that don't conform to binary male/female gender categorizations, such as "they, them, their."

### Email Signature

SWAN includes preferred pronouns in the organization email signature. The gender pronoun options for SWAN's email signature currently include:

- she, her, hers

- he, him, his

- they, them, their

- she/her/hers and they/them/their

- he/him/his and they/them/their

If the preferred pronoun choice is not currently provided in the list above, a request should be made to SWAN Human Resources.

SWAN employees will be asked to provide their preferred pronoun as part of their onboarding process, or effectively after the adoption of this policy by the organization. The choice will be included in the employee's email signature. It is up to individual employees to opt-out of email signature identification of preferred pronouns.

### Official Records

SWAN will change an employee's official record to reflect a change in name or gender upon request from the employee. Certain types of records, like those relating to payroll and retirement accounts, may require a legal name change before the person's name can be changed. Most records, however, can be changed to reflect a person's preferred name without proof of a legal name change. As quickly as possible, we will make every effort to update any photographs at a transitioning employee's workplace, so the transitioning employee's gender identity and expression are represented accurately. If a new or transitioning employee has questions about SWAN records or ID documents, the employee should contact the SWAN Executive Director.

## ILLEGAL DRUGS AND ALCOHOL/DRUG FREE WORKPLACE

SWAN endeavors to provide a safe and productive work environment for all employees. To eliminate unacceptable safety risks, and to enhance the organization's ability to operate effectively and efficiently, the organization maintains strict standards regarding alcohol and illegal drugs in the workplace.

**Prohibited Activity**

The possession, consumption, purchase, sale, transfer, or distribution of alcohol on the organization's premises or while engaged in organization business is prohibited, unless an exception is made by the Executive Director. No employee shall be under the influence of alcohol while on the organization's premises or while performing organization business off the premises, except a moderate amount of alcohol may be consumed at approved organization events provided such consumption does not adversely affect an employee's behavior or judgment and, if the employee will drive a motor vehicle following the event, does not adversely affect the employee's ability to safely and legally drive the vehicle.

"Legal drugs" are: (1) drugs that are permitted under state and federal law, (2) obtained by an employee with a physician's prescription or over-the-counter and (3) used for the purposes for which they were prescribed or sold. Employees using legal drugs must be aware of any potential effect such drugs may have on their judgment or ability to perform their duties. If such effects could adversely affect the employee's ability to safely perform his/her job, the employee must report such use and potential effect to the Executive Director prior to reporting to work.  In the event an employee fails to report such use and creates a safety threat, neither a physician's prescription nor other medical reason will be an acceptable excuse for being in violation of this policy.

"Illegal drugs" are drugs or controlled substances that are: (1) not legally obtainable under federal and state law, or (2) legally obtainable, but not obtained in a lawful manner. Examples include marijuana, cocaine, mind-altering chemicals, depressants, stimulants, inhalants, and prescription drugs that were not lawfully obtained. The use, purchase, sale, transfer, possession, being under the influence, or the presence in one's system of a detectable amount of an illegal drug by any employee is prohibited: (1) on SWAN's premises or (2) where the employee is performing SWAN business off the premises.

**Testing for Alcohol and Illegal Drugs**

SWAN will require a drug and alcohol test of any employee where there is a reasonable basis to believe that he or she may be using drugs or may be under the influence of drugs or alcohol. "Reasonable basis to believe" includes, but is not limited to: abnormal conduct, speech, or odor; detection of alcohol or illegal drugs in the area where an employee has been working; an unexplained decline in work performance or attendance; a reliable report of illegal drug or alcohol use, or involvement in an injury or accident at work or while performing organization business.  Employees will be required to sign a consent and release form prior to drug or alcohol testing. Test results will be kept confidential to the extent possible and consistent with applicable law.

If an employee tests positive for alcohol or illegal drugs, fails to report immediately to the testing location upon request, comply with any testing procedures (including attempting to substitute, dilute or otherwise change specimens to be tested) and/or fails to provide specimens unless medically incapable, will be considered as refusing to test and subject to discipline, up to and including termination.

**Notification of Drug Conviction**

Employees must notify the organization of any criminal drug conviction no later than 5 days after such conviction. Employees who drive on organization business must similarly notify the organization no later than 5 days following any DUI conviction. Employees convicted of off-the-job drug or alcohol-related activity may be considered to be in violation of this policy.

## WORKPLACE SECURITY AND INSPECTIONS

To safeguard the property of employees, members, and SWAN, and to help prevent the possession, sale, and use of weapons and illegal drugs on SWAN's premises, SWAN reserves the right to question employees and all other persons entering and leaving our premises, and to inspect any packages or any other possessions or articles carried to and from SWAN's property. In addition, SWAN reserves the right to search any employee's office, desk, files, locker, or any other area or article on our premises. In this connection, it should be noted that all offices, desks, files, lockers, and so forth, are the property of SWAN and are issued for the use of employees only during their employment with SWAN. Inspections may be conducted at any time at the discretion of SWAN.

Persons entering the premises who refuse to cooperate in an inspection conducted pursuant to this policy will not be permitted to enter the premises. Employees working on or entering or leaving the premises who refuse to cooperate in an inspection will be subject to disciplinary action up to and including discharge.

## HIRING OF RELATIVES/NEPOTISM

Members of an employee's family, or those in a close personal relationship with the employee, will not be considered for employment without prior approval from the Executive Director. Such approval is preceded by a determination that neither a conflict of interest, nor a situation exists whereby any family member or significant other has a supervisory/subordinate working relationship, or any other interference with SWAN's operations is likely to occur.

For the purposes of this policy, immediate family includes: mother, father, husband, wife, son, daughter, sister, brother, the above in-law relationships and step-children.

Employees who marry or establish close personal relationships may continue employment as long as it does not result in the above. If the conditions outlined above should occur, attempts may be made to find a suitable position within the organization to which one of the employees may transfer. If accommodations of this nature are not feasible, the employees will be permitted to determine which of them will resign.

## ACCESS TO PERSONNEL FILES

Personnel files are the property of SWAN, and access to the information they contain is restricted. Generally, only officials and representatives of SWAN who have a legitimate reason to review information in a file (such as an employee's manager, the Executive Director, the employee him or herself, or HR) are allowed to do so. With reasonable advance notice and a written request, an employee may review material in his or her file up to two times per calendar year, but only in SWAN's offices and in the presence of the individual appointed by SWAN to maintain the file. Certain records, such as letters of reference, are not available for inspection.

An employee must also provide a written release in order for SWAN to release information to outside parties. Requests for references should be directed to the Executive Director or her/his designee. Only this individual has the authority to release information to outside parties.

It is the responsibility of each employee to promptly notify SWAN of any changes in personnel data. Personal mailing addresses, telephone numbers, number and names of dependents*, marital status*, insurance beneficiary*, individuals to be contacted in the event of an emergency, educational accomplishments, and other such status reports should be accurate and current at all times.

SWAN cannot be held responsible for situations resulting from employees withholding correct and accurate information.

*\* Such information need only be disclosed if pertinent to a benefit received.*

## IMMIGRATION LAW COMPLIANCE

SWAN is committed to employing only those applicants who are authorized to work in the United States and does not unlawfully discriminate on the basis of citizenship or national origin.

In compliance with the Immigration Reform and Control Act, each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Former employees who are rehired must, in certain circumstances, complete a new I-9 form.

**Expiration of Work Authorization**

Employees who have a work authorization that expires will need to provide an updated work authorization. The employee's Form I-9 will be updated to reflect the renewed authorization to work. Updated information will be initialed and dated by the management representative performing the reverification.

Employees who fail to provide proof of their renewed authorization to work prior to the expiration of the authorization documented on their Form I-9 are subject to immediate suspension without pay or termination.

## REFERENCE AND BACKGROUND CHECKS

This section provides guidelines when inquiries are received concerning the work history of current or previous employees as well as when background checks may be conducted.

A. All requests for reference checks shall be referred to the Executive Director or her/his designee to ensure uniformity and consistency. He/she may consult with person(s) more familiar with the employee's work history.

B. SWAN will provide the following minimum information in response to a reference inquiry:

- Verification that the individual worked for SWAN as a full-time or part-time employee and the period during which the individual was employed.

- Verification of the position or positions held by the individual during his/her tenure of employment.

- Verification of the individual's final salary.

C. Any letters of reference written by SWAN employees about current or former SWAN employees must be reviewed and approved by the Executive Director or her/his designee before being sent.

SWAN must have a signed consent form authorizing SWAN to release this information from the individual's personnel records. To be acceptable, this consent form must indicate the general and specific types of information that can be released and release SWAN from all potential liability related to the authorized disclosure.

### Government Requests for Information

The only exception to the above procedures applies to information requests received by SWAN from federal, state, or local authorities, including officials and authorized representatives of the courts, as well as law enforcement and other government agencies. SWAN normally honors all such requests and provides the information sought in the form requested by the agency or official. Where SWAN releases information about an employee or former employee in response to a subpoena, it normally informs or attempts to inform the individual about the disclosure. However, SWAN reserves the right to refrain from informing individuals of government information requests related to an ongoing investigation of criminal activity.

### Reference and Background Check Procedures

Reference checks may be conducted by mail, telephone, face-to-face interviews, or a combination of methods. For certain positions, such as those involving financial or security matters, SWAN reserves the right to use a SWAN representative or third-party agency to conduct background checks. SWAN will notify applicants before conducting any reference checks.

### Inaccurate or Fraudulent Information

SWAN will eliminate from further consideration for employment any applicant who provides false, misleading, or willfully deceptive information on his or her job application or resume or during an interview. Employees hired based on false information discovered after employment begins are subject to discipline, up to and including discharge.

## HOURS OF WORK/MEAL/BREAK PERIODS

Department supervisors shall determine and establish a daily and weekly schedule of normal work hours necessary to provide services. The schedule may be temporarily changed in order to meet emergency or other defined needs. It is the personal responsibility of each employee to be at his/her work station and fully prepared to begin work at the time the scheduled work hours begin. Employees are not permitted to alter works hours without the permission of the supervisor. "Altering work hours" includes arriving early and then leaving early and/or arriving late and staying late. Employees are not authorized to "trade hours" without the permission of the supervisor.

Employees may schedule their own meal/break periods as long as meal/break periods are staggered to ensure department coverage. An employee who works 7.5 continuous hours or more shall be provided an unpaid meal period of at least 30 minutes. The meal period must be taken by an employee no later than 5 hours after beginning work. In addition, employees may take a paid break of 15 minutes during each half-day's schedule. An additional paid break of 15 minutes per day will be provided for employees taking part in SWAN's Walking Club, to be used exclusively for fitness walking only. Break periods do not accumulate and are not to be used for making up time, leaving early, or lengthening a meal break.

## ATTENDANCE

Consistent attendance and punctuality contribute to the success of SWAN's business operations. Attendance problems disrupt operations, lower productivity and create a burden for other employees. All employees of SWAN are expected to assume responsibility for their attendance and promptness. Poor attendance and/or punctuality will be reflected in an employee's performance review, and is subject to disciplinary action.

### Rules Concerning Attendance

- Inform SWAN in advance when possible. When an employee knows in advance that he or she cannot avoid absence from work, the employee must request arrangements in advance with the employee's supervisor for such absence.

- If it is not feasible for an employee to make arrangements in advance for an absence, the employee is then required to contact his/her supervisor as soon as possible, and no later than 60 minutes before the employee's normal starting time. In the event the employee cannot reach the supervisor, the employee should leave a voicemail with a contact number where the employee can be reached. Be prepared to explain the reason for the absence and give an expected date of return to work.

- Employees must personally contact SWAN on a daily basis, during all absences, except those arranged in advance.

- SWAN may require that additional documentation substantiating the reason for the absence be furnished. In instances of absence due to an employee's health, the organization reserves the right to require the employee to obtain a doctor's report explaining the condition and the doctor's restriction that the employee not work. Ordinarily any absence due to illness over three consecutive days requires a report from the attending doctor. Where deemed appropriate, SWAN may delay its decision as to the employee's physical fitness to return to work until a doctor's report is submitted.

- Two consecutive work days of absence without notice to SWAN constitutes job abandonment and will result in termination of an employee as a voluntary separation.

## CONDUCT AND WORK RULES

As integral members of SWAN's team, employees are expected to accept certain responsibilities, adhere to acceptable business principles in matters of personal conduct, and exhibit a high degree of personal integrity at all times.

Employee conduct reflects on SWAN not only when an employee is at work, but also when an employee is away from SWAN conducting SWAN business. Employees are consequently encouraged to observe the highest standards of professionalism at all times. The following is a list of behaviors that could result in disciplinary action up to and including termination. Be aware that this list is not intended to be "all inclusive," and that other behaviors may, at SWAN's discretion, also result in disciplinary action up to and including termination. Establishment of these standards of conduct does not alter the employment-at-will relationship. Employees should seek further clarification from their supervisor on issues related to conduct if they do not understand a particular rule or are uncertain regarding a particular behavior.

### BREACHES OF CONDUCT
- Falsifying employment application, time sheet, expense report, personnel or other documents or records of SWAN.

- Unauthorized possession of SWAN member or employee property.

- Possession, distribution or use of weapons or explosives, or violating criminal laws, on the premises of SWAN, in accordance with the Illinois Firearm Concealed Carry Act.

- Fighting and/or other disorderly conduct.

- Dishonesty, fraud, theft or sabotage against SWAN or its employees.

- Threatening, intimidating, coercing, using abusive or vulgar language, or interfering with the performance of other employees of SWAN or its members.

- Insubordination or failure to perform reasonable duties which are assigned.

- Unauthorized use of material, time, equipment or property of SWAN or a member.

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- Damaging or destroying property through careless or willful acts.

- Performance that does not meet the requirements for the position.

- Negligence in observing fire prevention and safety rules.

- Abuse or negligence of our security or confidential materials, including unauthorized access to records and information of SWAN or its members.

- Installing unauthorized or illegal copies of software on a SWAN-owned computer.

- Failure to cooperate with SWAN audits or investigations.

- Rudeness and other inappropriate behavior towards members.

- Revealing any confidential information to any person who isn't authorized to receive it, and who does not need to know it.

- Repeated tardiness or absence; failure to report for work without a satisfactory reason; abuse of leave privileges.

- Violation of SWAN's drug/alcohol policy.

- Any behavior that results in an employee not performing his/her job, including sleeping on the job.

- Engaging in such other practices as SWAN determines may be inconsistent with the ordinary and reasonable rules of conduct necessary to the welfare of SWAN, its employees or patrons.

## DISCIPLINARY STEPS

Should performance, work habits, conduct or demeanor become unsatisfactory in the judgment of SWAN, based on violations either of the above or of any other of SWAN's policies, rules or regulations, an employee may be subject to disciplinary actions as follows:

1. First Offense       Verbal Warning

2. Second Offense       Written Warning

3. Third Offense       Disciplinary Suspension/Final Written Warning/PIP

4. Fourth Offense       Discharge

SWAN is not necessarily required to go through the entire disciplinary action process. Discipline may begin at any step, including immediate discharge (especially during the early stages of employment), dependent upon the severity of the incident. The progressive disciplinary steps and the failure to follow the steps in every situation do not in any way create a contractual right to continued employment.

Sometimes SWAN will find it necessary to investigate the infraction for which an employee may face discharge. In this case, SWAN may suspend the employee, with or without pay, pending the investigation. The objective of this suspension will be to determine if discharge is the proper decision. Following the investigation, if SWAN decides not to discharge the employee, the employee will be reinstated with or without back pay, depending on the circumstances.

## PROBLEM SOLVING/GRIEVANCE PROCEDURE

The problem solving procedure should be used to address problems that typically occur in the workplace. If an employee has a complaint, problem or situation that needs to be addressed, the following procedure should be utilized:

**Step One**: The employee should informally discuss the situation with his/her manager as soon as possible. The employee should give the manager an opportunity to investigate and then get back to the employee. If the question or concern cannot be/is not resolved on this basis, the employee should prepare a written explanation of the facts detailing his or her concern and offer a solution or desired outcome, and submit it to his or her manager. The manager is expected to review the employee's concern and provide a formal written response as quickly as he or she is able. If the manager is unable to respond within five business days, he or she will otherwise advise the employee as to when a written response can be provided.

**Step Two**: If the employee is not satisfied that the problem is resolved, the employee can present the problem to the Executive Director. The Executive Director will review the employee's concern and provide a written response as quickly as he or she is able. If the Executive Director is unable to respond within five business days, he or she will otherwise advise the employee as to when a written response can be provided.

**Step Three:** If the employee is still not satisfied that the problem is resolved, the employee can present the problem to the President of the SWAN Board. The President of the SWAN Board, in consultation with the Board, will consider the situation at the next regularly scheduled meeting of the Board, and it will provide a written response to the concern as quickly as they are able. The written response of the Board to any employee's concern represents a final and complete resolution of the matter.

## NO SOLICITATION/NO DISTRIBUTION

In the interest of maintaining a proper business environment and preventing interference with work and inconvenience to others, employees may not distribute literature or printed materials of any kind, sell merchandise, solicit financial contributions, or solicit for any other cause during working time. Employees who are not on working time (e.g., those on lunch hour or breaks) may not solicit or distribute literature or printed material of any kind to employees who are on working time. Non-employees are prohibited from distributing material or soliciting employees on SWAN's premises at any time.

## PERSONAL APPEARANCE

Employees are expected to use good judgement at all times regarding their personal appearance to promote a positive image of SWAN and to maintain safety. During business hours, employees are

expected to dress appropriately for the work being performed, to be neat, to wear clean clothing, and to maintain good personal hygiene.

Employees who are assigned to attend organization meetings or workshops should be particularly conscious of maintaining dress and grooming standards that present a more professional image than the day-to-day casual dress normally permitted.

Employees who have questions about the dress code should speak to their manager. An employee who reports for work in violation of this policy may be sent home to correct the violation and may be sent home without pay to correct the violation. Repeated violations will be grounds for additional discipline, up to and including termination.

## USE OF ELECTRONIC AND TELEPHONE EQUIPMENT

It is the policy of SWAN to provide or contract for the communication services and equipment necessary to promote the efficient conduct of business. Business and telecommunication equipment are provided to SWAN staff through a contractual arrangement with Reaching Across Illinois Library System (RAILS). All business equipment, electronic and telephone communications systems, and all communications and stored information transmitted, received, or contained in SWAN's information systems, including computers, phones, faxes, copiers, emails, voicemails, Internet, etc. (collectively "electronic systems") are organization property and are to be used primarily for job-related purposes.

When using SWAN's business equipment, employees should note the following:

1.  Electronic systems are owned/leased and maintained by SWAN and electronic communications are the sole property of the organization. Excessive personal use of electronic systems by employees is prohibited. *SWAN will, or reserves the right to, monitor the use of electronic systems and to review or inspect all material stored therein. No communications are guaranteed to be private or confidential.*

2.  The electronic systems of the organization may not be used by employees for commercial purposes, personal financial gain or illegal or criminal purposes.

3.  All workstations will be configured with virus protection software, which should not be removed or disabled. Each employee is responsible for protecting his/her computer against virus attack by following appropriate guidelines for scanning all incoming communications and media, and by not disabling the anti-virus application installed on their workstation. All data disks and files entering or leaving SWAN should be scanned for viruses.

4.  Personal software or messages shall not be installed or stored on SWAN's equipment unless prior approval is obtained. The downloading or use of any software sharing programs is explicitly prohibited. In addition, employees are prohibited from encrypting, attempting to decrypt or modifying data, files, or programs without prior written authorization. Employees are prohibited from deleting or destroying data, files, or programs, except in the ordinary course of business, *i.e.* deletion of an email after it is read.

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5. Employees are prohibited from using codes, accessing files, or retrieving any stored communication without prior authorization. No employee may use a pass code unknown to SWAN. The use of personal passwords, assigned to the employee, is not grounds for an employee to claim privacy rights in the electronic or communications systems. SWAN reserves the right to override personal passwords. Employees may be required to disclose passwords or codes to SWAN to allow access to the systems.

6. In order to maintain network and information security, the sharing or misuse of passwords is prohibited. As an employee, you are responsible for protecting the confidentiality of your password(s). Passwords should not be written down or left in places that they are accessible to others.

7. SWAN's prohibition against sexual, racial, and other forms of harassment are extended to include the use of electronic systems. Harassing, vulgar, obscene, or threatening communications are strictly prohibited, as are sexually oriented messages or images. Employees who receive email or other information on their computers which they believe violate this policy should immediately report this activity to the Executive Director.

8. Privileged or confidential material, such as, but not limited to, trade secrets, attorney-member communications, proprietary financial information, etc. should not be exchanged haphazardly by e-mail, facsimiles, etc.

9. Employees are prohibited from violating copyright or licensing laws.

10. Outsiders or non-employees are prohibited from using the organization's electronic communications to communicate with employees or the organization for any purpose unrelated to SWAN's business.

11. Employees must be aware of the possibility that electronic messages that are believed to have been erased or deleted can frequently be retrieved by systems experts and can be used against an employee or SWAN. Therefore, employees should be cautious and use the systems only in the appropriate manner and consult with systems experts to guarantee that information to be deleted is truly eliminated.

12. Employees should exercise care so that no personal correspondence appears to be an official communication of SWAN. Employees may not use SWAN's address for receiving personal mail or utilize SWAN stationery or postage for personal letters.

## SOCIAL MEDIA USE

Social Media is defined as: blogs, other types of self-published online journals, and collaborative Web-based discussion forums including, but not limited to, LinkedIn, Facebook, Pinterest and Twitter.

### Rules and Guidelines

The following rules and guidelines apply to the use of social media, whether such use is for SWAN on company time, for personal use during non-work time, outside the workplace or during working time while using SWAN owned equipment. (Using SWAN equipment to access social media sites is also governed by the Use of Electronic and Telephone Equipment policy. Employees should also refer to this policy before accessing such sites via SWAN's equipment). These rules and guidelines apply to all SWAN employees.

1. Employees are prohibited from discussing confidential information through the use of social media, such as SWAN trade secrets, marketing lists, member account information, strategic business plans, member lists, SWAN financial information, business contracts, and other proprietary and nonpublic company information. See the Confidentiality Policy for more information.

2. Employees cannot use social media to harass, threaten, bully or discriminate against co-workers, managers, members, clients, vendors or suppliers, any organizations associated or doing business with SWAN, or any members of the public, including web site visitors who post comments. SWAN's anti-harassment and EEO policies apply to use of social media in the workplace.

3. This policy is not intended, nor shall it be applied, to restrict employees from discussing their wages, hours and working conditions with co-workers.

### SWAN-Sponsored Social Media

SWAN-sponsored social media is used to: convey information about products and services; advise members about service updates; obtain member feedback, exchange ideas or trade insights about service trends; reach out to potential new markets; provide marketing support to raise awareness of SWAN's services; issue or respond to breaking news; brainstorm with employees and members; and discuss activities and events.

All such SWAN-related social media is subject to the following rules and guidelines, in addition to rules and guidelines set forth above:

1. Only employees designated and authorized by SWAN can prepare content for or delete, edit, or otherwise modify content on SWAN-sponsored social media.

2. Employees cannot post any copyrighted information where written reprint permission is not obtained in advance.

3. Designated employees are responsible for ensuring that SWAN-sponsored social media conform to all applicable company rules and guidelines. These employees are authorized to remove immediately and without advance warning any content, including inappropriate content such as pornography, obscenities, profanity, and/or material that violates SWAN's EEO and/or anti-harassment policies.

4. Employees who want to post comments in response to content should identify themselves as employees.

### Personal Use of Social Media

The following rules and guidelines, in addition to the rules and guidelines set forth above, apply to employee use of social media on the employee's personal time.

1. Employees should abide by SWAN's Use of Electronic and Telephone Equipment Policy concerning personal use of SWAN computer and related equipment.

2. Employees who utilize social media and choose to identify themselves as employees of SWAN are strongly encouraged to state explicitly, clearly, and in a prominent place on the site that their views are their own and not those of SWAN or of any person or organization affiliated or doing business with SWAN.

3. Employees should respect all copyright and other intellectual property laws. For the organization's protection, as well as your own, it is critical that you show proper respect for all the laws governing copyright, fair use of copyrighted material owned by others, trademarks and other intellectual property, including SWAN's own copyrights, trademarks, and brands.

4. Employees cannot advertise or sell SWAN products or services through social media.

### SWAN Monitoring

SWAN reserves the right to monitor employees' use of social media including but not limited to statements/comments posted on the Internet, in blogs and other types of openly accessible forums, diaries, and personal and business discussion forums.

Employees should have no expectation of privacy while using company equipment and facilities for any purpose, including the use of social media. SWAN reserves the right to monitor, review, and block content that violates SWAN rules and guidelines.

### Violations

SWAN will investigate and respond to all reports of violations of SWAN's rules and guidelines or related company policies or rules. Employees are urged to report any violations of this policy to the Executive Director. A violation of this policy may result in discipline up to and including termination of employment.

## USE OF MOBILE PHONES/SWAN'S PHONES

Employees may make and receive local personal calls on SWAN's telephones or personal cellular phones during working hours. These calls should be brief and not interfere with the employee's job duties. If an employee is found to be making or receiving personal calls that interfere with work performance, disciplinary steps up to and including termination may be taken.

**USE OF CELLULAR PHONES/COMPANY PHONES**

SWAN encourages and promotes cell phone safety when operating a motor vehicle for Association business. If the employee finds that it is absolutely necessary to utilize a cellular phone while driving, the following should be observed:

- Place calls while stopped or have someone place the call for you.

- *Employees may only use a cellular phone while driving if they are utilizing a hands-free device (such as a headset) or are using the phone in a voice activated mode.*

- Avoid intense, emotional or complicated conversations.

- Assess traffic conditions before making a call. Do not utilize a cell phone in heavy traffic conditions, inclement weather or in unfamiliar terrain.

- Give driving your full attention.

- Ensure that the phone is within easy reach.

- Use memory dial to minimize dialing time.

- Do not take notes or look up phone numbers while driving.

Do not compose, send or read electronic messages while operating a motor vehicle.


## TELECOMMUTING

Telecommuting is a work arrangement that allows employees to work at home or at some other off-site location for all or some of their regularly scheduled work hours. Although not all jobs can be performed satisfactorily from other locations, SWAN recognizes that, in some cases, telecommuting arrangements can provide a mutually beneficial option for both SWAN and employees.

Candidates for telecommuting arrangements must:

- Have worked at SWAN for minimum of six months;

- Possess good time-management and organizational skills, be self-motivated, self-reliant, and disciplined as assessed by SWAN;

- Obtained a satisfactory rating on the most recent performance evaluation, as determined by SWAN; and

- Responsible for work that has clearly defined tasks, measurable work activity and does not require the individual's presence in the workplace.

Telecommuting arrangements are approved by on a case-by-case basis. Not all positions can be performed from off-site locations. For example, positions requiring face-to-face interaction with members and office personnel are not suitable for telecommuting arrangements.

In order to telecommute, the following basic requirements must be met:

- Employees must be able to carry out the same duties, assignments, and other work obligations at their home office as they do when working on SWAN's premises.

- An employee must work the same hours from home as the employee would work in SWAN's office. Employees must be reachable by phone and email when telecommuting.

- Employees must be available to attend scheduled meetings and participate in other required office activities at the home office as needed. Employees who telecommute may be required to attend these meetings and other activities "in person."

- Employees must arrange for child/elder care during their work hours.

A SWAN telecommuting arrangement will specify the number of hours to be worked at home and the specific time in which this will occur (e.g., every Tuesday, the first Monday of the month, etc.). At this time, the maximum amount of time that a SWAN employee may work from home on a regular basis is two full days per work week.

SWAN does not provide telecommuting employees with equipment or office furnishings for their home offices. (Some exceptions may be made with respect to computer equipment and will be discussed on a case by case basis). Employees are responsible for equipping and maintaining their home offices so that they can accomplish their work in an efficient and expeditious manner. Depending on the nature of their jobs, this may require having computers, printers, computer software, fax machines, data and telecommunications equipment, and other equipment available for their use. The specifics concerning required equipment will be discussed with the individual employee. Employees are responsible for providing office furnishings—such as desks, chairs, file cabinets, and lighting—at their own expense.

Employees interested in telecommuting arrangements should discuss the matter with their supervisor. Permission to telecommute must be granted by SWAN's Executive Director or her/his designee.

SWAN has the right to cancel or suspend employee telecommuting privileges at any time, for any reason or for no reason at all.

## FLEXIBLE SCHEDULING

**Who is eligible?**
SWAN employees that work 30 hours per week are eligible to apply for flexible scheduling. You must be a full-time employee with SWAN for a minimum of 6 months before you are eligible to apply for flexible scheduling.

However, please note that based upon your job duties and the coverage in your department, certain scheduling options may not be available to you. This can be discussed in greater detail after review by your supervisor.

**Types of Flexible Work Options**
Flexible work options can be organized in a variety of ways. The most common flexible scheduling options are flexible work hours, compressed work schedules, or a hybrid of these.

**1. Flexible Work Hours**
Flexible Work Hours represent any arrangement that varies from the typical "9-5 Monday through Friday" work option. Examples of some flextime arrangements:
- Individualized start and end times that remain constant each work day (i.e. changing your shift from 8-4 or 10-6).
- Individualized start and end times that vary daily, however, the same number of hours are worked every day (i.e. 8-4 Mon and Tues, 9-5 Wed – Fri).
- Individualized start and end times with varied daily hours but consistency in the total number of hours worked every week.
   Extended lunch times offset by additional hours at the beginning and/or end of the day.

**2. Compressed Work Schedules**
A Compressed Work Schedule is a traditional 37.5 hour work week condensed into fewer than five work days. With a compressed work schedule, the focus is on outcomes and managing the appropriate workload in a condensed version of the work week.

Common examples of Compressed Work Schedules:
- Four 9.5-hour days
- Four varied days: (examples: three 10-hour days, and one 7.5-hour day or four 8.5-hour days and one 3.5 hour day.) Specific options can be discussed with your manager.

*Compressed schedules do not include lunch, only actual hours worked. A meal period of at least 20 minutes must still be taken for any shifts of 7.5 hours or longer, per Illinois state law, which would add to the actual shift time worked.

**4. Hybrid Options**
This would include any mixture of previously listed scheduling, including telecommuting, as arranged with your manager.

## IDENTITY PROTECTION

### Purpose

The purpose of this policy is to protect social security numbers from unauthorized disclosure. Regarding the use of social security numbers, SWAN intends to comply with the provisions of the Identity Protection Act (5 ILCS 179/1 *et seq.*).

### Requirements

A.  All employees who have access to social security numbers in the course of performing their duties will be trained to protect the confidentiality of social security numbers. Training will include instructions on the proper handling of information that contains social security numbers from the time of collection through the destruction of the information.

B.  Only employees who are required to use or handle information or documents that contain social security numbers will have access to such information or documents.

C.  Social security numbers requested from an individual will be provided in a manner that makes the social security number easily redacted if required to be released as part of a public records request.

D.  When collecting a social security number, or upon request by the individual, a statement of the purpose or purposes for which the social security number is being collected and used must be provided.

### Prohibited Activities

No employee may do any of the following:

A.  Publicly post or publicly display in any manner an individual's social security number. "Publicly post" or "publicly display" means to intentionally communicate or otherwise intentionally make available to the general public.

B.  Print an individual's social security number on any card required for the individual to access products or services.

C.  Encode or embed an individual's social security number in or on any cards or documents, including, but not limited to, using a bar code, chip, magnetic strip, RFID technology, or other technology.

D.  Require an individual to transmit his or her social security number over the internet, unless the connection is secure or the social security number is encrypted.

E.  Print an individual's social security number on any materials that are mailed to the individual, through the U.S. Postal Service, any private mail service, electronic mail, or any similar method of delivery, unless state or federal law requires the social security number to be on the document to be mailed. Notwithstanding any provision in this section to the contrary, social security numbers

may be included in applications and forms sent by mail, including, but not limited to, any material mailed in connection with the administration of the Unemployment Insurance Act, any material mailed in connection with any tax administered by the Department of Revenue, and documents sent as part of an application or enrollment process or to establish, amend, or terminate an account, contract, or policy or to confirm the accuracy of the social security number. A social security number that may permissibly be mailed under this section may not be printed, in whole or in part, on a postcard or other mailer that does not require an envelope or be visible on an envelope without the envelope having been opened.

F.   Collect, use, or disclose a social security number from an individual, unless:

  •   Required to do so under state or federal law, rules, or regulations, or the collection, use, or disclosure of the social security number is otherwise necessary for the performance of that agency's duties and responsibilities;

  •   The need and purpose for the social security number is documented before collection of the social security number; and

  •   The social security number collected is relevant to the documented need and purpose.

G.   Require an individual to use his or her social security number to access an Internet website.

H.   Use the social security number for any purpose other than the purpose for which it was collected.

The prohibitions listed immediately above do not apply in the following circumstances:

A.   The disclosure of social security numbers is pursuant to a court order, warrant, or subpoena.

B.   The collection, use, or disclosure of social security numbers is in order to ensure the safety of other employees.

C.   The collection, use, or disclosure of social security numbers is for internal verification or administrative purposes.

D.   The collection or use of social security numbers is to investigate or prevent fraud, to conduct background checks, to collect a debt, to obtain a credit report from a consumer reporting agency under the federal Fair Credit Reporting Act, to undertake any permissible purpose that is enumerated under the federal Gramm Leach Bliley Act, or to locate a missing person, a lost relative, or a person who is due a benefit, such as a pension benefit or an unclaimed property benefit.

### Public Inspection and Copying of Documents

Notwithstanding any other provision of this policy to the contrary, all employees must comply with the provisions of any other state law with respect to allowing the public inspection and copying of information or documents containing all or any portion of an individual's social security number. This includes requests

for information or documents under the Illinois Freedom of Information Act. Employees must redact social security numbers before allowing the public inspection or copying of the information or documents.

### Public Availability
A copy of this policy shall be made available to the public upon request.

### Applicability
This policy does not apply to the collection, use, or disclosure of a social security number as required by state or federal law, rule, or regulation.

## CONFIDENTIALITY

All employees must safeguard confidential information obtained as a result of working for SWAN. This confidential information includes, but is not necessarily limited to, financial information, member information, pricing information, product cost information, new product/service plans, research and development, member lists, mailing lists, technical information, systems information, and in particular, any material identified by SWAN as "confidential."

Access to confidential information should be on a "need to know" basis and must be authorized by the Executive Director. Unauthorized use or disclosure of any confidential information will cause irreparable harm to SWAN. SWAN may seek all remedies available under the law for any threatened or actual unauthorized use or disclosure of confidential information. Any employee who is unsure about the confidentiality of any information should immediately seek the assistance of a supervisor prior to disclosing such information.

Employees should use reasonable security measures with respect to confidential information, including but not limited to the following:

- Confidential information should not be disclosed to any third party except upon SWAN's prior written approval;

- No copies should be made of any confidential information except to promote the purposes of the employee's work for SWAN;

- Employees should not use confidential information for their own benefit, nor for the benefit of any third party, without SWAN's prior written approval.

All confidential information shall remain the sole property of SWAN, and all copies must be returned to SWAN upon termination of employment or upon demand at any other time.

## VISITORS

Personal visitors are generally not appropriate at SWAN during an employee's working time. Visitors should only be received during break and lunch times provided that they do not disturb those who are working or members who are using SWAN, unless in an emergency or previously approved by the employee's direct manager.

## BUSINESS USE OF VEHICLES

At times, employees may be required to use their personal vehicle for business purposes including attending meetings, seminars, etc. Employees doing so will receive a mileage reimbursement at the Internal Revenue Service approved rate for any miles above their normal work to home commute. This allowance is to compensate for the cost of gasoline, oil, depreciation, insurance, and wear and tear. In addition, employees driving on SWAN business may claim reimbursement for parking fees and tolls actually incurred.

Employees who drive a vehicle on SWAN's business must possess a valid driver's license and minimum insurance coverage in accordance with Illinois law. Any change in status must be reported immediately to the direct supervisor and the Office Manager (e.g. the license is suspended, revoked, limitations, etc.).

## SAFETY

Establishment and maintenance of a safe work environment are shared responsibilities of SWAN and employees from all levels of SWAN. SWAN will attempt to do everything within its control to assure a safe environment and compliance with federal, state, and local safety regulations. Employees are expected to obey safety rules and to exercise caution in all their work activities. Disregard for safety rules or procedures will result in disciplinary action up to and including discharge.

Employees have an absolute obligation to immediately report any unsafe conditions to their supervisor. Not only supervisors, but employees at all levels of SWAN are expected to correct unsafe conditions as promptly as possible. SWAN will not take reprisals against an employee who comes forth with a safety recommendation or refuses to operate any equipment or work in an area he/she reasonably feels is unsafe.

All accidents, especially those that result in injury, must be reported immediately to the nearest available supervisor, regardless of how insignificant they may appear. Such reports are necessary to comply with federal and state laws and initiate insurance and workers' compensation procedures. Failure to immediately report an accident may result in discipline, up to and including discharge.

If you are disabled and would need special assistance during an emergency, please inform your supervisor.

## WORKPLACE VIOLENCE

SWAN is concerned about the increased violence in society, which has also filtered into many workplaces throughout the United States, and has taken steps to help prevent incidents of violence from occurring at SWAN. In this connection, it is the policy of SWAN to expressly prohibit any acts or threats of violence. Accordingly, SWAN will not condone any acts or threats of violence against it's employees, members or visitors on SWAN's premises, at any time or while they are engaged in business with or on behalf of SWAN, on or off SWAN's premises.

In keeping with the spirit and intent of this policy, and to ensure that SWAN's objectives in this regard are attained, is the commitment of SWAN:

- To provide a safe and healthful work environment.

- To take prompt remedial action up to and including immediate termination, against any employee who engages in any threatening behavior or acts of violence or uses any threatening language or gestures.
- To take appropriate action when dealing with members, former employees, or visitors to SWAN's facilities who engage in such behavior. Such action may include notifying the police or other law enforcement personnel and prosecuting violators of this policy to the maximum extent of the law.
- To prohibit employees, former employees, members, and visitors from bringing unauthorized firearms or other weapons onto SWAN premises, in accordance with the Illinois Firearm Concealed Carry Act.
- To establish viable security measures to ensure that SWAN's facilities are safe and secure to the maximum extent possible and to properly handle access to SWAN facilities by the public, off-duty employees, and former employees.

All employees are responsible for maintaining a workplace that is free from violence. Accordingly, each employee has a duty to report any threat, instance of harassment or offensive conduct, or violent act observed or experienced at work. In addition, any employee who has a reason to believe that a violent act may be committed on the worksite or against an individual related to the business in any way must promptly report that belief or suspicion to the Executive Director, the Associate Executive Director, or his/her supervisor. No employee who in good faith either makes a report or participates in an investigation under this policy will experience retaliation of any kind.

**The duties above are in addition to an employee immediately phoning 9-1-1 in the event an employee believes an immediate threat of harm exists.**

Any employee who displays a tendency to engage in violent, abusive, or threatening behavior will be subject to disciplinary action, up to and including discharge.

Any employee who applies or obtains a protective or restraining order which lists SWAN premises as being protected areas should inform the Executive Director or her/his designee. SWAN will require the employee to furnish SWAN with a copy of the order.

## SMOKING

SWAN is committed to protecting the safety and welfare of its employees, members and visitors.

No smoking of any kind, including e-cigarettes, will be permitted in SWAN's facilities and vehicles or within 15 feet of any entrance, exit, window, ventilation intake office or work area, restroom, conference or classroom, break room or cafeteria and/or other common area.

Smoking is only allowed during authorized break times and in authorized areas.

We encourage you to report violations of our smoke-free facility policy to a supervisor/manager. Any employee who fails to comply with this policy will be subject to disciplinary action, including written warnings, suspension, and possible termination for continued violations.

This policy applies equally to all employees, members, and visitors.

## EMERGENCY WEATHER CLOSING

SWAN's Executive Director or her/his designee will make the decision to close all or selected SWAN locations due to inclement weather or other unforeseen circumstances. If the decision is made to close a SWAN location prior to opening for business in the morning, an effort will be made to contact employees via a phone chain, email and/or to post a message on the intranet.

If the decision to close a SWAN location is made during the work day, the Executive Director or her/his designee will contact each supervisor with the scheduled closing time to be communicated to employees.

If SWAN is closed due to inclement weather, all full-time and part-time employees scheduled to work on the day of the closing will be paid for their regularly scheduled work hours. If an employee chooses not to come to work or leaves early due to inclement weather when SWAN remains open, the employee may choose to use any remaining vacation or personal days or take a day without pay, upon consultation with the employee's supervisor.

## WHISTLEBLOWER COMPLIANCE

A whistleblower as defined by this policy is an employee of SWAN who reports an activity that he/she considers to be illegal or dishonest to one or more of the parties specified in this policy. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

An example of an illegal or dishonest activity is a violation of federal, state or local laws or financial wrongdoing. If an employee has knowledge of or a concern of illegal or dishonest fraudulent activity, the employee is to contact the Executive Director or the President of the SWAN Board. The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to discipline up to and including termination.

Whistleblower protections are provided in two important areas -- confidentiality and against retaliation. Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law and to provide accused individuals their legal rights of defense. SWAN will not retaliate against a whistleblower. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, or poor work assignments and threats of physical harm. Any whistleblower who believes he/she is being retaliated against must contact SWAN immediately. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

All reports of illegal and dishonest activities will be promptly submitted to the Executive Director who is responsible for investigating and coordinating corrective action. In the event the Executive Director is the accused, reports of illegal and dishonest activities will be promptly submitted to the President of the SWAN Board.

Employees with any questions regarding this policy should contact the Executive Director.

## TERMINATION OF EMPLOYMENT

Employees desiring to terminate their employment relationship with SWAN are urged to notify SWAN at least two weeks in advance of their intended termination. Such notice should be given in writing to the employee's supervisor. Proper notice generally allows SWAN sufficient time to calculate all accrued overtime (if applicable) as well as other monies to which the employee may be entitled and to include such monies in the final paycheck.

As mentioned elsewhere in this handbook, all employment relationships with SWAN are on an at-will basis. Thus, although SWAN hopes that SWAN's relationship with employees is long-term and mutually rewarding, SWAN reserves the right to terminate the employment relationship at any time.

Exit interviews with SWAN's Executive Director are normally scheduled for outgoing employees after the notice of intent to terminate is received. The purposes of this interview are to review eligibility for benefit continuation and conversion, to ensure that all necessary forms are completed, to collect all SWAN property that may be in the employee's possession (e.g., keys, laptops, ID cards, cell phones, etc.), and to provide employees with an opportunity to discuss their job-related experiences.

Employees who terminate their employment relationship with SWAN are welcome to reapply for employment with SWAN in the future.

## TRAVEL POLICY

Employees are encouraged to attend professional meetings and participate in professional activities. SWAN's annual budget provides funds for certain professional activities and travel allowances. Participation may be limited by the needs of the department and budget allocations.

**PRIOR APPROVAL**
1. No travel or activity involving reimbursement of expenses or use of regular work time will be undertaken by any employee without the prior approval of the Executive Director.
2. The selection of employees to attend specific conferences, workshops and meetings will be made by the Executive Director.

**REIMBURSABLE EXPENSES**
Subject to the availability of funds budgeted each fiscal year, the following expenses related to professional activities and travel on library business will be reimbursed.

**Transportation**
1. Round trip transportation by the most convenient and/or economical means will be determined by the Executive Director or his or her designee.

2. When travel by private auto is the most convenient or economical, reimbursement will be at the rate per mile as most recently published by the Internal Revenue Service up to a maximum of 1,000 miles for each round trip, but not to exceed the cost of round-trip airfare to the destination.
3. All parking and toll charges incurred while traveling on authorized SWAN business or while attending approved professional activities or meetings will be reimbursed. No reimbursement will be made, however, if parking and toll charges apply to travel by private auto ~~beyond the 1,000 mile limit~~ exceed the cost of round~~t~~-trip airfare to the destination.

**Lodging and Meals**
1. A per diem rate, as most recently published by the U.S. General Services Administration, will typically be established to cover room, meals and gratuities.[1]
2. The rate allowed will depend upon location, time of year and other local conditions.
3. Per diem reimbursement guidelines, establish~~e~~ a not-to-exceed expense, and will be made only when travel requires an overnight stay and absence away from home of at least 24 hours. Employees must submit all individual receipts for expenses associated with travel with daily total reimbursement not exceeding per diem rate. Reimbursement will be for actual expenses as documented with receipts.
4. The ~~per diem rate and the~~ number of days per diem allowed will be established by the Executive Director before travel actually begins, and reimbursement will not exceed the amount authorized.
5. Single meals which do not involve an overnight stay ~~or per diem allowance~~ will be reimbursed in the amount actually paid by the employee including reasonable gratuities, not to exceed U.S. General Services Administration guidelines.
6. Registration fees required for attendance at conferences and workshops or at other related organizational or civic meetings will be fully paid by SWAN.
7. Hotels will not be reimbursed for conferences taking place in the metro Chicago area unless specifically authorized by the Executive Director.

**RECORDS AND RECEIPTS**
Where appropriate and with the approval of the Executive Director, SWAN will prepay transportation, registration and hotel expenses with the understanding that if the advance exceeds the actual authorized expenses, the employee will refund the excess amount. Otherwise, minor travel and activity expenses will be reimbursed by petty cash and major travel and activity expenses will be reimbursed by check, once per month.

1. The employee should keep a written record of mileage by private auto.
2. Reimbursable expenses involved in authorized travel or attendance at professional activities will be paid only upon presentation of proper evidence that the travel has actually been performed or the activity actually attended.
3. Receipts for commercial transportation, registration fees, room rental and meals ~~not covered by the per diem rate~~ will be required.

**NON-REIMBURSABLE EXPENSES**

SWAN's policy is to reimburse its staff for all reasonable and necessary expenses incurred on behalf of SWAN. There are specific types of expenses that are considered to be personal and therefore not reimbursable. These include, but are not limited to, the following:

1. Any travel, hotel and meal costs incurred by immediate family members accompanying the SWAN representative on official SWAN business.
2. If personal travel is combined with business travel, any additional expenses related to the personal travel.
3. Expenses, such as cleaning, personal care products, personal entertainment, health and fitness services, airline insurance, barber, shoe shine, coat check, and alcohol.

## EMPLOYEE ACKNOWLEDGMENT FORM

The employee handbook describes important information about SWAN and I understand that I should consult SWAN's Executive Director regarding any questions not answered in the handbook.

Since the information, policies, and benefits described herein are necessarily subject to change, I acknowledge that revisions to the handbook may occur. All such changes will normally be communicated through official notices, and I understand that revised information may supersede, modify, or eliminate existing policies. Only the Board has the right to approve and adopt any revisions to the policies in this handbook.

I acknowledge that this handbook is neither a contract of employment nor a legal document. I have received the handbook, and I understand that it is my responsibility to read and comply with the policies contained in this handbook and any revisions made to it.

**Furthermore, I acknowledge that I have entered into my employment relationship with SWAN voluntarily and acknowledge that my employment is at will, and either SWAN or I can terminate the relationship at will, with or without cause, at any time, unless stated otherwise in an employment contract signed by the Executive Director or Board President.**

_____

Employee Name (printed)

_____

Employee Signature

_____

Date

| | |
|---|---|
| **Date:** | **June 28, 2019** |
| **To:** | **SWAN Board** |
| **From:** | **Aaron Skog, Executive Director** |
| **Re:** | **Fiscal Year 2019 Doubtful Accounts Write-Off** |

_____

Each year we identify invoices in the Allowance for Doubtful Accounts and make recommendations to the SWAN Board. This process typically occurs in June as the fiscal year ends.

The Allowance for Doubtful Accounts on the SWAN balance sheet will have a balance of $622.99 as of May 31, 2019 to reflect the reciprocal borrowing balances from Brookfield Zoo, Orland Park Public Library, and Phoenix Public Library that are determined to be unlikely to collect.  This account is a way to show the net realizable value of the receivables while at the same time allowing for the chance of collection.

Below is a chart noting the detail of the specific balances that I am requesting permission of the board to write off as of June 30, 2019.

**Recommendation for total invoices in Allowance for Doubtful Accounts to be written off: $622.99**

| Customer | Invoice Date | Invoice/Credit Description | Total | Note |
|---|---|---|---|---|
| **Brookfield Zoo** | 12/1/2016 | Reciprocal Borrowing July-September 2016 Billing | $   28.00 | Library has been contacted several times by RAILS Finance staff and SWAN staff to no avail. Library is closed, and the current contact person who would have knowledge of the nature of this debt is non-existent. |
| **Brookfield Zoo** | 4/3/2017 | Reciprocal Borrowing October-December 2016 Billing | $  114.00 | Library has been contacted several times by RAILS Finance staff and SWAN staff to no avail. Library is closed, and the |

| Customer | Invoice Date | Invoice/Credit Description | Total | Note |
|---|---|---|---|---|
| | | | | current contact person who would have knowledge of the nature of this debt is non-existent. |
| **Brookfield Zoo** | 4/18/2018 | Reciprocal Borrowing April 2018 Billing | $40.00 | Library has been contacted several times by RAILS Finance staff and SWAN staff to no avail. Library is closed, and the current contact person who would have knowledge of the nature of this debt is non-existent. |
| **Brookfield Zoo** | 1/23/2019 | Reciprocal Borrowing January 2019 Billing | $295.00 | Library has been contacted several times by RAILS Finance staff and SWAN staff to no avail. Library is closed, and the current contact person who would have knowledge of the nature of this debt is non-existent. |
| **Orland Park Public Library** | 8/24/2017 | Reciprocal Borrowing July 2017 Billing | $61.00 | Library has been contacted several times by RAILS Finance staff to no avail, and with no acknowledgement of this debt. |
| **Phoenix Public Library** | 8/8/2017 | Reciprocal Borrowing July 2017 Billing | $15.00 | Library has been contacted several times by RAILS Finance staff to no avail, and the library will no longer be a part of |

| Customer | Invoice Date | Invoice/Credit Description | Total | Note |
|---|---|---|---|---|
| | | | | SWAN's internet access membership. |
| **Phoenix Public Library** | 1/23/2019 | Reciprocal Borrowing January 2019 Billing | $30.00 | Library has been contacted several times by RAILS Finance staff to no avail, and the library will no longer be a part of SWAN's internet access membership. |
| **Phoenix Public Library** | 4/15/2019 | Reciprocal Borrowing April 2019 Billing | $39.99 | Library has been contacted several times by RAILS Finance staff to no avail, and the library will no longer be a part of SWAN's internet access membership. |
| | | **Total** | **$622.99** | |

**KTJ**

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May 3, 2019

<u>**VIA E-MAIL**</u>
Aaron Skog, Executive Director
System Wide Automated Network
800 Quail Ridge Drive
Westmont, Illinois 60559
aaron@swanlibraries.net

> **Re:** **Supplemental Letter regarding Converting SWAN into a Nonprofit Entity**

Dear Mr. Skog:

You asked us to prepare a supplemental letter discussing the options for the composition of the Board of Directors of the System Wide Automated Network ("SWAN") if it converts into a nonprofit entity, as well as SWAN's current ability to receive tax deductible donations. Our opinions on these matters are set forth below.

**BOARD OF DIRECTORS COMPOSITION**

In the *College of DuPage* case that was cited in our prior letter, the Illinois Appellate Court considered the structure of the College of DuPage Foundation's ("Foundation") board of directors, among other things, in its analysis into whether or not the Foundation was a public body. *Chicago Tribune v. College of DuPage*, 2017 IL App (2d) 160274. There, the Foundation was a separate entity created by the College of DuPage ("College") to manage all of the College's fundraising initiatives. The court noted that even though the Foundation's board had many members that were unaffiliated with the College, because the Foundation's board also included high-ranking employees of the College, the board was linked too closely to the College, and therefore it was more appropriate to find that the Foundation was a public body, and therefore subject to the Illinois Freedom of Information Act ("FOIA"). While the Foundation's board composition was not the sole determinative factor in the court's analysis and ultimate decision to view the Foundation as a public body subject to the FOIA, it was an important factor considered by the court.

With that understanding, we will analyze three examples of potential membership of SWAN's Board of Directors, if SWAN were to convert into a nonprofit entity: (1) a Board consisting entirely of public library member representatives; (2) only a portion of the Board consisting of public library member representatives; and (3) no representatives of public library members on the Board.

**Only Public Library Member Representatives on the Board of Directors**

If SWAN converted into a nonprofit entity, and if its Board was comprised of only public library member representatives, a court would be more likely find that SWAN was a public body subject to the FOIA and the Illinois Open Meetings Act ("OMA") using the same reasoning as the *College of DuPage* case set forth above. While Board membership is not the sole determining factor a court would consider in this analysis, SWAN's Board composition would be an important factor in the court's decision.

In a different context, it is possible that a nonprofit entity, with only representatives from government members on its board of directors, could perform non-governmental functions and therefore not be subject to the FOIA and the OMA. However, given that SWAN wants to continue to provide the same services it does currently, it would be difficult for SWAN to argue that it was not a public body, when its Board is comprised of solely public library member representatives.

**A Blend of Representatives and Non-Representatives of Public Library Members on the Board of Directors**

As a nonprofit entity, SWAN could have a Board consisting of a blend of representatives from public library members and those with no affiliation with public library members. Depending on how many Board members SWAN would have if it converts into a nonprofit entity, this option may or may not be feasible while still reducing the risk of the nonprofit entity being found to be a public body subject to the FOIA and the OMA. For example, if over half of the Board consists of representatives of the public library members, then the same problems arise as in the scenario above. If SWAN converts to a nonprofit entity, it would be critical for SWAN to have a majority of Board members that have the primary interest of serving the nonprofit entity, and not of its public library members. If the SWAN Board maintains significant loyalty to SWAN's public library members, a court is more likely to find that SWAN remains an extension of the public libraries it serves, and is would therefore continue to be subject to the FOIA and the OMA.

However, if a minority of the Board consists of representatives of SWAN's public library members, then decisions made in directing the nonprofit entity will have been made with a majority of Board members not affiliated with a public library, which would better support SWAN's position that it is not a public body for purposes of compliance with the FOIA and the OMA. The smaller the ratio of Board representatives of public libraries to non-representatives, the less likely it is that a court would see the Board as too closely linked to a public body.

**No Public Library Representatives on the Entity's Board of Directors**

SWAN could have a Board with no public library representatives. This is Board composition is the least likely to cause concern if SWAN converts to a nonprofit entity in terms of avoiding public body classification for purposes of complying with the FOIA and the OMA. A SWAN Board with no public library representatives is the optimal composition of the Board, if SWAN desires to stay as far away as possible from being classified as a public body under FOIA and OMA.

**DONATIONS**

The second question you asked us to analyze are the implications of converting to a Section 501(c)(3) organization in terms of receiving donations. Currently, as an intergovernmental entity, we believe that SWAN cannot accept donations that are tax deductible to the donors. However, if SWAN were converted into a nonprofit entity, we believe SWAN would be able to accept tax deductible donations.

The Internal Revenue Code ("IRC") defines charitable contributions as a "contribution or gift to [a] State, a possession of the United States, or **any political subdivision** of any of the foregoing, or the United States or the District of Columbia, but only if the contribution or gift is made for exclusively public purposes," IRC Section 170(c)(1) (emphasis added).

As the United States Court of Appeals in the 5th Circuit explained, "[t]he term 'political subdivision' is not defined in § 170 or in the Treasury Regulations accompanying § 170. Treasury Regulation 1.103-1(b), however, provides that any division of the government that is a municipal corporation or has been delegated the right to exercise part of the sovereign power of the government, is a political subdivision." *Texas Learning Tech. Group v. C.I.R.*, 958 F.2d 122, 124 (5th Cir. 1992).

In *Texas Learning Tech. Group*, a group of eleven (11) public school districts formed an entity via an "interlocal agreement" pursuant to the Texas Interlocal Cooperation Act. The Texas Learning Tech Group appealed to the 5th Circuit Court of Appeals after it was found not to be a political subdivision, as contemplated in IRC Section 170(c)(1), by the United States Tax Court. The court noted that case law requires an entity to be authorized to exercise some sovereign powers in order to be considered a political subdivision. *Id.* Examples of sovereign powers include the power to tax, the power of eminent domain and to exercise police power. *Id (*citing 1 MERTENS, *LAW OF FEDERAL INCOME TAXATION,* Section 8.09 at 27).

The Attorney General of the United States stated that in order to create a political subdivision, a state must delegate some of its sovereign powers to the entity. *See* 30 Op.Atty.Gen. 252 ("It is not necessary [the political subdivision] exercise all the functions of the state ..., it is sufficient if it be authorized to exercise a portion of them"). The Intergovernmental Cooperation Act of Illinois, in Section 3, provides, "[a]ny power or powers, privileges, functions, or authority exercised or which may be exercised by a public agency of this State may be exercised, combined, transferred, and enjoyed jointly with any other public agency of this State and jointly with any public agency of any other state or of the United States to the extent that laws of such other state or of the United States do not prohibit joint exercise or enjoyment and except where specifically and expressly prohibited by law." 5 ILCS 220/3.

Although under State law, SWAN may be granted some of the powers of its governmental library members, SWAN does not have the power to tax, does not have the power of eminent domain and has no police powers. Therefore, we do not believe that SWAN is a political subdivision of its member libraries under IRC Section 170(c)(1), and therefore is not eligible to receive tax deductible donations at this time. This is our preliminary opinion on this matter. If SWAN would like a more comprehensive review of this issue, please advise, and we will prepare the same.

Upon conversion to a Section 501(c)(3) nonprofit corporation, the new SWAN entity would be able to accept tax deductible donations because of the deductibility of charitable contributions. IRC Section 170(c)(2) defines charitable contributions as a contribution or gift to domestic organizations described in IRC Section 501(c)(3). Incorporating SWAN as a Section 501(c)(3) entity would allow the new nonprofit to obtain the tax-exempt determination letter previously mentioned.

Converting SWAN into a Section 501(c)(3) entity would provide SWAN with the benefit of potentially receiving tax-deductible contributions from donors to SWAN, as, in its present form, we do not believe that donations to SWAN are tax deductible given the analysis above.

If you have any questions, please do not hesitate to contact me.

Sincerely,

KLEIN, THORPE & JENKINS, LTD.
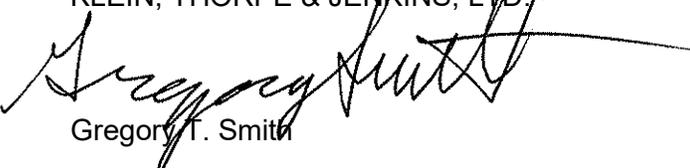
Gregory T. Smith

cc:    Donald E. Renner, Klein Thorpe & Jenkin, Ltd.
       Derek A. Farrugia, Klein Thorpe & Jenkin, Ltd.

# SWAN Board Officers & Representation on Committees: FY20

**SWAN**

**Board**

**Officers**

- Ted Bodewes, President
- Stacy Wittmann, Vice President
- OPEN Secretary
- Jamie Bukovac, Treasurer
- OMA Officer: Secretaru OPEN

**Personnel Committee (2)**

- Julie Milavec
- OPEN

**Finance Committee (3)**

- Jamie Bukovac
- Stacy Wittmann
- OPEN

**By-Laws Committee (2)**

- Stacy Wittmann
- OPEN

**Nominating Committee (1)**

- Stacy Wittmann

**Strategic Planning Committee (3)**

- Ted Bodewes
- Jamie Bukovac
- Julie Milavec

**RAILS**

**RAILS Board**

**RAILS Consortia Committee**

- Aaron Skog
- Alternate: OPEN

# FY2021 RAILS LLSAP Support Grant Process and Application

Local Library System Automation Programs (LLSAPs) receive support from RAILS via an annual grant award process. This document provides information on applying for RAILS support through in-kind services or direct financial support.

## LLSAP Definition and Eligibility

LLSAP is a term used statewide and rooted in historical relationships between the regional library systems and consortia. 23 Ill. Adm. Code 3030 states: "Local Library System Automation Program means an integrated library system open to membership by full library system members of all types developed by or receiving financial or in kind support from a library system." To foster resource sharing and make a library management system affordable for any interested member library, RAILS' goal is to support shared catalog consortia in its service area. To enrich existing relationships while promoting collaborative ventures with new partners, the RAILS Board has approved this definition of LLSAPs:

*Local Library System Automation Programs are shared library management systems that are supported by RAILS and that are open to membership by all types and sizes of RAILS member libraries. All LLSAPs affiliated with RAILS:*

1. *Support members whose primary service point is within the RAILS service area (Although non-RAILS members may belong to an LLSAP, they will not be included in allocation of RAILS support.)*
2. *Operate in a reciprocal contractual partnership with RAILS*
3. *Are supported by RAILS through in-kind and/or financial support*
4. *Maintain policies that broaden resource sharing throughout RAILS' service area*
5. *Foster cooperation to support RAILS' mission and to make library management systems affordable for every interested member library in RAILS, regardless of type or size*
6. *Work together to ensure the ability of all LLSAPs to meet the needs of their members, to increase the use of shared online catalogs by RAILS members, and to develop services that will further resource sharing throughout RAILS by providing staff, technical expertise, and assistance when needed*

Consortia in the RAILS service area are welcome to apply for this grant according to the criteria, timeline, and procedures outlined below. Eligibility requirements are rooted in the LLSAP definition, and include:

1. Newly formed consortia will not be eligible unless RAILS agrees a new consortium is in the best interests of the communities served.
2. The consortium must demonstrate commitment to resource sharing within and beyond the consortium in a multitype library environment.
3. The consortium must be open to growing its membership.

## How to Apply

Guidelines and deadlines for each application component are detailed below.

1. Complete the attached application form.
2. Assemble required documentation.
3. Submit application package via email to Anne Slaughter, RAILS Director of Technology Services (anne.slaughter@railslibraries.info). Single PDF file is preferred (plus Excel spreadsheet for data, if relevant).

## Timeline

Final timing of some steps may be subject to change based on approval of RAILS' application for its funding via the Illinois State Library Area and Per Capita (APC) grant and progress on the state budget. Funding is contingent on the availability of state funding.

| August 1, 2019 | Application package due to RAILS |
|---|---|
| August–September 2019 | RAILS reviews grant applications and determines awards |
| October 2019 | RAILS responds with award letter and grant agreement |
| January 2020 | Signed grant agreements due to RAILS |
| July 1, 2020 | FY2021 grant payments and in-kind services begin |
| January 31, 2021 July 31, 2021 | Semiannual reports due to RAILS |
| August 2021 (tentative) | LLSAP section of RAILS annual report to Illinois State Library due to RAILS |

## Questions?

Direct questions, application materials, and other communications to Anne Slaughter, RAILS Director of Technology Services (anne.slaughter@railslibraries.info).

# RAILS LLSAP Support Grant Application Form

## Intent of Application

Use checkboxes to indicate what type of support your consortium wishes to receive from RAILS. All LLSAPs receive core services.

Core services only

Financial support only

Financial support plus selected optional in-kind services as listed below

## Consortium Information

Consortium name _____

Consortium website URL _____

### Primary contact

RAILS' primary contact for the application, award, and reporting process; generally the Executive Director or equivalent.

Name _____

Email address _____

Phone _____

Address _____

### Other contact (optional)

An additional individual, if applicable, such as the Board President, who is in a position of leadership in the consortium and would also serve as a representative throughout the process.

Name _____

Email address _____

Phone _____

Address _____

### Staff contacts

Please attach a list of staff names, titles, departments, and contact information as applicable, or provide a link to where this information is available on your website.

_____

## Changes since August 1, 2018

Please use this space to report any changes to the following since August 1, 2018:

- Organization type (legal designation such as intergovernmental instrumentality, not-for-profit, etc.).
- Technology assessment (current state of the technology used to provide the consortium's services to its members, including description, age, & condition of hardware and network environment, any upgrade or migration plans, etc.).
- Resource sharing activities, including policies, documented practices, board decisions, etc.
- Commitment to membership growth, including procedures for soliciting, approving, and adding new members; membership criteria and requirements.
- Investigation of merger or consolidation with another consortium.

## Services Provided

Please list services provided by your consortium, including membership levels and associated service levels (if applicable).

## Documentation

RAILS would like to review any key governance, financial, planning, and other documents your consortium may have, such as those listed below, IF THEY HAVE CHANGED SINCE AUGUST 1, 2018. Include all relevant documents, if your consortium has them, as attachments to your application packet. Use the space below as needed for any comments or explanations.

- Budget from most recent fiscal year
- Bylaws and/or other governance documents
- Policies
- Strategic plan

## Board/governance/user group meeting schedule

Use the space below for, or include an attachment of, a list of all scheduled meetings or typical timing and frequency of meetings. This will assist in planning our availability to attend meetings to answer questions as desired, and sequence any necessary board approvals.

## Support Grant Allocation Metrics

*If applying for core services only, you may proceed to page 12.*

Each fiscal year, RAILS budgets a set amount for support grants to LLSAPs, defined as financial support and/or in-kind services, and allocates that grant funding according to a formula. If the LLSAP is staffed by RAILS employees, including the use of RAILS vehicles, the cost of providing that service will be deducted from its allocation. LLSAPs that do not receive this service, or the budgeted expenses do not exceed the amount of their award, receive quarterly payments from RAILS. RAILS does not place restrictions on how LLSAPs use financial support received from RAILS, provided that the LLSAP can demonstrate the benefit to the consortium or its member libraries.

Review the formula and instructions, and complete the form below so RAILS can determine your consortium's grant funding allocation.

### LLSAP Support Grant Formula

| *Metrics* | *Allocation method and/or weighting* |
|---|---|
| **Key Value:** Support is distributed equitably, with an emphasis on feasible participation for libraries of all types, sizes, and funding levels | |
| Number of member libraries (agencies) | Flat amount. Three year average. |
| Number of public circulating libraries with LLSAP annual fee as 3% or greater of library's total annual operating budget | 30% of total allocation, distributed according to total per LLSAP. If OCLC fees are not included in LLSAP membership, include them in the calculation for this item. Three year average. |
| Number of nonpublic circulating libraries with collection budgets under $10,000 | 30% of total allocation, distributed according to total per LLSAP. Three year average. |
| **Key Value:** Resource sharing activities | |
| Total annual interlibrary loan and reciprocal borrowing transactions | 30% of total allocation, distributed per LLSAP. Three year average. |
| **Key Value:** Bibliographic quality | |
| Cataloging standards are documented and reviewed at least annually | 2.5% of total allocation, divided by number of LLSAPs qualifying for the allocation. Per LLSAP: Y=funds allocated, N=funds not allocated. |
| Centralized cataloging services offered (staff FTE) | 2.5% of total allocation, divided by total FTE across LLSAPs. Distribute according to cataloging staff FTE per LLSAP. |
| **Key Value:** User-centered services are prioritized | |
| Steps have been taken to analyze and/or improve the user experience of the web catalog, including usability studies, member workgroup devoted to UX, etc. | 2.5% of total allocation, divided by number of LLSAPs qualifying for the allocation. Per LLSAP: Y=funds allocated, N=funds not allocated. |
| Steps have been taken toward reducing or simplifying, in general:<br>• Circulation policies<br>• Holds policies<br>• Item types | 2.5% of total allocation, divided by number of LLSAPs qualifying for the allocation. Per LLSAP: Y=funds allocated, N=funds not allocated. |

## Consortium Data

RAILS' fiscal year is defined as July 1–June 30. Provide data for this period when possible, or use your consortium's fiscal year period. We will use data provided previously to calculate three-year averages for the formula where specified.

### Member Data

In addition to completing the information below, please use the provided spreadsheet template to supply the following information for each member library agency:

- Library name
- Library type (public, school, academic, special)
- Membership level, if relevant
- Annual membership fees per member library agency
- For nonpublic libraries only: annual collection budget

## New Members

We will include libraries joining your consortium during FY2020 in our support calculations. If this is the case, please supply:

- Document(s) demonstrating that their membership in your consortium is confirmed, and that they will go live during FY2020 (such as a signed intergovernmental agreement, vendor work order, etc.)
- Interlibrary loan and reciprocal borrowing transactions for FY2017, FY2018, and FY2019
- Collection budgets for academic, school, and special libraries for FY2017, FY2018, and FY2019
- FY2020 consortium membership fees

## Definitions

### Interlibrary Loan

Checkouts resulting from the process by which a library requests material from, or supplies material to, another library, whether inside or outside the consortium. With interlibrary loan, materials move between libraries.

### Reciprocal Borrowing

Checkouts resulting from the right of a person who holds a valid, in-good-standing library registration card from a full member public library to borrow materials on site from other library system full member public libraries, whether inside or outside the consortium. With reciprocal borrowing, patrons move between libraries

### Union List

A library that contributes its holdings to the database for resource sharing activities only. Patrons of the library are not included as part of the shared patron database, and the ILS is not used for circulation activities.

## OCLC

Do your annual membership fees include OCLC membership?          YES          NO

## FY2020 Membership Totals

**Do not include Union List members**

| Public | |
|---|---|
| School | |
| Academic | |
| Special | |
| **Total** | |

## FY2019 Resource Sharing Activities

| Interlibrary Loan Transactions | |
|---|---|
| Reciprocal Borrowing Transactions | |
| **Total Resource Sharing** | |

## Bibliographic Quality

Cataloging standards are documented and reviewed at least annually.          YES          NO
Please detail:

Centralized cataloging services are offered by consortium staff. Staff FTE dedicated to cataloging:

## User-centered services are prioritized

Steps have been taken to analyze and/or improve the user experience of the web catalog,
including usability studies, member workgroup devoted to UX, etc.          YES          NO
Please detail:

Steps have been taken toward reducing or simplifying, in general: circulation policies, holds
policies, item types, etc.          YES          NO
Please detail:

# Services from RAILS

## Core Services
All LLSAPs receive the following services from RAILS.

*Meeting Rooms*

1. RAILS shall provide use of meeting rooms at RAILS facilities to LLSAP, subject to availability and the general guidelines posted at [https://www.railslibraries.info/about/room-guidelines](https://www.railslibraries.info/about/room-guidelines). Access for advance scheduling will be provided via L2.

*Communication and Collaboration*

1. Coordination of opportunities for communication and collaboration among LLSAPs

2. Conference calling account

*Grants for New Members*

1. When funds are available, and subject to the application and award decision process, prospective new LLSAP members are eligible to apply for grant funding from RAILS covering the startup costs of membership. Funds are generally awarded directly to libraries, but in the case of a group migration, funding may be applied for by and awarded to the LLSAP.

## Optional Services
Please use the checkboxes to indicate any optional RAILS services your consortium would like to receive. Use of services is not required.

*Delivery Services to LLSAP Facility*

1. RAILS can provide delivery service five days per week to LLSAP headquarters if not located in a RAILS member library, within an approximately two-hour window to be determined by RAILS. LLSAP must provide access for delivery staff, including a key and alarm code access, etc., if delivery times are outside of LLSAP's normal business hours.

*Financial Services*

1. RAILS can provide accounting services (billing, accounts payable, accounts receivable, reports, and financial statements) following the RAILS chart of accounts. The accounting services include, but are not limited to, the following:

   a. Billing LLSAP member libraries for fees, purchases, credits, and services provided by LLSAP to its member libraries.
   b. Financial reconciliations and the provision of financial information for insurance renewals or other business purposes.

c. Audit support; providing the chosen auditor with requested documents and reports. Review of financial statements and any auditor proposed adjustments.
d. Supply information and assistance as needed for preparation of LLSAP draft and final budgets.
e. Provide banking assistance to include lock box establishment and administration.

## Legacy Services

The services below are not available as new services. Some consortia will continue to receive these services in accordance with pre-existing agreements with RAILS and guided by their Financial Sustainability Plan. If your consortium currently receives any of these services, please select the services you wish to continue receiving from RAILS in FY2021. Use the space below to describe any plans you may have to transition these activities away from RAILS operations and provide them independently. Unless noted otherwise, selected services will continue in FY2021 as currently provided.

*Datacenter Services*

*Help Desk Ticket System Services*

*ILS Phone Notification Dialer Co-location*

*Use of RAILS facilities for consortium staff*

*Consortium staffed by RAILS employees, including the use of RAILS vehicles*

*Website* (Includes limited ongoing development, hosting, and updates of the LLSAP member library support website, with 15 hours basic support plus 20 hours additional support for special projects. FY2021 is the final year this service will be offered, and RAILS will work with you on the transition during the year.)

## Agreement to LLSAP requirements

Use the checkbox to indicate your agreement to the LLSAP requirements. These requirements will be included in the RAILS LLSAP support grant agreement.

1. Work with RAILS and other LLSAPs to:
   a. Ensure the ability of all LLSAPs to meet the needs of their members.
   b. Increase the prevalence of automation and the use of shared bibliographic catalogs by RAILS members by actively participating in marketing and other efforts.
   c. Develop services that will further resource sharing throughout RAILS by providing staff, technical expertise, and assistance when needed and working toward standardization whenever possible.
   d. Develop streamlined, cost-effective procedures and services.
2. Provide feedback on and participate in LLSAP strategic and long-range planning with RAILS.
3. Provide feedback on RAILS decision making on issues that affect the LLSAPs.
4. Promote RAILS events and communications.
5. Comply with all RAILS and Illinois State Library reporting requirements resulting from its designation as a Local Library System Automation Program, such as semiannual grant reports and information for the Illinois State Library annual system report (included as an appendix to this document for reference).
6. Actively participate in collaborative projects among consortia and/or with RAILS.
7. Be willing to cooperate in providing technical support that enables member library participation in eRead Illinois, Find More Illinois, Explore More Illinois, and/or other RAILS projects and group purchases that require ILS interoperability.
8. Be open to new members, and work to keep membership affordable.
9. Support members whose primary service point is within the RAILS service area (Although non-RAILS members may belong to an LLSAP, they will not be included in allocation of RAILS support).
10. Govern itself in accordance with its bylaws.
11. Develop service policies and provide operational guidance.
12. Arrange and pay for the annual audit of funds held in LLSAP's bank accounts.
13. Arrange and pay for insurance for LLSAP-owned property and digital records, and for LLSAP officers.
14. Pay for ILS and related third-party vendor costs, including but not limited to maintenance, hardware, software, subscriptions, and ILS consulting.
15. Work toward expanding access to digital content, including, but not limited to ebooks, while working within licensing and other relevant technical limitations.

## Authorized Signatures

### Primary contact

Name          _____

Title         _____

Signature     _____

Date          _____

### Other contact (if applicable)

Name          _____

Title         _____

Signature     _____

Date          _____

## RAILS LLSAP FY2020 Support Allocation

| | | | | | |
|---|---|---|---|---|---|
| **Support amount distributed through formula** | | **$500,000** | | *Totals* | |
| **Flat per-agency amount** | | **$1,750,000** | | 368.0 | $1,750,000.00 |
| | **Total LLSAP Support** | **$2,250,000** | | | |

### Support Allocation Formula

| Category | Component | % Weighting | Total | | |
|---|---|---|---|---|---|
| Resource sharing | ILL and reciprocal borrowing transactions | 30.00% | $150,000.00 | 8,875,610 | $150,000.00 |
| *Category Total* | | *30.00%* | | | |
| Equity | Number of nonpublic circulating libraries with collection budgets under $10,000 | 30.00% | $150,000.00 | 48.0 | $150,000.00 |
| Equity | Number of public circulating libraries with LLSAP annual fee as 3% or greater of library's (agency) total annual operating budget | 30.00% | $150,000.00 | 81.0 | $150,000.00 |
| *Category Total* | | *60.00%* | | | |
| Bib quality | Cataloging standards implemented (y/n) | 2.50% | $12,500.00 | 5.0 | $12,500.00 |
| Bib quality | Centralized cataloging services (staff FTE) | 2.50% | $12,500.00 | 12.50 | $12,500.00 |
| *Category Total* | | *5.00%* | | | |
| User centered | UX improvements (y/n) | 2.50% | $12,500.00 | 5.00 | $12,500.00 |
| User centered | Policy simplification (y/n) | 2.50% | $12,500.00 | 5.00 | $12,500.00 |
| *Category Total* | | *5.00%* | | | |
| | **Totals** | **100.00%** | **$500,000.00** | | **$2,250,000.00** |

### Support Allocations Per LLSAP

| Component | CCS | | Pinnacle | | PrairieCat | |
|---|---|---|---|---|---|---|
| Per-agency flat amount | 24.33 | $115,702.87 | 6 | $28,533.38 | 92.33 | $439,081.23 |
| ILL and RB transactions | 2,172,111 | $36,709.21 | 708,968 | $11,981.73 | 1,538,819 | $26,006.42 |
| Nonpublic circ members <$10k collection budget | 0 | $0.00 | 0 | $0.00 | 5 | $15,625.00 |
| Public circ members annual fee > or = 3% (publics) | 4 | $7,407.41 | 3 | $5,555.56 | 37 | $68,518.52 |
| | | | | | | |
| Cataloging standards (y/n) | 1 | $2,500.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| Centralized cataloging (staff FTE) | 0 | $0.00 | 0 | $0.00 | 3 | $3,000.00 |
| UX (y/n) | 1 | $2,500.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| Policy simplification (y/n) | 1 | $2,500.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| *Allocation* | **7.44%** | **$167,319.49** | **2.38%** | **$53,570.67** | **24.88%** | **$559,731.16** |

| Component | RRLC | | RSA | | SWAN | |
|---|---|---|---|---|---|---|
| Per-agency flat amount | 8 | $38,044.51 | 146.33 | $695,881.68 | 91 | $432,756.32 |
| ILL and RB transactions | 13,633 | $230.40 | 1,491,147 | $25,200.75 | 2,950,932 | $49,871.48 |
| Nonpublic circ members <$10k collection budget | 4 | $12,500.00 | 38 | $118,750.00 | 1 | $3,125.00 |
| Public circ members annual fee > or = 3% (publics) | 0 | $0.00 | 23 | $42,592.59 | 14 | $25,925.93 |
| | | | | | | |
| Cataloging standards (y/n) | 0 | $0.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| Centralized cataloging (staff FTE) | 0 | $0.00 | 4 | $4,000.00 | 5.5 | $5,500.00 |
| UX (y/n) | 0 | $0.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| Policy simplification (y/n) | 0 | $0.00 | 1 | $2,500.00 | 1 | $2,500.00 |
| *Allocation* | **2.26%** | **$50,774.91** | **39.73%** | **$893,925.03** | **23.32%** | **$524,678.73** |