

**Illinois Department of
Financial and Professional Regulation**

Policy and Procedure Manual

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INTRODUCTION

This Policy and Procedure Manual (the “Manual”) provides Illinois Department of Financial and Professional Regulation (“IDFPR” or “Department”) employees with general guidance regarding current Department rules and operating procedures. We hope it will serve as a useful resource during your employment with IDFPR.

The Manual is subject to the Illinois Personnel Code, the Personnel Rules (the “Personnel Rules”) promulgated by the Department of Central Management Services (“CMS”), the State of Illinois Code of Personal Conduct, and the terms of any applicable collective bargaining agreement (each such agreement referred to herein as a “CBA”), including supplemental agreements, all as modified from time to time. To the extent a policy or procedure described herein conflicts with any provision of the Personnel Code, the Personnel Rules, the State of Illinois Code of Personal Conduct, or a CBA (collectively referred to as “Applicable Law and Agreements”), each of which is incorporated herein, such Applicable Law and Agreements shall control. Each employee must read and understand the Manual and the Applicable Law and Agreements, or seek assistance from a supervisor to facilitate such an understanding.

The provisions of this Manual supersede any and all earlier handbooks, manuals, directives, statements and representations, whether written or oral, created, distributed, or made by IDFPR and any legacy agencies. All operational specific manuals issued within a unit of IDFPR remain in effect, except to the extent that there is a conflict with the Manual in which case the Manual controls. No statement set forth in this Manual, or in any IDFPR policy, practice, or representation, is to be construed as an offer capable of acceptance or as an express or implied contract.

The Department encourages all employees to talk openly with their supervisors about the content of this Manual, any ideas they may have to improve IDFPR, problems that may inhibit efficient or professional operations and service delivery, and any questions they may have about the responsibilities or work product of IDFPR employees.

The Basic Principles of IDFPR Employment

All IDFPR employees are expected to uphold these basic principles in the course of their employment at IDFPR. Failure to uphold these principles may result in discipline, up to and including discharge.

- To always act in the best interests of the people of the State of Illinois;
- To foster a spirit of cooperation and teamwork in dealings with colleagues, other state agencies, and other governmental entities;
- To treat licensees and applicants with respect and courtesy;
- To celebrate a diverse workforce and multicultural population; and
- To promote harmony in the workplace.

Resignation

An employee wishing to resign his or her employment must notify his or her supervisor and the Shared Services Center in writing. IDFPR requests that employees give at least two weeks notice of resignation. Resigning employees must return all State property in their possession in accordance with the provisions of this Manual.

Time Away From Work

Information regarding IDFPR timekeeping and leave policy, including vacation time, sick and Family and Medical Leave Act leave is provided in the orientation materials upon commencement of employment.

For planned leave, an employee should submit a time use authorization form two weeks prior to such leave, if possible. For unplanned leave, an employee must submit a time use authorization form by the end of the first day back at work. The employee will submit the time use authorization form to his or her supervisor who will provide the form to the appropriate timekeeper.

In the event of an employee's unauthorized absence, his or her supervisor will complete a time use authorization form indicating the unauthorized absence and submit the form to the employee's timekeeper.

Travel

All individuals traveling on behalf of IDFPR shall adhere to the rules in the *Travel Guide for State of Illinois Employees* prepared by the Governor's Travel Control Board. The Travel Guide is accessible via the "Employee Services" section of the CMS website: www.cms.il.gov.

Vehicles

Drivers of any vehicle, while conducting state business, whether privately owned, state owned, or leased, must have a valid driver's license. Citations for moving or parking violations are the responsibility of the driver. Any tickets received due to mechanical defects when driving a state vehicle are the responsibility of IDFPR.

All drivers of any vehicle, while conducting state business, are responsible for complying with the Central Management Services State Vehicle Rules ("CMS Vehicle Rules"), 44 IAC 5040.100 - 5040.700. CMS Vehicle Rules supersede all policies or procedures contained herein.

Use of Personal Vehicles

With the proper, written approval of an employee's Division Director or his/her designee, an employee may use a personal vehicle while conducting state business when a state owned vehicle is not available or when it is in the best interest of the State. Any employee who fails to obtain proper, written approval to use a personal vehicle will not be reimbursed for mileage.

When using a personal vehicle while conducting state business, the vehicle must be insured for the appropriate amount of auto liability insurance in accordance with Illinois statutes.

Any compensation to an employee for use of a personal vehicle while conducting state business shall be in accordance with the state travel regulations established by the Travel Control Board.

Authorized Use of State Vehicles

State vehicles are to be used for conducting state business only. Operating a state vehicle for anything other than IDFPR business may be grounds for disciplinary action, including dismissal. A state driver is not covered by liability insurance when engaging in unauthorized use of a state vehicle. Persons authorized to use state vehicles are responsible for their safe operation and must comply with all traffic laws. Vehicle operators are also responsible for complying with all CMS Vehicle Rules. A State Vehicle Quick Reference List is posted inside all state vehicles and is also available on the intranet at <http://dprnet/>.

State vehicles are provided for use only while conducting state business. Because the employee is driving a vehicle that is the property of the State of Illinois, there is no expectation of privacy in the vehicle or its contents. Any state vehicle is subject to search without consent or notice at any time by appropriate personnel of the State of Illinois or law enforcement.

Accident Reporting

The driver of a state vehicle that is involved in an accident of any type must immediately report the accident to the appropriate law enforcement agency. The driver must also report the accident to the IDFPR Vehicle Coordinator and the driver's immediate supervisor within 24 hours (or one business day) of the occurrence of the accident. The driver must complete, sign, and submit an SR-1 Illinois Motorist Report Form (Accident Report) to the Vehicle Coordinator within two business days of the accident. See the CMS Vehicle Rules for details of additional reporting requirements when damages have occurred.

The driver of a privately owned vehicle that is involved in an accident while conducting state business should immediately report the accident to the appropriate law enforcement agency. An SR-1 Form must be completed and submitted to the Vehicle Coordinator. The SR-1 Form must be completed using the driver's personal insurance information with a notation that the vehicle is privately owned. The driver should also contact his or her private auto insurance company.

Work Hours

The regular working hours of IDFPR are from 8:30 a.m. until 5:00 p.m. Monday through Friday. An employee may work a schedule that includes hours other than as set forth above only with prior supervisory approval.

An employee is expected to arrive at work at the designated starting time and to leave the facility at the designated quitting time. An employee is also expected to remain at the work site throughout the shift, except during authorized rest periods or lunch breaks. Tardiness, taking extended rest