

**AGENDA
CITY OF ST. CHARLES
GOVERNMENT OPERATIONS COMMITTEE
ALD. BILL TURNER, CHAIR**

**MONDAY, FEBRUARY 2, 2015
IMMEDIATELY FOLLOWING CITY COUNCIL MEETING
CITY COUNCIL CHAMBERS
2 E. MAIN ST.**

- 1. Call to Order**
- 2. Roll Call**
- 3. Omnibus Vote**
None.
- 4. Finance Department**
 - a. A recommendation to approve a proposal with Sikich LLP to perform the City's Financial Statement Audits for Fiscal Years 2015 through 2017.
- 5. Fire Department**
 - a. Recommendation to approve an Ordinance Amending Title 2, Chapter 2.24 "Board of Fire and Police Commissioners," Section 2.24.040 "Powers and Duties," and Section 2.24.060 "Rules and Regulations" of the St. Charles Municipal Code.
- 6. Executive Session**
 - Personnel
 - Pending Litigation
 - Probable or Imminent Litigation
 - Property Acquisition
 - Collective Bargaining
 - Review of Minutes of Executive Sessions
- 7. Additional Items from Mayor, Council, Staff, or Citizens.**
- 8. Adjournment**



ST. CHARLES
SINCE 1834

AGENDA ITEM EXECUTIVE SUMMARY

Title:	A Recommendation to Approve a Proposal with Sikich LLP to Perform the City's Financial Statement Audits for Fiscal Years 2015 through 2017
Presenter:	Chris Minick, Finance Director

Please check appropriate box:

<input checked="" type="checkbox"/>	Government Operations (2/02/15)		Government Services
	Planning & Development		City Council
	Public Hearing		

Estimated Cost:	\$82,543	Budgeted:	YES	<input checked="" type="checkbox"/> NO	
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If NO, please explain how item will be funded:

Executive Summary:

State Statutes require an independent audit of the City's finances annually. Sikich LLP currently performs this service for the City. The contract is expiring, and we are seeking authorization to enter into a subsequent 3-year agreement with Sikich. The fee for fiscal year 2015 is frozen at the same level as the 2014 fee. The City has requested separate reports for the Police and Fire Pension Funds of the City. There would be an additional \$3,200 charge (each - \$6,400 total) for the preparation of these reports. However, they are not required and we could opt not to implement these additional reports keeping our costs the same as in Fiscal Year 2014. Fee increases for the remaining two years are approximately 2.5% except as described below.

The City will have extensive and stringent additional audit and reporting requirements with the implementation of Governmental Accounting Standards Board (GASB) statements number 67 and 68. The fee for the FY 2016 audit reflects a one-time charge of \$4,800 for testing of the additional historical data and reporting setup that will be required under the new audit standards. Once that data has been tested and the report formats created, the auditors can rely on it for subsequent years' audits and the charge is reversed for FY 2017. Additionally, testing of Federal Financial Assistance programs is narrowing in scope beginning in FY 2016 and the fee proposed reflects an \$874 reduction in such testing beginning in FY 2016 and continuing proportionally thereafter.

The 2017 total fee of \$85,819 represents an increase of 4% in total fees for the 4-year period from FY 2014 through FY 2017.

Sikich is an industry leader in governmental accounting, finance and consulting and staff has been extremely satisfied with the service received from Sikich and recommends approval of the proposal.

Attachments: *(please list)*

Proposal from Sikich

Recommendation / Suggested Action *(briefly explain):*

A recommendation to approve a proposal with Sikich LLP to perform the City's Financial Statement Audits for Fiscal Years 2015 through 2017.

<i>For office use only:</i>	<i>Agenda Item Number: 4a</i>
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CITY OF ST. CHARLES, ILLINOIS

**PROPOSAL TO PROVIDE
PROFESSIONAL AUDITING SERVICES**

**For the Fiscal Years Ending
April 30, 2015 through April 30, 2017**



1415 W. Diehl Rd., Suite 400
Naperville, IL 60563
(630) 566-8400
www.sikich.com
January 21, 2015

Contact(s): Frederick G. Lantz, CPA and Timothy J. Gavin, CPA

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January 21, 2015

Mr. Christopher A. Minick
Finance Director
City of St. Charles
Two East Main Street
St. Charles, Illinois 60174-1984

Dear Mr. Minick,

Sikich LLP is pleased to be considered for the appointment as independent auditors for the City of St. Charles, Illinois (the City). We believe that our qualifications, experience and expertise are clearly distinguishable as indicated in our proposal on the following pages and as noted by the following:

- > The quality of our professional staff, as noted by their advanced degrees and their active participation in numerous civic and professional organizations.
- > The expertise that we possess in the state and local government industry, as demonstrated by:
 - > Our clients' success in obtaining the coveted Certificate of Achievement for Excellence in Financial Reporting;
 - > Our staff's presentations at conferences, seminars and training courses for various state and local government organizations;
 - > Our leadership roles in the state CPA Society and the Illinois Government Finance Officers Association on implementing complex new pronouncements; and
 - > The fact that we provide professional services to fifteen of the thirty-one AAA rated municipalities in the State of Illinois;
- > The benefits our clients receive from the audit planning and significant preliminary work we perform so that audit issues may be identified early and resolved on a timely basis.
- > The depth of our audit procedures, as depicted in our specific audit approach and as noted by our government clients.
- > The quality and timeliness of the information that we can provide to the City.
- > The experience we have providing professional services to more than 450 units of local government in Illinois annually; which assists us in identifying best practices in the industry that we share with our clients (more than twenty percent of our practice is devoted to serving local governmental entities).

Over the next two to three years, the City will be challenged with the implementation of some of the most complex pronouncements issued to date by the Governmental Accounting Standards Board (GASB). In 2015, GASB Statement No. 67, *Financial Reporting for Pension Plans—an amendment of GASB Statement No. 25*, will affect the accounting and financial reporting for the City's two pension funds and possibly the City as well. In 2016, GASB Statement No. 68, *Accounting and Financial Reporting for Pensions—an amendment of GASB Statement No. 27*, will affect the financial reporting for the City's participation in IMRF as well as the police and fire pension plans in the City's comprehensive annual financial report and likely in 2017, the City will be faced with changes to the accounting and financial reporting for other postemployment benefits (OPEB). We have led the industry over the last few years in developing these standards by participation on the GASB's Pension Task Force. In addition, we have led the industry in understanding and educating government officials on the requirements of these complex pronouncements. Finally, we have assisted two governments in becoming the first pension plans and governments in the country to early implement these pronouncements. Our proven expertise with these complex pronouncements will enable the City to understand its options and to efficiently and effectively implement the new standards.

Our firm's expertise will not only enable the City to continue to apply for and receive the coveted Certificate of Achievement for Excellence in Financial Reporting but also to correctly and cost effectively implement new statements and interpretations issued by the Governmental Accounting Standards Board. We believe this proposal demonstrates our capabilities to serve not only as independent auditors, but also as valued advisors and consultants to the City, the Mayor, the City Council and Management.

Our audit team is tailored to each client's specific needs drawing staff from our state and local government team. We emphasize:

- > Consistency and quality of staffing in multi-year engagements, including assigning staff from our state and local government team who focus on providing services to the local government industry year round and assigning staff who are familiar with the Lawson ERP software used by the City;
- > A high degree of efficiency using the latest paperless audit technology available (including the use of IDEA data extraction and analysis software);
- > The identification of opportunities for improved financial or procedural performance; and
- > A focus on areas that present the greatest audit risk.

We are prepared to commit the resources necessary to provide services of the highest quality to the City of St. Charles. We will not only perform the audit, but we will also provide governmental accounting and financial reporting expertise and technical assistance throughout the year. We understand the scope of work to be performed and the timing requirements and are committed to performing the specified services within the stipulated timeframe.

We appreciate the opportunity to present this proposal, which is a firm and irrevocable offer for sixty (60) days, and look forward to the possibility of serving the City.

Sincerely,
Sikich LLP



Frederick G. Lantz, CPA
Partner-in-Charge, Government Services

Sincerely,
Sikich LLP



Timothy J. Gavin, CPA
Manager, Government Services

TECHNICAL PROPOSAL

FIRM QUALIFICATIONS AND TECHNICAL EXPERIENCE

Experience

The Firm of Sikich LLP traces its foundation to a predecessor firm founded in 1928. Today we are one of the fastest growing regional firms in the Midwest with five offices in Illinois located in Chicago, Decatur, Naperville, Rockford and Springfield and offices in Brookfield, WI; Indianapolis, Indiana; St. Louis, Missouri; Greenwood City, Colorado; and Houston, TX. *Crain's Chicago Business 2013 Book of Lists* ranks Sikich as Chicago's 11th largest Accounting Firm and *Accounting Today Top 100 Firms 2014* ranks Sikich 34th nationally. In addition, we have been recognized as one of the Best Places to Work in Illinois (2013).

Historical Timeline



Through these offices, we provide a wide spectrum of services including audit, tax, accounting, and management consulting. In addition, through various other service areas of Sikich, we provide information technology products and services, investment banking, human resources consulting, employee benefit plan services, marketing and public relations, retirement plan services, and wealth management.

Client service needs are met promptly and professionally by our unique team philosophy, which allows each client to work with a team of specialists that focus on providing these services to a specific industry. Government and non-profit organizations, manufacturing and distribution, construction, and professional service firms are some of the more significant industries served by these teams.

Qualifications and Technical Expertise

Sikich has an established reputation as one of the leading providers of professional services in the Midwest to governmental entities. Our team of professionals specializes in the management, operations, and financing of general purpose state and local governments, park districts, intergovernmental organizations, and special districts. This focus and our exemplary reputation assure the City the highest quality work and the most cost effective delivery of services. Sikich's state and local government team provides services to more than 450 counties, cities, villages, towns and other Illinois governments, including the second, fifth and eighth largest cities and the second and third largest park districts. Many of these have been long-standing clients and are evidence of our dedication to the state and local government industry and our ability to provide high quality, timely services within this specialized industry. These clients and related work have enabled our firm to develop an extensive nationally recognized expertise in governmental accounting, auditing and financial reporting procedures and practices.

Senior members of our government services team presently hold memberships and are actively involved in numerous governmental organizations, including:

- > Government Finance Officers Association of the United States and Canada (GFOA)
- > Illinois Government Finance Officers Association (IGFOA)
- > Government Finance Officers Association of Missouri (GFOA-MO)
- > Wisconsin Government Finance Officers Association (WGFOA)
- > International City/County Manager's Association (ICMA)
- > Illinois City/County Management Association (ILCMA)
- > Illinois Municipal Treasurers Association (IMTA)
- > Illinois Association of County Board Members and Commissioners (IACBMC)
- > Illinois County Treasurers' Association (ICTA)
- > Illinois Association of Park Districts (IAPD)
- > Illinois Association of School Business Officials (IASBO)
- > Illinois Parks and Recreation Association (IPRA)
- > Illinois Tax Increment Association (ITIA)
- > Illinois Association of Fire Protection Districts (IAFPD)
- > Illinois Library Association (ILA)
- > American Institute of Certified Public Accountants (AICPA)
- > Illinois CPA Society (ICPAS)
- > AICPA Government Audit Quality Center
- > GFOA Special Review Committee (SRC)
- > IGFOA Technical Accounting Review Committee
- > ICPAS Governmental Report Review Committees
- > National Association of College and University Business Officers (NACUBO)
- > Central Association of College and University Business Officers (CACUBO)

Moreover, members of the Sikich government services team have served as expert speakers to these organizations, state GFOAs and others for formal presentations at local meetings and annual conferences on a variety of governmental accounting, auditing and financial reporting topics. Finally, we have also developed governmental accounting, auditing and financial reporting training courses for various organizations with members of our firm serving as lead instructors for the courses.

The Illinois Government Finance Officers Association annually sponsors Basic, Intermediate and Advanced Governmental Accounting and Financial Reporting seminars that are developed and instructed by Sikich staff members. Moreover, our staff assisted IGFOA in developing responses to due process documents and in testifying before the Governmental Accounting Standards Board (GASB). In addition, we provide complimentary training seminars for our clients on a variety of accounting, financial reporting, and technology topics.

Quality Control

At Sikich, we are committed to providing the highest quality audits in the industry. The City can be assured of receiving the highest level of quality and ethical professional services. Quality control is so important to us that our firm has been a member of the Private Companies Practice Section (PCPS) of the Division for CPA Firms of the AICPA since our formation in 1982. As such, we have voluntarily submitted our audit and accounting practice to quality control reviews of our compliance with professional standards as established by the AICPA and, more recently, by the United States Government Accountability Office (GAO), for more than thirty years. In 2014, we received our ninth consecutive peer review unmodified (“pass”) report. This is the highest level of recognition conferred upon a public accounting firm for its quality control systems. Also, we go beyond the external reviews and maintain strong internal reviews of procedures and processes with oversight by our Quality Assurance Committee and our Partner-in-Charge of Quality Assurance. Please refer to the Exhibits section for a copy of our most recent peer review which included a review of specific government engagements since this accounts for a significant segment of our practice.

In addition, our state and local government reports have been reviewed by numerous federal and state oversight bodies and professional organizations. These reports have been judged to meet and, in most instances, exceed industry standards and requirements. Sikich is a member of the AICPA’s Governmental Audit Quality Center (GAQC), which is a firm-based voluntary membership center designed to promote the importance of quality governmental audits and the value of these audits to purchasers of government audit services. As a member of the GAQC, Sikich has access to key information and comprehensive resources that we use to help ensure our compliance with appropriate professional standards and laws and regulations that affect our audits. Through our membership in the GAQC, we also adhere to membership requirements designed to enhance the quality of our audit practice.

STATEMENT OF INDEPENDENCE

Sikich has evaluated its independence from the City of St. Charles in accordance with generally accepted auditing standards, the Governmental Auditing Standards, 2011 revision, published by the U.S. Government Accountability Office, and the AICPA Code of Professional Conduct. Based upon our evaluation, Sikich is free of any personal and external impairment with respect to the City of St. Charles, and is independent with respect to any non-attest services provided to the City of St. Charles, both in fact and in appearance to any knowledgeable third party.

LICENSE TO PRACTICE IN ILLINOIS

The Firm of Sikich LLP is a licensed Public Accountant Limited Liability Partnership in Illinois (license #66003284). All of the partners and managers assigned to the engagement are registered and licensed Certified Public Accountants (CPAs) in Illinois. In addition, all of the professional staff assigned to the engagement are full-time staff and are either registered Certified Public Accountants or are completing the exam.

PARTNER, SUPERVISORY AND STAFF QUALIFICATIONS AND EXPERIENCE

Sikich currently has 90 partners and more than 500 professional staff. Eight of these partners and more than fifty professional staff are devoted extensively to the Firm's local government services accounting team. We would staff the City of St. Charles engagement with professional staff from this industry team in our Naperville office. All work, including audit documentation and report reviews, will be conducted from this office. These staff all of whom meet or exceed the continuing professional education (CPE) requirements contained in the U.S. Government Accountability Office's, *Government Auditing Standards* (2011) would include:

Frederick G. Lantz, CPA - Engagement Partner



As engagement partner, Mr. Lantz will be responsible for the overall management of the audit. This includes developing and coordinating the overall audit plan, the in-depth review of all workpapers and the review of the City's comprehensive annual financial report (CAFR). Moreover, our firm's philosophy is to have the team leader on location during the completion of the majority of fieldwork. Therefore, Mr. Lantz will be present at the City's offices during both our preliminary and final fieldwork. Mr. Lantz has more than thirty-one years of experience in the state and local government industry and is a nationally recognized expert in the industry. Mr. Lantz, a licensed certified public accountant, is a graduate of Northern Illinois University with a degree in accounting.

Brian D. LeFevre, CPA, MBA - Resource Partner



The resource partner is responsible for providing overall technical support for the engagement as well as serving as a backup for the engagement partner. Mr. LeFevre has more than twenty-one years of experience auditing governmental entities including serving as partner for the audits of the Cities of Naperville and Batavia, the Villages of Carol Stream, East Dundee, Hawthorn Woods, Hinsdale, Lake in the Hills, Olympia Fields, Oswego, Western Springs and Wheeling and the Park Districts of Buffalo Grove, DeKalb, Oswegoland and Woodridge and the preparation of numerous reports for submission to GFOA's Certificate of Achievement Program. Mr. LeFevre, a licensed certified public accountant, is a graduate of Valparaiso University with a degree in Accounting and Northern Illinois University with a Masters in Business Administration.

James R. Savio, CPA, MAS - Quality Control Partner



The quality control partner will provide our second partner review of the audit work papers and the City's CAFR. Mr. Savio has nineteen years of experience auditing governmental entities, including serving as partner or manager for the audits of the Cities of Aurora, Naperville, Elgin, Countryside, Woodstock and Lockport and the Villages of Oak Brook, Bartlett, Skokie and Plainfield, including preparation of the first ever CAFR for the Cities of Aurora and Lockport that were awarded a Certificate of Achievement for Excellence in Financial Reporting on their first submission. Mr. Savio, a licensed certified public accountant, is a graduate of Northern Illinois University with an undergraduate degree in Accounting and a Masters degree in Accounting.

Timothy J. Gavin, CPA, MBA - Manager



As a manager, Mr. Gavin is responsible for the day-to-day execution of the audit programs and supervision of engagement staff. Mr. Gavin has over eight years of experience auditing governmental entities, including serving as supervisor for the audits of the Cities of Batavia and St. Charles, the Villages of Oak Brook, Oak Park, Hinsdale, Hanover Park, Lake in the Hills and Flossmoor, Forest Preserve District of Will County, Yorkville-Bristol Sanitary District and Fox Valley Park District, as well as the preparation of numerous reports for submission to GFOA's Certificate of Achievement Program. Mr. Gavin, a licensed certified public accountant, is a graduate of North Central College with an undergraduate degree in Accounting and holds an MBA from Northern Illinois University.

Anthony M. Cervini, CPA, MBA - Manager



As a manager, Mr. Cervini is responsible for the day-to-day execution of the audit programs and supervision of engagement staff. Mr. Cervini has more than eight years of experience auditing governmental entities, including serving as supervisor for the audits of DeKalb County, the Cities of Aurora, Oak Forest and Rochelle, the Villages of Lake Bluff, Lisle, Roselle, Shorewood and Wheeling, Lisle Park District and Waubensee Community College, as well as the preparation of numerous reports for submission to GFOA's Certificate of Achievement Program. Mr. Cervini, a licensed certified public accountant, is a graduate of The University of Iowa with an undergraduate degree in Accounting and Benedictine University with a Masters in Business Administration.

Additional Professional Staff

Other professional staff assigned to the engagement will be full-time employees of the Firm and have a minimum of one to three years of auditing experience. In addition, all professional staff assigned to government engagements meets and usually exceeds the CPE requirements contained in the U.S. Government Accountability Office, *Government Auditing Standards* (2011). Moreover, our government staff possesses a specific knowledge of local government accounting and reporting requirements and their application for Illinois governments. This is achieved by attending at least forty hours per year of a combination of external courses sponsored by the AICPA, ICPAS, GFOA and IGFOA as well as internal courses.

This enables our firm to staff our governmental engagements with qualified professionals in the industry, providing valuable services to our governmental clients during the audit and throughout the year. We can assure the City that our professional staff would not need any "on the job accounting or financial reporting training" by the City's staff. Moreover, we can assure the City of the quality of staffing for a multi-year engagement, even if a change in personnel is required, subject to the approval of the City.

SPECIFIC AUDIT APPROACH

Audit Standards

The objective of our audit is to issue an unmodified opinion on the City's governmental activities, business-type activities, each major fund and the aggregate remaining fund information that collectively comprise the City's basic financial statements. The audit will be conducted in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants, and, if necessary, generally accepted government auditing standards issued by the United States Government Accountability Office (GAO, 2011), the Single Audit Act of 1996 and OMB Circular A-133. Our firm will issue an opinion on the basic financial statements and will subject the combining and individual fund financial statements and schedules and any other supplementary information to the auditing procedures applied in our audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America and will provide an opinion on it in relation to the financial statements as a whole.

In addition, we will apply certain limited procedures to the Required Supplementary Information. These limited procedures will consist of inquiries of management regarding the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We will not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

We will not audit the statistical or introductory sections of the CAFR, and accordingly, will not express an opinion on the information contained in these sections.

Scope of Services

We are proposing to provide the following services to the City:

- > Audit of all funds of the City for the fiscal year ending April, 2015.
- > Preparation of forty (40) hard copies and one (1) electronic copy (.pdf) of the comprehensive annual financial report (report covers, dividers, introductory section, MD&A and certain statistical data to be provided by the City);
- > Preparation of fifteen (15) copies of the management letter for the City, communicating any material weaknesses and significant deficiencies found during the audit and our recommendations for improvement;
- > Preparation of fifteen (15) copies and one (1) electronic copy of the audit report on compliance with Public Act 85-1142 (TIF) for each TIF;
- > Preparation of fifteen (15) copies of the Single Audit Report, if applicable;
- > Preparation of ten (10) copies of the Compliance Audit as required by the 2008 Series Revenue Bond Ordinance/Trust Indenture by August 25, 2015.
- > Preparation of twenty (20) copies of the separately issued St. Charles Police Pension Fund Annual Financial Report;
- > Preparation of twenty (20) copies of the separately issued St. Charles Firefighters' Pension Fund Annual Financial Report;
- > Assistance in completing and filing the required application and supporting documents to apply for the Certificate of Achievement for Excellence in Financial Reporting;
- > Retain workpapers for seven (7) years in accordance with Firm standards;
- > Reporting to the City Council, Police Pension Board and Firefighters' Pension Board in accordance with Auditing Standards;
- > Exit conference(s) with City Officials to present the completed audit and related materials.

Audit Process and Schedule

Event	Timeframe	Person(s) Assigned
<p>I. Preliminary Planning During this phase of the audit, we would meet with representatives of the City to discuss the approach to be taken during the audit focusing on areas of particular concern to the City as well as areas of high audit risk, and develop the time schedule for completing the subsequent phases of the audit.</p>	<p>February 2015</p>	<p>The meeting would be attended by the engagement partner and engagement manager, if necessary.</p>
<p>II. Preliminary Fieldwork During this phase of the audit, we would develop an understanding and documentation of the City’s accounting and administrative controls using the City’s accounting procedures manual, EDP documentation and by interviewing staff of the City. In addition, we may perform compliance testing of those controls to determine which controls, if any, that we could rely on during later phases of the audit. Sample sizes would be determined during this phase, but generally would be between 25 and 60. Moreover, we would develop our planning materiality on an individual fund basis and complete a preliminary analytical review of the City’s financial position as a whole.</p> <p>In addition, we would review all minutes from the meetings of the City Council and the Pension Boards; review all ordinances adopted by the City during the year; review any debt agreements entered into during the year and analyze any other unique transactions entered into by the City; and perform our fraud interviews in accordance with Statement on Auditing Standards (SAS) No. 99. Upon completion of this phase, we would finalize all necessary confirmations the City will prepare; review all proposed client assisted work papers and the timing of preparation by the City; develop our audit programs for the next phase of the audit and review and document any changes to the City’s CAFR; and prepare the schedule for the remainder of the audit.</p>	<p>May 2015</p>	<p>This phase would be completed by the engagement partner, engagement manager and one or two professional staff.</p>

Event	Timeframe	Person(s) Assigned
<p>III. Fieldwork During this phase of the audit, we would complete all of our substantive testing of the account balances and prepare the draft of the City’s financial statements with a rough draft of the financial statements provided to the City at the conclusion of field work. We would also prepare the draft of the management report. In addition, an exit conference would be held with officials from the City to discuss the preliminary results of the fieldwork, review any proposed audit adjustments, final adjusted trial balances that agree to the financial statements and any significant findings.</p>	<p>July, August 2015</p>	<p>This phase would be completed by the engagement partner, engagement manager and one to two professional staff.</p>
<p>IV. Workpaper Review and Report Production During this phase of the audit, the workpapers, drafts of all financial reports and the management letter will be reviewed by the resource partner and the quality control partner. All workpapers are reviewed by the engagement partner during phase III to ensure that all necessary information is compiled during this phase to avoid imposing upon the City’s staff after fieldwork has been completed.</p>	<p>July, August 2015</p>	<p>This phase would be completed by the engagement partner, resource partner and the quality control partner.</p>
<p>V. Drafts to the City A preliminary draft of the CAFR will be provided by the City at the end of fieldwork. A revised draft will be delivered by the engagement partner and reviewed in-depth with representatives of the City within three weeks of the preliminary draft. A revised draft, if necessary, will be delivered to the City no later than three business days after receiving all proposed changes.</p>	<p>September 2015</p>	<p>This phase would be completed by the engagement partner.</p>
<p>VI. Completion of the Audit Upon approval of the drafts by the City, we will present the signed, bound copies of the comprehensive annual financial report, the management letter and the additional reports described in this proposal. The engagement partner will be available for meetings with representatives of the City including the City President, the Board of Trustees and management for formal presentations of the reports.</p>	<p>September 2015</p>	<p>This phase would be completed by the engagement partner.</p>

Event	Timeframe	Person(s) Assigned
<p>VII. Support to the City Our firm does not believe that the engagement ends with the exit conference. We stress that we are available throughout the year to provide technical accounting and financial reporting assistance and support to the City. In addition, we constantly monitor recent events in the state and local government industry, including new pronouncements that may impact our government clients, and communicate the effect of any proposed changes throughout the year. Moreover, our letter of recommendations each year will alert the City to any new pronouncements that may become effective in the next one to three years, including the potential effect that the pronouncement may have on the financial position and/or changes in the financial position of the City.</p>	<p>Continuous</p>	<p>This phase would be completed by the engagement partner.</p>

In future years, we would develop a similar plan and timeframe with the assistance of the City to ensure the timely identification and resolution of any critical accounting and auditing issues prior to the issuance of our opinion and the comprehensive annual financial report. These completion dates are well within the deadlines established by the City. We have a proven track record of meeting and exceeding deadlines established by our clients.

Identification of Potential Audit Problems

Our firm’s approach to resolving any problems that arise during the audit is the same as our overall approach to the audit, professionalism. Professionalism in performing the audit is the cornerstone to our philosophy during all phases of the audit. Any problems encountered during the audit, except for irregularities and illegal acts, will be discussed and documented with the Director of Finance. The timing of this discussion will provide the City with ample time to rectify any situations that may otherwise result in the issuance of a qualified audit opinion. Irregularities and illegal acts detected or of which we become aware of will be communicated in writing to the Mayor, the Treasurer or the appropriate level as defined in our professional standards.

Our firm’s philosophy on additional fees and/or billings is based on an understanding between the Firm and the client of the scope of the work to be performed. We have proposed a “not-to-exceed fee” for the audit, the scope and timing of which was specified by the City. The billings for the audit would not exceed this fee unless the City specifically requests that the scope of the engagement be expanded and the City and the Firm reach a mutual agreement, in writing, as to the expanded scope of the engagement and the fee, if any, for the expanded scope.

WHY SIKICH IS THE BEST CHOICE

According to the AICPA Government Audit Quality Center, taking the following factors in account collectively when selecting an independent auditor will contribute to receiving a quality audit:

- > Demonstration of the audit organization's qualifications in response to your request for proposal;
- > Experienced, qualified staff with appropriate technical abilities, particularly with Yellow Book and single audits if applicable to your audit engagement;
- > Extent of the audit organization's practice with organizations like yours (for example, governments or not-for-profits);
- > Results of the audit organization's external peer review; and
- > Participation by the audit organization in quality improvement programs (for example, membership in the AICPA Governmental Audit Quality Center).

Now that you have read our proposal, you can see how Sikich exceeds all of the above criteria and is the most cost/beneficial solution for you to engage to provide professional services to your government. In addition, we believe that the following additional services further sets us apart from other proposals you may receive.

GETTING THE MOST FROM YOUR AUDIT FIRM

Sikich goes beyond providing traditional accounting, auditing and tax services. While this proposal addresses the specifics of the audit engagement, Sikich offers the City of St. Charles additional value as part of our service. Beyond providing access to senior resources when issues arise, we commit to keeping you apprised of all matters affecting the City of St. Charles, such as new accounting pronouncements, employee benefit regulations, and other issues relevant to the government industry. We will keep you informed of these matters as they arise and take a proactive role to avoid last minute crises. We accomplish this goal by anticipating your needs based on our experience with you and your industry and using a variety of communication channels: timely responses to your questions; informal discussions; mailings on topics of interest to you; and relevant seminars, all of which are complimentary for our clients.

Recent Sikich seminar topics include:

- > Understanding GASB Statement No. 67, *Financial Reporting for Pension Plans— an amendment of GASB Statement No. 25*
- > Governmental Accounting and Financial Reporting Update
- > Government Financial Resiliency
- > Public Sector Strategic Planning
- > Performance Measurement

- > Payroll Reporting for Government Entities
- > Employee Handbook Workshop
- > Keeping the Keepers: A Guide to Employee Retention
- > Identity Dos & Don'ts: Agency Branding
- > Video: Web Applications
- > Virtualization

ADDITIONAL SIKICH RESOURCES

Sikich is a full service accounting firm with various service areas providing a wide array of business and financial services for our clients. These services include:

- > Accounting and reporting services
- > Audit and compliance services
- > Tax services
- > Employee benefit plan consulting and audits
- > ERP selection, implementation and support
- > IT infrastructure services
- > Human resources consulting and outsourcing
- > Local government management and operations consulting
- > Strategic planning and performance measurement
- > Marketing and public relations
- > Forensic and fraud investigation
- > Investment management services for individuals and pension plans
- > Police and fire pension fund accounting and financial reporting services

Through these service areas, management advisory services in various specialized areas are available should the need for such assistance arise. Our additional services engagements are directed by partners, principals and other professionals who have experience in management consulting and in the specific areas we are requested to review. Independence standards may preclude us from performing some additional services for the City and we would need to review the standards and the types of services with the City before proposing on any additional engagements.

Our governmental clients often require services in special areas such as:

- > Budget development
- > Trend monitoring and forecasting
- > Rate settings
- > Bond issuances and refundings
- > Escrow verifications
- > Cash management
- > Employee benefits
- > EDP applications
- > Accounting policies and procedures documents

- > Staff training
- > Temporary staffing
- > Insurance and risk management analysis
- > Personnel policy development and implementation

We have a proven track record of assisting our governmental clients in these as well as other specialized areas. Areas that may be of interest to the City of St. Charles are technology; human resource consulting and employee benefits services; and local government management services.

Technology

Agencies at every level of government are being asked to do more with less—and to provide detailed; timely information about how every public dollar is spent. Constituent service and accountability have become popular catch phrases, but enhancing services and ensuring fiscal responsibility can be extremely challenging. Sikich works closely with our government clients to provide integrated, flexible, and affordable solutions and tools that help government agencies reduce service and delivery costs, improve operating efficiency, and satisfy citizen demands. Cloud solutions, IT security services, network support, strategic planning and ERP software are just a few of the services Sikich provides to our government clients. The right technology solutions can transform government effectiveness, efficiency, and accountability by giving you greater access to financial information and tighter control over spending priorities. Sikich provides governmental entities access to the best in government-focused financial and technology solutions. As technology constantly changes, so does the opportunity for you to increase the efficiencies of your governmental operations and services. Sikich is dedicated to improving your technology infrastructure by balancing your needs and resources to implement the most-suitable, cost-effective solution.

Human Resources Consulting and Employee Benefits Services

Sikich helps clients meet the challenges of an ever-changing business environment, freeing them from the complexities of recruitment, employee retention, and compliance issues. Sikich partners with our clients to provide customized human resource services that meet their needs. Drawing from our experience in human resource management, Sikich's consulting staff is able to provide everything from a human resource compliance review to performance management to compensation reward systems. With Sikich's expertise and industry knowledge, we offer clients a winning combination of innovative human resource solutions. Of special interest may be Sikich's Human Resource Subscription Service. This service provides clients quarterly invitations to Sikich's HR update/trend webinars; access to a password protected section of our website; a monthly calendar of HR tools; flexible consulting hours that can be used as desired to help complete any of a variety of projects that HR departments typically face; and phone access to HR professionals.

Employee benefits continue to be one of the most important ways to attract and retain valued employees. Creating a plan that balances the goals of both the organization and the employees requires thorough analysis and review, as well as a great deal of time. No matter what the size of your organization, Sikich combines strategic planning, creative benefit design, and financial management to develop a unique package that will provide the best benefits at the lowest possible cost. Our services encompass total plan design, government and regulatory compliance, employee education, specialty compensation packages, cafeteria plans, and plan administration and auditing.

Marketing & Public Relations

Sikich has hands-on experience assisting state and local governments with the development and implementation of marketing strategy uniquely created for an organization's marketplace and needs. From eye-catching logos and print collateral to SEO-enhanced websites and videos, every marketing piece you have should work for its intended audience. Likewise, deliver the right stories to the right people at the right time with an integrated public relations strategy that amplifies your message and properly positions your organization in the marketplace. Achieve the brand recognition your organization deserves with the marketing and public relations experts at Sikich.

Performance-Based Strategic Planning

In an environment where there is increasing pressure for governments to be more efficient, effective, and transparent, strategic planning allows an organization to engage stakeholders, focus on its mission, and logically establish short and long-term goals. Our approach, performance-based strategic planning guides the organization toward its most productive activities and focuses on an institutionalized process. The strategic planning process is a true transition, where Sikich facilitates governments in:

- > Developing ideals about what they aspire to;
- > Transforming ideals into ideas to meet goals;
- > Converting ideas into specific, actionable items; and
- > Constructing performance measures.

We ensure the results of strategic planning meet client expectations by filtering goals, objectives and/or strategies with the organization's internal capacity and available resources. The process of performance-based strategic planning has proven to assist governments in fulfilling the ideals of their community and accomplishing goals through measurable, reportable actions.

Process Improvement

Processes truly define organizations, but are often forgotten when seeking root causes to problems or managing more efficient and effective services. Improvements to existing processes - ranging from development review to utility billing - have the potential to decrease cycle time, increase quality, and result in higher customer satisfaction. Sikich employs a customer-centric approach to process improvement by involving internal and external customers to understand and make meaningful improvements while continuing to meet their needs.

FEE PROPOSAL

PROPOSAL COST SUMMARY

The following fees for the services specified by the City and described in our *Proposal to Provide Professional Audit Services*, including all direct and indirect costs.

	April 30, 2015	April 30, 2016	April 30, 2017
CAFR and Management Letter	\$ 56,919	\$ 63,142*	\$ 59,921
OPTIONS			
Single Audit of Federal Financial Assistance	5,030	4,156	4,260
Preparation of Notes to Basic Financial Statements, Notes to RSI and Cash Flow Statements	3,176	3,255	3,337
TIF Compliance Report (each TIF District)	1,555	1,594	1,634
Police Pension Report	3,200	3,280	3,362
Fire Pension Report	3,200	3,280	3,362
Series 2008 Revenue Bond Compliance Audit	1,688	1,730	1,773

*Includes a \$4,800 additional fee for the implementation of GASB Statement No. 68.

These fees assume that the City will provide the auditors with electronic copies of adjusted trial balances by individual funds, a year-to-date general ledger with details of postings to all accounts, subsidiary ledgers that agree or are reconciled to the general ledger, and will prepare certain schedules of account analysis and confirmations of account balances.

We invoice our clients on a monthly basis as services are provided. In accordance with Illinois Compiled Statutes, payments for all services are due within sixty (60) days of receipt of an invoice. Invoices not paid within sixty days are assessed a finance charge of one (1) percent per month (12% annually).

EXHIBITS

Engagement Team Biographies

- > Frederick G. Lantz, CPA
- > Brian D. LeFevre, CPA, MBA
- > James R. Savio, CPA, MAS
- > Timothy J. Gavin, CPA
- > Anthony M. Cervini, CPA, MBA

Sikich Resources

State & Local Government Services

Firm Profile

Peer Review

Frederick G. Lantz, CPA*Partner-in-Charge, Government Services*

Frederick G. Lantz, CPA, is responsible for providing technical services to Sikich's clients in all areas of governmental accounting, auditing, financial reporting, budget development, revenue and expenditure forecasting, and cash and debt management. Prior to joining Sikich, Fred was the assistant director for the Technical Services Center of the Government Finance Officers Association of the United States and Canada (GFOA), where he was a nationally recognized expert in the state and local government industry. At GFOA, Fred was responsible for managing the Certificate of Achievement for Excellence in Financial Reporting Program, providing accounting, auditing and financial reporting assistance to state and local government officials and their auditors, and serving as a liaison to the Governmental Accounting Standards Board. Fred also developed courses and served as lead instructor for governmental accounting, auditing and financial reporting training courses. He is a nationally recognized speaker, having spoken at state GFOA and CPA Society meetings and conferences.



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Service Areas

Governmental Audit, Accounting
Governmental Financial Reporting

Affiliations

American Institute of Certified Public Accountants
2014-2015 State & Local Government Expert Panel
Illinois CPA Society
Government Finance Officers Association, Special Review Committee
GASB Pension Task Force
Illinois Government Finance Officers Association
2004-2006 Executive Board of Directors, Technical Accounting Review Committee
Wisconsin Government Finance Officers Association
National Association of College and University Business Officers
Central Association of College and University Business Officers
Illinois County Treasurers' Association
Illinois Tax Increment Association
Illinois Municipal Treasurers Association
Illinois City/County Management Association
International City/County Manager's Association

Education

Bachelor's Degree in Accounting, Northern Illinois University
Graduate of Advanced Government Finance Institute, University of Wisconsin at Madison

Brian D. LeFevre, CPA, MBA*Partner*

Brian D. LeFevre, CPA, MBA, is responsible for providing technical services to Sikich's governmental clients in all areas of governmental accounting, auditing, financial reporting, budget development, revenue and expenditure forecasting, and cash and debt management. Brian has participated in hundreds of audits of municipalities and other governmental units since he began his career with Sikich in 1993. He has also been responsible in developing and serving as lead instructor for governmental accounting, auditing and financial reporting training courses internally for the firm and for the Illinois Government Finance Officers Association (IGFOA). Brian serves as Chair of the Government Report Review Committee of the Illinois CPA Society.



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Service Areas

Governmental Audit, Accounting
Governmental Financial Reporting
Police and Fire Pension Accounting Services

Affiliations

American Institute of Certified Public Accountants
Illinois CPA Society
Chairman, Governmental Report Review Committee
Illinois Government Finance Officers Association
GFOA Special Review Committee
Illinois Association of Fire Protection Districts
Illinois Public Pension Fund Association
Aurora Downtown Kiwanis Club, Former Treasurer and Board Member
Greater Aurora Chamber of Commerce Leadership Academy, Class of 1996
Lord of Life Church, Former Executive Director and Treasurer

Education

Bachelor's Degree in Accounting, Valparaiso University
Master of Business Administration, Northern Illinois University

James R. Savio, CPA, MAS*Partner*

James R. Savio, CPA, MAS, is responsible for providing technical services to Sikich's governmental clients in all areas of governmental accounting, auditing, financial reporting, revenue and expenditure forecasting and cash and debt management. Jim has participated in hundreds of audits of municipalities and other governmental units since he began his career with Sikich in 1995. He has also been responsible in developing and serving as lead instructor for governmental accounting, auditing, financial reporting and cash management courses both internally and externally. Jim serves on the Illinois Government Finance Officers Association's Technical Accounting Review Committee and the Illinois CPA Society Governmental Executive Committee. Jim also serves as a committee member for Sikich's mentoring program and assists in the development and implementation of Sikich's new hire training program.



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Service Areas

Governmental Audit, Accounting
Governmental Financial Reporting

Affiliations

American Institute of Certified Public Accountants
Illinois CPA Society
 Governmental Executive Committee
Illinois Government Finance Officers Association
 Technical Accounting Review Committee
Community Foundation of the Fox River Valley Scholarship Program Committee
Greater Aurora Chamber of Commerce Leadership Academy, Class of 1998

Education

Master of Accounting Sciences, Northern Illinois University
Bachelor's Degree in Accounting, Northern Illinois University

Timothy J. Gavin, CPA, MBA

Manager

Timothy J. Gavin, CPA, is a manager at Sikich LLP. He has more than 8 years of experience providing audit and accounting services for a variety of municipalities, park districts and other special districts.

Service Areas

Governmental Audit, Accounting
Governmental Financial Reporting

Affiliations

Illinois CPA Society
Illinois Government Finance Officers Association
Greater Aurora Area Chamber of Commerce Leadership Academy,
Class of 2008

Education

Bachelor's Degree in Accounting, North Central College
Master of Business Administration, Northern Illinois University



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Anthony M. Cervini, CPA, MBA

Manager

Anthony M. Cervini, CPA, MBA, is a manager at Sikich LLP. Anthony provides audit and accounting services for a variety of municipalities, park districts, and other special districts.

Service Areas

Governmental Audit, Accounting
Governmental Financial Reporting

Affiliations

Illinois CPA Society
Illinois Government Finance Officers Association
Greater Aurora Chamber of Commerce Leadership Academy,
Class of 2007
Greater Aurora Chamber of Commerce Leadership Academy,
2008 Steering Committee
Naperville Jaycees
Naperville Area Humane Society, Board Member

Education

Bachelor's Degree in Accounting, The University of Iowa
Master of Business Administration, Benedictine University



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SIKICH RESOURCES



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State and Local Government Services

WHAT CAN SIKICH DO?

- › Accounting & Reporting Services
- › Audit & Compliance Services
- › Recruiting, Compensation Studies & Employee Benefit Consulting
- › ERP Selection, Implementation & Support
- › IT Infrastructure Services
- › Security & Compliance
- › Local Government Management & Operations Consulting
- › Outsourced Management, Finance, HR & Technology Functions
- › Police & Fire Pension Plan Accounting & Consulting
- › Strategic Planning & Performance Measurement
- › Forensic & Fraud Investigation
- › Marketing & Public Relations



Elevate Performance

877.279.1900 | info@sikich.com
www.sikich.com

As a government leader, you know how important it is to find a premier professional services partner that can strategize, plan and implement a variety of ideas that will help you meet the goals of your organization. Budgetary constraints, conflicting demands of multiple constituencies and new regulations make reaching those goals difficult. Experience unparalleled commitment and high-quality, timely services when you partner with the experts at Sikich. For more than 30 years, we have provided:

- › A highly skilled staff and management team entirely dedicated to government services
- › An in-depth understanding of the governmental fiscal, management, operating and regulatory environments
- › Timely and cost-effective service delivery

Our government clients represent a wide range of industry sectors including:

- › State Departments and Agencies
- › Counties
- › Cities
- › Villages
- › Townships
- › Special Districts
- › Pension Plans
- › Park Districts
- › Public Libraries
- › Community Colleges
- › School Districts
- › Water Commissions
- › Water Reclamation Districts

Regardless of which type of government organization you represent, meet your goals and keep your many constituencies happy by seeking professional guidance in functions such as human resources, accounting, marketing, technology and more.

We're involved...

- › American Library Association
- › Central Association of College and University Business Officers
- › Community College Business Officers
- › Friends of Illinois Parks
- › Government Finance Officers Association
- › Government Finance Officers Association of Missouri
- › Government Management Information Sciences Illinois
- › Illinois Association of County Board Members and Commissioners
- › Illinois Association of Fire Protection Districts
- › Illinois Association of Municipal Management Assistants
- › Illinois Association of Park Districts
- › Illinois Association of School Business Officials
- › Illinois City/County Management Association
- › Illinois County Treasurers' Association
- › Illinois Government Finance Officers Association
- › Illinois Library Association
- › Illinois Municipal Treasurers Association
- › Illinois Public Pension Fund Association
- › Illinois Tax Increment Association
- › Indiana Library Federation
- › International City/County Management Association
- › National Association of College and University Business Officers
- › Wisconsin Government Finance Officers Association
- › Wisconsin Municipal Clerks Association

Sikich Snapshot

Organization

Sikich is a dynamic professional services firm specializing in accounting, technology, investment banking and advisory services. Founded in 1982, we are now one of the country's Top 35 largest CPA firms and among the top 1 percent of all enterprise resource planning solution partners in the world.

Industries

Sikich provides services and solutions to a wide range of industries. We have devoted substantial resources to develop a significant base of expertise and experience in:

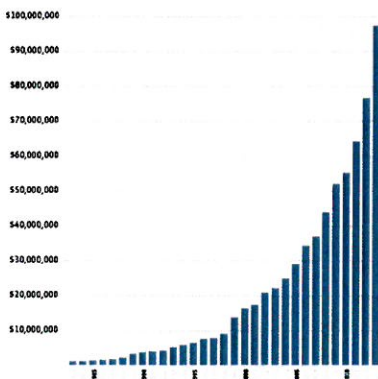
- › Agriculture
- › Construction
- › Government
- › Health Care
- › Higher Education
- › Manufacturing & Distribution
- › Not-for-Profit
- › Oilfield Services
- › Professional Services
- › Real Estate
- › Retail

Statistics

2013 Revenues	\$99M
Total Partners	92
Total Employees	543
Total Personnel	635

Personnel count as of May 31, 2014

Sikich Total Revenues



Awards

- › *Accounting Today* Top 100 Firms: ranked 34th nationally, 2014
- › *Accounting Today* Regional Leaders – Top Firms: Great Lakes: ranked 4th, 2014
- › *INSIDE Public Accounting* Top 50 Largest Accounting Firms: ranked 32nd nationally, 2014
- › Microsoft Dynamics Inner Circle and President's Club, 2014
- › *Milwaukee Business Journal* Largest Management Consulting Firms: ranked 12th, 2014
- › Best Places to Work in Indiana, 2014
- › Best Places to Work in Illinois, 2014
- › *Accounting Today* Top 100 Value Added Reseller: ranked 9th, 2014
- › Bob Scott's Top 100 Value Added Reseller, 2014
- › *Bob Scott's Insights* Value Added Reseller Stars, 2014
- › *Inc.* Magazine's Inc. 500|5000: ranked 4,627th fastest-growing private company nationally, 2013
- › *Crain's Chicago Business* Fast Fifty: ranked 49th, 2013
- › Alfred P. Sloan Award for Excellence in Workplace Effectiveness & Flexibility, 2013
- › *Daily Herald Business Ledger* Book of Lists: ranked 5th, "Accounting Firms;" Chicago Western Suburbs, 2013
- › *Springfield Business Journal* Book of Lists: ranked 1st, "Accounting Firms;" Springfield, Illinois, 2013
- › *Chicago Tribune's* Chicago's Top Workplaces, 2013
- › *Crain's Chicago Business* Top 25 Firms: ranked 11th in Chicagoland, 2013

SERVICES

- › Accounting & Assurance
- › Business Valuation
- › Dispute Advisory
- › ERP & CRM Software
- › Human Resources Consulting
- › Insurance Services
- › Investment Banking & Corporate Finance
- › IT Services
- › Marketing & Public Relations
- › Retirement Planning
- › Supply Chain
- › Talent Acquisition
- › Tax Planning
- › Wealth Management



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Sikich Snapshot

Certifications

All professional accounting staff with more than one year of experience have earned or are working toward earning the Certified Public Accountant designation. Sikich is a member of the American Institute of Certified Public Accountants' Governmental Audit Quality Center and the Employee Benefit Plan Audit Quality Center. We adhere to the strict requirements of membership which assure we meet the highest standards of audit quality. In 2011, Sikich LLP received its 8th consecutive unmodified ("pass") peer review report, the highest level of recognition conferred upon a public accounting firm for its quality control systems.



Microsoft Partner

Gold Enterprise Resource Planning

Microsoft Partner

Sikich has earned a Microsoft ERP Gold competency; ranked among the top 1 percent of all Microsoft Dynamics partners worldwide; and carries the following certifications:

- ▶ Microsoft Small Business Specialist
- ▶ MCP (Microsoft Certified Professional)
- ▶ MCSE (Microsoft Certified System Engineer)
- ▶ CCNA (Cisco Certified Network Associate)
- ▶ CCDA (Certified Cisco Design Associate)
- ▶ CCEA (Citrix Certified Enterprise Administrator)
- ▶ MRMS (Microsoft Retail Management Systems)
- ▶ CISA (Certified Information Systems Auditor)
- ▶ CNE (Certified Novell Engineer)
- ▶ MS CSM (Microsoft Customer Service Manager)
- ▶ MS CAE (Microsoft Certified Account Executive)
- ▶ MCDBA (Microsoft Certified Database Admin.)



leading edge alliance
innovation • quality • excellence

Sikich is proud to be part of the Leading Edge Alliance

The Leading Edge Alliance (LEA) is the second largest international association of independent accounting firms.* The LEA is an international professional association of independently-owned accounting and consulting firms. Members are top quality firms who share an entrepreneurial spirit and a drive to be the premier provider of professional services in their chosen markets. The Alliance provides Sikich with an unbeatable combination: the comprehensive size and scope of a large multinational company while offering their clients the continuity, consistency, and quality service of a local firm.

**International Accounting Bulletin, 2011*



Sikich is proud to be part of PrimeGlobal

PrimeGlobal is one of the top five largest associations of independent accounting firms in the world, providing a wide range of tools and resources to help member firms furnish superior accounting, auditing, and management services to clients around the globe.

Securities are offered through Sikich Corporate Finance LLC, a registered broker dealer with the Securities Exchange Commission and a member of FINRA/SIPC. Advisory services offered through Sikich Financial, a Registered Investment Advisor. General securities offered through Triad Advisors, Member FINRA/SIPC. Triad Advisors and Sikich Financial are not affiliated.

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System Review Report

July 17, 2014

To the Partners of
Sikich LLP
and the National Peer Review Committee

We have reviewed the system of quality control for the accounting and auditing practice of Sikich LLP (the firm) applicable to engagements not subject to PCAOB permanent inspection in effect for the year ended March 31, 2014. Our peer review was conducted in accordance with the Standards for Performing and Reporting on Peer Reviews established by the Peer Review Board of the American Institute of Certified Public Accountants. As part of our peer review, we considered reviews by regulatory agencies, if applicable, in determining the nature and extent of our procedures. The firm is responsible for designing a system of quality control and complying with it to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Our responsibility is to express an opinion on the design of the system of quality control and the firm's compliance therewith based on our review. The nature, objectives, scope, limitations of, and the procedures performed in a System Review are described in the standards at www.aicpa.org/prsummary.

As required by the standards, engagements selected for review included engagements performed under *Government Auditing Standards*, audits of employee benefit plans, and an examination of a service organization (Service Organizations Control [SOC] 1 engagement).

In our opinion, the system of quality control for the accounting and auditing practice of Sikich LLP applicable to engagements not subject to PCAOB permanent inspection in effect for the year ended March 31, 2014, has been suitably designed and complied with to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Firms can receive a rating of *pass*, *pass with deficiency(ies)* or *fail*. Sikich LLP has received a peer review rating of *pass*.

Heinold Banwart, Ltd



ST. CHARLES
SINCE 1834

AGENDA ITEM EXECUTIVE SUMMARY

Title:	Recommendation to Approve an Ordinance Amending Title 2, Chapter 2.24 “Board of Fire and Police Commissioners,” Section 2.24.040 “Powers and Duties,” and Section 2.24.060 “Rules and Regulations” of the St. Charles Municipal Code
Presenter:	Fire Chief Joseph Schelstreet

Please check appropriate box:

X	Government Operations (2/2/15)		Government Services
	Planning & Development		City Council

Estimated Cost:	\$0	Budgeted:	YES		NO	
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If NO, please explain how item will be funded:

Executive Summary:

The Board of Fire and Police Commissioners has updated their rules and regulations. These rules guide the processes for the hiring, promotion and discipline of certain sworn members within the Fire and Police Departments. The regulations manual has been reviewed by the City’s labor attorney to ensure compliance with all collective bargaining agreements and applicable labor law.

Staff recommends approval and adoption of the rules and regulations of the Board of Fire and Police Commissioners.

Attachments: *(please list)* Rules and Regulations of the Board of Fire and Police Commissioners

Ordinance
Rules and Regulations of the Board of Fire and Police Commissioners

Recommendation / Suggested Action *(briefly explain)*

Recommendation to approve an Ordinance Amending Title 2, Chapter 2.24 “Board of Fire and Police Commissioners,” Section 2.24.040 “Powers and Duties,” and Section 2.24.060 “Rules and Regulations” of the St. Charles Municipal Code.

For office use only: *Agenda Item Number: 5a*

City of St. Charles, Illinois

Ordinance No. 2015-M-

An Ordinance Amending Title 2, Chapter 2.24 “Board of Fire and Police Commissioners,” Section 2.24.040 “Powers and Duties” and Section 2.24.060 “Rules and Regulations” of the St. Charles Municipal Code

WHEREAS, the City of St. Charles (the "City") is a home rule municipality duly organized and existing pursuant to the Illinois Constitution of 1970 and the laws of the State of Illinois; and,

WHEREAS, the City has provided for a Board of Fire and Police Commissioners pursuant to the City's statutory and home rule authorities; and

WHEREAS, The Board of Fire and Police Commissioners has approved certain Rules and Regulations; and

WHEREAS, the City finds it necessary to amend Title 2, Chapter 2.24 as follows:

Section 2.4.040 Powers and Duties shall be removed in its entirety and the following language is inserted in lieu thereof:

Section 2.4.040 Powers and Duties

The Board of Fire and Police Commissioners shall have such powers and duties as are now or as may be hereafter given to it by law pursuant to the Municipal Code 65 ILCS 5/1 1 1 et seq. It shall be the duty of the Board to make appointments to Police and Fire Departments of the City where applicable, and said Board shall conduct and hold all entrance and promotional examinations and exercise such other powers and duties as provided by law; and Section 2.24.060, Rules and Regulations shall be added to read as follows:

Section 2.24.060 - Rules and Regulations:

The Board shall publish a set of rules to be known as the Rules and Regulations of the St. Charles, Illinois Board of Fire and Police Commissioners. Said rules are hereby incorporated into and made a part of this Chapter and Ordinance by reference.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ST. CHARLES, KANE AND DUPAGE COUNTIES, ILLINOIS, AS FOLLOWS:

Ordinance No. _____

Page 2

1. That Title 2, Chapter 2.24 of the St. Charles Municipal Code shall be amended as presented.

PRESENTED to the City Council of the City of St. Charles, Illinois, this _____ day of _____ 2015.

PASSED by the City Council of the City of St. Charles, Illinois, this _____ day of _____ 2015.

APPROVED by the Mayor of the City of St. Charles, Illinois, this _____ day of _____ 2015.

Raymond P. Rogina, Mayor

ATTEST:

City Clerk

COUNCIL VOTE:

Ayes:

Nays:

Absent:

Abstain:

APPROVED AS TO FORM:

City Attorney

DATE: _____



ST. CHARLES
SINCE 1834

**RULES AND REGULATIONS
OF THE
BOARD OF FIRE AND POLICE COMMISSIONERS
CITY OF ST. CHARLES
STATE OF ILLINOIS**

APPROVED by the Board of Fire and Police Commissioners: January 12, 2015

ADOPTED by City Council: _____

PUBLISHED: _____

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**RULES AND REGULATIONS
OF THE
BOARD OF FIRE AND POLICE COMMISSIONERS
OF THE
CITY OF ST. CHARLES
STATE OF ILLINOIS**

As approved by the Board of Fire and Police Commissioners of the City of St. Charles, Illinois, and adopted by the City Council of the City of St. Charles, effective _____, 2015.

CHAPTER I - ADMINISTRATION

SECTION 1 - SOURCE OF AUTHORITY.

The Board of Fire and Police Commissioners of the City of St. Charles, Illinois derives its power and authority from an Act of the General Assembly entitled, "Division 2.1 Board of Fire and Police Commissioners", of Chapter 65 of the Illinois Compiled Statutes. (65 ILCS 5/10-2.1 et seq.), the City of St. Charles Code and the Home Rule Authority of the City of St. Charles derived from the Illinois Constitution, Article VII, Section 6.

SECTION 2 - DEFINITIONS.

The word "Commission" and/or "Board" wherever used shall mean the Board of Fire and Police Commissioners of the City of St. Charles, Illinois. The word "Officer" shall mean any person holding a permanent office in the Police or Fire Department of the City of St. Charles, Illinois. The masculine noun or pronoun includes the feminine. The singular includes the plural, and the plural the singular.

SECTION 3 - OFFICERS OF BOARD AND THEIR DUTIES.

The Board shall annually, on the first meeting in May elect a Chairman and a Secretary. They shall hold office until the end of the fiscal year of the municipality and until their successors are duly elected and qualified. The Chairman shall be the presiding officer at all meetings. The Secretary shall keep the Minutes of all meetings of the Board in a permanent record book and shall be the custodian of all the forms, papers, books, records and completed examinations of the Board.

SECTION 4 - MEETINGS.

- a) Regular meetings shall be held monthly, notice shall be posted and meetings shall be open to the public.
- b) Special meetings shall be open, notice thereof to be posted forty-eight (48) hours prior to convening, called by the filing of a notice in writing with the Secretary of the Board and signed either by the Chairman of the Board or any two members thereof. This notice

shall contain a brief statement of the business to be submitted for the consideration of the Board at such special meetings, and shall set forth the time and place of such special meeting, and no other business shall be considered at such special meeting unless by unanimous consent of the Board.

- c) During any regular or special meeting a closed session may be held upon a proper motion made by any single member of the Board for the purpose of discussing personnel. Closed sessions may be limited to Board members and such invited persons as the Board may deem necessary. The secretary will record the motion to close the meeting, record the roll call vote of the members on said motion and keep minutes of the closed session. An audio or video record of each closed session will be maintained by the Secretary of the Board and, after a minimum of 18 months, shall be disposed of in accordance with the provisions of the Open Meetings Act.
- d) Public notice of any regularly scheduled or special meeting shall be held in accordance with the Open Meetings Act, Illinois Compiled Statutes, Chapter 5, "120/1-120/5.
- e) If a member is unable to be physically present at a meeting of the Board, whether it be for health related reasons, the need to conduct personal business or the business of the Board, or due to a personal or family emergency, that member may attend and participate at a Board meeting by telephonic or other electronic means provided that a quorum of the Board's members are physically present at the meeting and vote to approve the attendance of the missing member(s) by way of telephonic or other electronic means. The minutes of the meeting shall reflect, by name, those members of the Board who are physically present as well as those attending by telephonic or other electronic means. Notice that a board member will be in attendance and participating at a Board meeting, not in person but electronically, shall be provided to the Board's recording secretary or the municipal clerk at least 48 hours prior to the scheduled meeting.
- f) The agenda for a "Regular Meeting" shall allow for an "Open Forum" to permit individuals to appear before and address their concerns to the members of the Commission. The commission may limit those individuals appearing during the open forum to a presentation not to exceed three (3) minutes and may require an individual to be seated if the individual addresses those present in a disrespectful or discourteous manner or the subject matter being presented is not relevant to the duties and responsibilities of the Fire and Police Commission.

SECTION 5 - QUORUM.

A majority of the members of the Board shall constitute a quorum for the conduct of all business.

SECTION 6 - ORDER OF BUSINESS.

The order of business at any meeting shall be:

- a) Call to Order
- b) Roll Call
- c) Public Forum (Citizen Comments)
- d) Approval of Minutes
- e) Correspondence
- f) Old Business
- g) New Business
- h) Executive (Closed) Session
- i) Adjournment

SECTION 7 - PROCEDURE.

The parliamentary procedure prescribed in Robert's "Rules of Order" shall be followed as far as applicable.

SECTION 8 - AMENDMENTS.

Amendments to the rules of the Board may be made at any meeting of the Board. . All amendments to these rules and regulations must be adopted and approved by ordinance of the City Council before taking effect.

SECTION 9 - ANNUAL REPORT AND BUDGET REQUEST.

The Board shall submit an Annual Report of its activities as required by §5/10-2.1-19 of the Board of Fire and Police Commissioners Act, and a Budget Request for the ensuing year, as required by local ordinance and the aforementioned §5/10-2.1-19.

CHAPTER II - APPLICATIONS

SECTION 1 - RESIDENCE.

Applicants for examination must be citizens of the United States.

SECTION 2 - APPLICATION BLANKS.

Applications for a position shall be filed upon blank forms furnished by the Commission, and applicants must comply with the requirements of said form in every respect. The application must be filed with the Board prior to taking an examination.

Every applicant must be of good moral character, of temperate habits, of sound health and must be physically able to perform the duties of the position applied for. The burden of establishing these facts rests upon the applicant.

The applicant shall furnish with his application a copy of his Military Service Record, Discharge Papers, Social Security Card, Birth Certificate, High School Diploma or G.E.D. Certificate, a copy of his College or University Degree and, if requested, a copy of a certified transcript of his course work from an accredited College or University.

Those seeking military and/or education preference points shall additionally furnish the following:

Every applicant shall furnish with their application a copy of their U.S. Form DD214 (copy #4), if applicable, for all periods of military service. If the above documentation is not provided at the time of application the Commission will not consider military preference points.

Police Applicants/Educational Preference Points: Every applicant shall furnish with their application a copy of their educational transcripts and any degree awarded. Persons who have successfully obtained an Associate's Degree from an accredited college or university in the field of law enforcement or criminal justice are eligible to receive 1.75 educational preference points. In the alternative, persons who have successfully obtained a Bachelor's Degree from an accredited college or university are eligible to receive 3.50 educational preference points. Any promotional exam candidate who is eligible for educational preference points shall make a claim in writing with proof thereof within ten (10) calendar days after the date of the posting of the initial eligibility register or such claims shall be deemed waived. The preference points under this subsection shall not be cumulative. No person shall receive the educational preference points for a promotional appointment granted by this subsection 2.24.04 (A) after he or she has received one promotion from an eligibility list on which he or she was allowed such preference.

Fire Applicants/Educational Preference Points: Persons who have successfully obtained an Associate's Degree from an accredited college or university in the field of fire science or a Bachelor's Degree in any field are eligible to receive 5.00 educational preference points. Any applicants who have served a minimum of 12 months on active duty in the service of the U. S. Military and who have either been honorably discharged or, in lieu of an honorable discharge, are still serving in an active or inactive reserve status are eligible for 5.00 preference points. Promotional candidates are eligible for the following educational preference points: Associate's Degree – 2

points, Bachelor's Degree – 4 points, Master's Degree – 6 points. Promotional candidates who have served a minimum of 12 months on active duty in the service of the U. S. Military and who have either been honorably discharged or, in lieu of an honorable discharge, are still serving in an active or inactive reserve status are eligible for 3.50 preference points. Military preference points may only be used only once for promotion.

A false statement knowingly made by a person in an application for examination, connivance in any false statement made in any certificate which may accompany such application or complicity in any fraud touching the same, shall be regarded as good cause for exclusion from the examination.

SECTION 3 - DISQUALIFICATION.

The Board may refuse to examine an applicant or, after examination, to certify him as eligible:

- a) Who is found lacking in any of the established preliminary requirements for the service for which he or she applies.
- b) Who is physically unable to perform the duties of the position to which he or she seeks appointment.
- c) Who is addicted to the use of drugs or intoxicating beverages or is found to have taken or used drugs and/or narcotics illegally.
- d) Who has been convicted of a felony or any misdemeanor involving moral turpitude, as specified in §5/10-2.10-6 of the Board of Fire and Police Commissioners Act.
- e) Who has been dismissed from any public service for good cause.
- f) Who has attempted to practice any deception or fraud in his or her application.
- g) Who may be found disqualified in personal qualifications or health.
- h) Whose character and employment references are unsatisfactory.
- i) Who does not possess a high school education or its equivalent.
- j) Who has applied for a position as a police officer and is or has been classified by his or her Local Selective Service Draft Board as a conscientious objector.
- k) Who has applied for a position as a firefighter and is not currently certified as a Firefighter II (Advanced) by the Illinois State Fire Marshal's Office or licensed as an Emergency Medical Technician – Paramedic (EMT-P) by the State of Illinois.
- l) Who has been previously disqualified as an eligible candidate by the Board of Fire and Police Commissioners from an existing St. Charles eligibility list shall be disqualified for any future consideration.

- m) Who has been previously disqualified for employment with the City of St. Charles due to the failure of a polygraph exam, the failure of a police background investigation, the failure of a psychological examination or the failure of a medical exam which includes a drug test, shall be disqualified for any future consideration.

Any applicant, or eligible, deemed disqualified hereunder, shall be notified by the Board.

SECTION 4 - DEFECTIVE APPLICATIONS.

Defective applications shall be returned to the applicant for correction, provided the applicant is not otherwise disqualified for the position sought.

NOTE: All qualifications and requirements listed in these Rule and Regulations must be met prior to the last date for filing applications, except as otherwise provided in the application packet provided by the City or in these Rules and Regulations.

SECTION 5 - AGE REQUIREMENTS.

Applicants shall be under 35 years of age, at the time of application and at such time as the final eligibility list is posted, unless exempt from such age limitation as provided in Section 5/10-2.1-6 of the Fire and Police Commissioner's Act. Applicants, at such time as they file their application with this board, must be 21 years of age. Proof of birth date will be required at time of application.

SECTION 6 - NOTICE OF ACCEPTANCE.

The Secretary will notify all applicants whose applications have been accepted by the Board to be present for orientation and subsequent examination with an executed Physicians Certificate that they are physically capable of participating in a strenuous "Physical Aptitude Test."

SECTION 7 - RELEASE OF LIABILITY.

All applicants shall execute and deliver to the Board a release of all liability as the result of taking a "Physical Aptitude Test" in favor of the City of St. Charles on a form to be prescribed by the Board.

CHAPTER III - EXAMINATIONS

ORIGINAL APPOINTMENTS

SECTION 1 - NOTICE OF EXAMINATIONS.

Examinations shall be held on the dates fixed by the Board and advertised in a local paper in accordance with the Statutes of the State of Illinois. Examinations may be postponed, however, by order of the Commission, which order shall state the reason for such postponement and shall designate a new date for said examination. Applicants shall be notified of the postponement of any examination and of the new date fixed for said examination.

SECTION 2 - EXAMINATIONS.

The Board shall call examinations to fill vacancies in the class of service in which vacancies are liable to occur. A call for such examination shall be entered in the Minutes of the Board and shall include a statement of:

- a) The time and place where such examination will be held.
- b) The location where applications may be obtained and the date by which applications must be returned to the Board.
- c) The position to be filled from the resulting eligibility list.

SECTION 3 - TYPE OF EXAMINATIONS.

Applicants must attend the orientation program sponsored by the Board. In addition, applicants may be required to participate in a physical aptitude test, written and oral examinations as determined by the Board and as more particularly set forth in 4 below. No examination shall contain questions regarding applicant's political or religious opinions or affiliations.

SECTION 4 - EXAMINATIONS - MINIMUM GRADE.

The following examinations may be conducted by the Board. The sequence of testing may vary at the discretion of the Board. Failure to achieve the minimum passing grade in any examination disqualifies the applicant from any further participation. Each weighted component of the examination process shall be based upon a scale of 1 to 100. The board, at its discretion, may employ a testing vendor(s) to conduct any of the examinations administered pursuant to these rules.

<u>Examinations</u>	<u>% of Total Grade</u>	<u>Minimum Passing</u>
Orientation	-	Attendance Mandatory
Physical Aptitude Test	-	**
Written Test	70%	75%
Oral Test (Interview)	30%	75 %
Polygraph Test	-	Pass or Fail

Background Investigation - Pass or Fail

CONDITIONAL OFFER OF EMPLOYMENT

Psychological Examination - Pass or Fail
Medical Examination - Pass or Fail

** Test may be given for demonstration purposes or on a pass/fail basis. Certification that a fire fighter candidate has successfully, within the twelve months immediately preceding the conduct of the written test, passed the Candidate Physical Ability Test (CPAT), as licensed and approved by the International Fire Chief's Association and the International Association of Fire Fighters, satisfies the candidate's obligation to complete the "physical aptitude test" component of this screening process.

Police officer applicants must have passed and possess a Police Officer Wellness Evaluation Report (POWER) proficiency card issued within the past 12 months, prior to the last date for filing applicants to the Board of Fire and Police Commissioners. Candidates must also provide a POWER card, or equivalent, issued within the past 12 months at time of employment.

SECTION 5 – PREFERENCE POINTS

Preference Points may be added to the scores of those candidates who have successfully completed the Physical Ability Test, the Written Examination and the Oral Interview Process as follows:

MILITARY SERVICE:

Any person who was engaged in the military service of the United States for total period of at least one year and who was honorably discharged therefrom, or who is now or may hereafter be on inactive or reserve duty in such military service for at least one year shall upon request, be awarded five (5) preference points. It shall be the responsibility of the Applicant to provide evidence of qualifying military service as listed above with the original application for employment in order to be considered for preference points. Acceptable evidence of qualifying military service shall be an official Department of Defense document such as a DD 214 Copy #4, DD 214 Copy #1 and proof of honorable service from the Department of Defense such as a DD 256 A/N/AF or other official Department of Defense documentation as deemed acceptable by the Board of Fire and Police Commissioners. Preference points must be requested on a form provided by the City.

EDUCATIONAL PREFERENCE POINTS;

SECTION 6- ORIGINAL APPOINTMENT - PHYSICAL APTITUDE TEST.

All applicants may be required to submit themselves to a physical aptitude test. In the event a physical aptitude test is administered, only candidates who have successfully passed the "written test" will be permitted to participate in the physical agility test. Candidates applying for the position of a firefighter must provide proof of current CPAT certification at such time application or prior to

submitting for the written examinations as they are required to submit to an oral interview hereunder. Police officers applicants must possess a valid and current POWER proficiency card as indicated in the prior section.

SECTION 7 - ORIGINAL APPOINTMENT - WRITTEN EXAMINATIONS.

Information as to the type of written examination employed by the Board will be provided as part of the orientation program. All examination papers shall be and remain the property of the Board and the grading thereof by the Board shall be final and conclusive and not subject to review by any other board or tribunal of any kind or description. Candidates who fail to achieve a passing grade will be notified and eliminated from all further consideration.

SECTION 8- ORIGINAL APPOINTMENT - ORAL EXAMINATION.

All Commissioners shall participate in the Oral Examination except wherein one Commissioner is absent due to illness or when matters of an emergency nature preclude his attendance. In no event shall less than a majority of the Commissioners conduct the Oral Interview. Additionally, a designee from the command staff level of the respective department may represent the Chief of that department in the oral examination as well as a representative of Human Resources. Said designees shall have equal grading authority. Questions shall be asked of the Candidate that will enable the Commissioners to properly evaluate and grade the Candidate on speech, alertness, ability to communicate, judgment, emotional stability, self-confidence, social skill and general fitness for the position. On completion of each Oral Examination the Commissioners and staff liaisons will discuss the Candidate's abilities using the traits listed above. Candidates who fail to successfully complete the Oral Examination will be notified and eliminated from all further consideration. Notwithstanding anything to the contrary herein, the Board, at its discretion may provide for the oral examination to be conducted by an outside testing agency or testing vendor.

Oral examinations can be conducted using a % of applicants passing the minimum passing requirements of any written examinations (example: top 20% of written examinations) if all candidates will not be interviewed initially; the number of candidates to be interviewed will be announced at the orientation session for the process. In no instance shall the group (or pool) of candidates being interviewed exceed 30 applicants at any one time.

SECTION 9- INITIAL ELIGIBILITY LIST – POLICE OFFICER

- a) The Commissioners will prepare an "Initial Eligibility Register" of the Candidates successfully completing the orientation, physical ability test (if any) and written test. Candidates shall be placed on the eligibility list in order of their relative excellence as determined by their test scores. The Candidates will be listed in order of excellence based on their final score.
- b) This register is subject to change with the addition of any claimed preference points as prescribed in 5/10-2.1-8 and 5/10-2.1-9 (a) of the Act. Preference points will not be added to any candidate's score if that candidate failed to obtain a minimum passing score. Candidates who are eligible for any preference points, shall make a claim in writing with proof thereof within ten (10) days after the date of the first

posting of the initial eligibility list or such claim shall be deemed waived.

- c) A dated copy of the Initial Eligibility Register, duly adjusted with preference points awarded, shall be sent to each person appearing thereon.
- d) A candidate's name shall be stricken from an initial eligibility register or a subsequent final eligibility register after the name has been on the initial eligibility register for a period exceeding two (2) years.

SECTION 10-CERTIFIED/ELIGIBLE POLICE OFFICERS

CERTIFIED ENTRY CANDIDATES FOR POLICE OFFICER

QUALIFICATIONS

All persons possessing certification from the Illinois Law Enforcement Training and Standards Board may be considered for accelerated entry (referred to as "certified entry candidates"). Certified entry candidates selected must first meet all of the following criteria:

- Status as a sworn municipal, Illinois state trooper or county Sheriffs deputy for one year after completion of a probationary period, and
- In good standing in the police department in which the person serves served or laid off due to budgetary restraints, and
- Possesses substantially equivalent skills and abilities as a City of St. Charles Police Officer who has completed the probationary period, as determined by the City, and
- Possesses an Associate Degree or 60 semester hours of credit from an institution accredited by the U.S. Department of Education, and
- Taken and passed such examinations as the Commission deems necessary to determine fitness for duty as a police officer.

Certified entry candidates who have been determined by the Commission to meet the aforementioned requirements will not be required to attend the orientation or take the written examination. For such candidates, the examination process may consist of a background investigation, oral interview, polygraph, psychological, physical agility examination (or valid POWER Card) and medical examination prior to appointment.

Upon completion of the aforementioned criteria, a pool of eligible candidates will be maintained and depending upon the needs of the Police Department, the Chief of Police can ask for justification from the City Administrator to select from any candidate within this pool or elect to hire from the traditional hiring list.

SECTION 11 – FINAL ELIGIBILITY REGISTER – POLICE OFFICER.

- a) Final appointment for the Police Department shall be from the names appearing on the "Final Eligibility Register."
- b) The Board shall select a number of candidates (the number to be determined at the discretion of the Board and announced at orientation) from the top of the Initial

Eligibility List who shall be required to submit to an oral interview to be conducted by the Board and, if successful, whose names will be included on the “Final Eligibility Register.”

- c) The names of the applicants shall be placed upon the “Final Eligibility Register” in rank order, highest first. Rank order shall be based upon the applicant’s total cumulative score which shall be calculated as follows:
 - 1) Original written test score multiplied by 70%; and,
 - 2) Oral interview score multiplied by 30%.
- d) In the event a “Final Eligibility Register” is exhausted prior to the expiration of the “Initial Eligibility Register,” the Board may establish another “Final Eligibility Register” in accordance with subsections a) through c) above.
- e) Applicants shall be appointed from the final eligibility list in descending order. Notwithstanding anything to the contrary contained within these rules and regulations, the Board may, at its discretion, choose to appoint an applicant, for a police officer’s position, who has been awarded a certificate attesting to his or her successful completion of the Minimum Standards Basic Law Enforcement Training Course, as provided in the Illinois Police Training Act, ahead of non-certified applicants.
- f) Appointment from the Final Eligibility Register is subject to satisfactorily passing or completing an in-depth psychological examination, a polygraph test, background investigation, and a thorough medical examination (which may include a test of the applicant’s vision and hearing, a test for the presence of communicable diseases as well as a test to screen for the use of drugs and/or narcotics).

SECTION 12 – PRELIMINARY ELIGIBILITY LIST-FIREFIGHTERS

The Commissioners will prepare a "Preliminary Eligibility Register" of the Candidates who have attended the orientation and passed the written test. Candidates shall be placed on the preliminary eligibility list in the order of their relative excellence as determined by their written test scores.

SECTION 13 – INITIAL ELIGIBILITY LIST-FIREFIGHTERS.

- a) The Board shall select a number of candidates (the number to be determined at the discretion of the Board and announced at orientation) from the top of the Preliminary Eligibility List who shall be required to successfully submit to an oral interview to be administered by the Board and, if successful, their names will be included on the “Initial Eligibility Register.”
- b) The names of the applicants shall be placed upon the “Initial Eligibility Register” in rank order, highest first. All scored examinations shall be based upon a scale of 1 to 100. Rank order shall be based upon the applicant’s total cumulative score which shall be calculated as follows:
 - 1) Original written test score multiplied by 70%; and,

- 2) Oral interview score multiplied by 30%.

SECTION 14 – FINAL ELIGIBILITY LIST-FIREFIGHTER

- A. Within ten (10) days after the posting of the Initial Eligibility Register, applicants, whose names appear thereon, shall make a claim for preference points. Failure to timely make a claim for preference points shall constitute a waiver thereof. Preference points shall be awarded as follows:
 - 1) Military Preference – 5 points. Awarded to applicants who have served a minimum of 12 months on active duty in the service of the U. S. Military and who have either been honorably discharged or, in lieu of an honorable discharge, are still serving in an active or inactive reserve status.
 - 2) Education Preference – 5 points. Candidates must have an Associate’s Degree in Fire Science or Emergency Medical Services from an accredited Community or Junior College or a Bachelor’s Degree in any field from an accredited College or University.
- B. Applicants shall be appointed from the Final Eligibility Register in descending order. Notwithstanding anything to the contrary contained herein, the Commission, at its discretion, may bypass a higher ranking candidate and appoint a lower ranking candidate if, in the Commission’s opinion, the lower ranking candidate is more qualified for the position and that candidate’s name appears within the top 5% of the names remaining on the list or, if there is less than 100 names remaining on the list, the applicant’s name is within the top 5 names remaining on the list.
- C. Appointment from the Final Eligibility Register is subject to satisfactorily passing or completing an in-depth psychological examination, a polygraph test, background investigation, and a thorough medical examination (which may include a test of the applicant’s vision and hearing, a test for the presence of communicable diseases as well as a test to screen for the use of drugs and/or narcotics). A conditional offer of employment shall be made prior to an applicant submitting to the in-depth psychological examination and the medical exam.
- D. In the event a “Final Eligibility Register” is exhausted prior to the expiration of the “Initial Eligibility Register,” the Board may establish another “Final Eligibility Register” in accordance with Section 11 above. Names will be stricken from the “Final Eligibility List” and the Initial Eligibility List after the names have appeared on the original “Initial Eligibility List” in excess of two years.

SECTION 15 - PROFESSIONAL EXAMINATIONS AND TESTS.

- A. Each applicant for original appointment shall submit to a Psychological Examination by such psychologist or psychiatrist as the Board may designate. Such examination shall be without expense to the applicant. Failure of the applicant to take or successfully complete such test shall eliminate him from further consideration.

- B. Any applicant for original appointment to the Police or Fire Department of the City of St. Charles, Illinois, may be required to submit to a Polygraph Device Deceptive Test, commonly known as a Lie Detector Test, at such time and place as the Board may designate. Such test shall be given without expense to the applicant. Failure of the applicant to take or successfully complete such test shall disqualify him to enter upon the duties of the office for which the application for examination was filed.
- C. Medical Examinations shall be performed by a licensed physician.

SECTION 16 - PROBATIONARY APPOINTMENT.

- A. All vacancies in the Police or Fire Department shall be filled by individuals from the Final Eligibility Registers in the order in which their names appear on the register and having met all requirements previously listed. Pursuant to Section 5/10-2.1-14 of the Board of Fire and Police Commissioners Act, the Board may choose to appoint a certified police officer applicant ahead of non-certified applicants.
- B. All original appointments to the police department shall be on a probationary basis commencing upon the date an officer first reports for duty and continuing for a period of eighteen (18) months beyond the date the officer successfully completes the department's field training program. All original appointments to the fire department shall be for a probationary period of twelve (12) months. The probationary period of a newly appointed fire fighter will commence when the fire fighter first reports for work with the fire department. A probationary period may be tolled for those periods of time a probationary employee, is unable or unavailable to perform his or her assigned duties due to required training or due to injury or illness (whether or not job-related) if such periods of absence exceed 30 days.
- C. Any person whose name appears on the Final Eligibility Register may decline appointment once. It shall be the option of the Board, should a candidate decline appointment a second time, to strike from or maintain upon the register the name of such candidate without otherwise altering the candidate's original position on the Final Eligibility Register.
- D. Probationary employees may be summarily dismissed by the Board and are not entitled to the protection afforded to other full-time officers or fire fighters by statute or these rules.

SECTION 17 - CERTIFICATION.

- A. Final certification of probationary Police Officers shall be subject to successful completion of the Basic Training Course, as mandated by the State of Illinois, as well as successfully completing all requirements of the departments field training program within the prescribed probationary period. Inability to successfully complete the course and the FTO program shall be grounds for dismissal.
- B. Final certification of probationary Fire Fighters shall be subject to successful completion of the Certified Fire Fighter Basic Training Course as prescribed by the Illinois Fire Protection Personnel Standards and Education Board.

CHAPTER IV - PROMOTIONAL EXAMINATIONS

SECTION 1 - GENERAL.

The Board, by its rules, shall provide for promotion in the Police and Fire Departments on the basis of ascertained merit and seniority in service and examination, and shall provide in all cases, where it is practicable, that vacancies shall be filled by promotion. All examinations for promotion shall be competitive among such members of the next lower rank as desire to submit themselves to examination. The method of examination and the rules governing examinations for promotion are specified below. For the purpose of determining that a vacancy exists, the Board must have received notice from the appropriate corporate authorities to fill an existing vacancy prior to the date the name(s) are to be stricken from a promotional eligibility register.

SECTION 2 - PROBATIONARY APPOINTMENT-SUPERVISOR.

All promotional appointments to ~~either the fire or the police~~ departments shall be for a probationary period of twelve (12) months. A probationary period may be tolled for those periods of time a probationary employee, is unable or unavailable to perform his or her assigned duties due to required training or due to injury or illness (whether or not job-related) if such periods of absence exceed 30 days.

A person whose name appears on the Final Eligibility Register may decline appointment once. It shall be the option of the Board, should a candidate decline appointment a second time, to strike from or maintain upon the register the name of such candidate without otherwise altering the candidate's original position on the Final Eligibility Register.

Probationary appointments may have their probationary period extended by the Board as recommended by the respective Police Chief or demoted to their previous position by the Board while on probation.

SECTION 2 – POLICE DEPARTMENT

Candidates for promotion must have served a minimum of five (5) full years of certified service as a full time law enforcement officer at a lower rank prior to the written test being administered in order to be eligible to test for promotion to the next higher rank. All promotions within the police department shall be made from the three (3) individuals having the highest ranking at the time of the promotional opening, and where there are less than three (3) names on the promotional eligibility register, as originally posted, or remaining thereon after appointments have been made there from, appointments to fill existing vacancies shall be made from those names or the name remaining on the promotional register. The Board shall strike off the names of candidates for promotional appointment after they have remained thereon for more than two (2) years, provided there is no vacancy existing which can be filled from the promotional register.

Each weighted component of the examination process shall be based upon a scale of 1 to 100.

- a) The final Promotional Examination score for positions within the police department shall be determined as follows:

<u>Examination</u>	<u>Weight</u>	<u>Passing Grade</u>
Written Essay,	10%	75%
<u>Written Test</u>	30%	75%
Test (to be created and customized specific to the City of St. Charles using department directives, City codes, personnel policy manual and one reference book)		
Oral Interview w/BFPC	40%	75%

A designee from the command staff level of the respective departments as well as a representative of Human Resources may represent the Chief of that department in the oral examination of candidates, and said designees shall have equal grading authority

Departmental Merit and Efficiency (Chief's Points) 20%

- b) In the event no candidate from the immediate next lower rank qualifies for promotion, the Board in determining next in order of rank in promotional examinations herewith determines a policy of extending the examination successively through all the orders of rank in the services in an endeavor to qualify suitable eligible or eligibles for the vacancy or vacancies existing before extending the examination to the general public.
- c) Candidates who are otherwise qualified and have timely requested credit for prior military service shall be granted veterans preference points as provided by state statute pursuant to guidelines previously mentioned within these rules and regulations.
- d.) Police Sergeant Applicants/Educational Preference Points: Persons who have successfully obtained an Associate's Degree from an accredited college or university in the field of law enforcement or criminal justice are eligible to receive 1.75 educational preference points. In the alternative, persons who have successfully obtained a Bachelor's Degree from an accredited college or university are eligible to receive 3.50 educational preference points. Any promotional exam candidate who is eligible for educational preference points shall make a claim in writing with proof thereof within ten (10) calendar days after the date of the posting of the initial eligibility register or such claims shall be deemed waived. The preference points under this subsection shall not be cumulative. No person shall receive the educational preference points for a promotional appointment granted by this subsection 2.24.04 (A) after he or she has received one promotion from an eligibility list on which he or she was allowed such preference.

TOTAL SCORE.

A Candidate's total score shall consist of the combined scores of the written examination, written essay and BFPC oral interview and Chief's preference points plus veteran's preference/educational points if applicable. Candidates shall take rank upon a promotional eligibility register in the order of their relative excellence as determined by their total score. In the event of a tie score, the placement of the tied candidates' names on the eligibility list

shall be determined by lot, in the presence of a quorum of the Board, in whatever manner the Board deems appropriate.

SECTION 3—PROMOTIONAL TESTING-FIRE DEPARTMENT.

Promotions within the Fire Department shall be accomplished in accordance with the Fire Department Promotion Act and as further specified within Article 18 of the Collective Bargaining Agreement between the City of St. Charles and the St. Charles Professional Firefighters Association Local 3322 of the International Association of Fire Fighters (IAFF), A.F.F.I.,AFL/CIO, effective May 1, 2013 to April 30, 2016, and subject to any amendments thereto. Promotional vacancies within the Fire Department that are governed by the Fire Department Promotion Act shall be appointed in rank order from the promotional list in accordance with the Act.

SECTION 4 - PROMOTIONAL VACANCY,

Upon notice from the appropriate corporate authority that a promotional vacancy exists, the Board shall select the individual to be promoted in the manner specified in Section 1 of this Chapter IV.

CHAPTER V - ORDER OF RANK, CLASSIFICATION AND OATH OF OFFICE

SECTION 1 - RANK.

The order of rank in the Police Department shall be as provided by ordinance and municipal budget.

The order of rank in the Fire Department shall be as provided by ordinance and municipal budget.

SECTION 2 - CLASSIFICATION.

The Board classifies such offices in the fire and police departments for the purpose of establishing and maintaining standards of examinations and promotions based upon job descriptions and departmental regulations.

SECTION 3 - OATH OF OFFICE.

Before entering duty, any person about to become a member of the Fire or Police Department, shall take the following oath, before any person authorized to administer oaths in the State of Illinois:

Oath

“I, _____, having been hired or appointed to the position of _____ in the City of St. Charles, in both DuPage and Kane Counties, and State of Illinois, , DO SOLEMNLY SWEAR that I will support the Constitution of the United States of America and the Constitution of the State of Illinois, and that I will faithfully discharge, the duties of _____ according to the best of my ability, so help me God.”

_____ (Signature)

Signed and Sworn To before me this
____ day of _____, 20__.

City Clerk

He shall enter into such bond in such amount as prescribed by the Ordinance.

**CHAPTER VI - HEARING OF CHARGES, REMOVALS,
SUSPENSIONS AND DISCHARGES**

SECTION 1 - HEARING OF CHARGES.

- a) Hearings before the Board are not common law proceedings. The provisions of the "Code of Civil Procedure" do not apply to hearings before the Board.
- b) "Counsel" as used herein means: One who has been admitted to the bar as an attorney-at-law in this State.
- c) No rehearing, reconsideration, modification, vacation, or alteration of a decision of the Board shall be allowed.
- d) "Cause" is some substantial shortcoming which renders continuance in employment in some way detrimental to the discipline and efficiency of the public service and something which the law and sound public opinion recognize as cause for the officer or fire fighter no longer occupying his position. The right to determine what constitutes cause is in the Board.
- e) The complainant or appellant initiating any proceedings which call for a hearing before the Board shall have the burden of proof to establish by a preponderance of the evidence that cause for discipline exists or that a suspension, previously imposed by the Chief of a department, is unwarranted. Should the question of a crime be involved, the rule of "reasonable doubt" shall not control.
- f) The phrase "preponderance of evidence" is defined as the greater weight of the evidence, that is to say, it rests with that evidence which, when fairly considered produces the stronger impression, and has a greater weight, and is more convincing as to its truth when weighed against the evidence in opposition thereto.
- g) Probationary employees may be summarily dismissed by the Board and are not entitled to the protection afforded to other full-time officers or fire fighters by statute or these rules.
- h) All hearings shall be public, in accordance with the Open Meetings Act.
- i) At the time and place of hearing, both parties may be represented by counsel, if they so desire.
- j) All proceedings before the Board during the conduct of the hearing shall be recorded by a court reporter to be employed by the Board.
- k) The records of all hearings will not be transcribed by the court reporter unless requested to do so by the Board or any party of interest.

- l) All witnesses shall be sworn prior to testifying and the matter will be decided by the Board solely on evidence presented at the hearings.
- m) The Board will first hear the witnesses either substantiating the charges which have been made against the respondent or in support of an appeal brought by a suspended fire fighter or police officer. Thereafter the other party may present and examine those witnesses whom he desires the Board to hear. All parties shall have the right to cross-examine witnesses presented by the opposite party.

SECTION 2 - HEARING PROCEDURE.

- a) **Complaints:** In all cases, written complaints shall be filed in quintuple, setting forth a plain and concise statement of the facts upon which the complaint is based.
- b) **Probable Cause:** The Board shall have the right to determine whether there is or is not probable cause for hearing a complaint and may conduct such informal hearings as may be necessary for such purpose.
- c) **Notification of Hearing:** Upon the filing of a complaint in quintuple with the Secretary of the Board, and the determination by the Board of probable cause for entertaining said complaint, the Secretary of the Board shall notify both the complainant and the respondent, either by registered or certified mail, return receipt requested, or personally, of the time and place of the hearing of the charges contained in the Complaint. The respondent shall also be served with a copy of the Complaint, and if an Order of Suspension Pending a Hearing is entered by the Board, the respondent, the complainant, the Chief of the Department, the treasurer, comptroller, manager, or other finance officer of the municipality shall be notified of the entry of such Order of Suspension Pending a Hearing, and be served either personally or by registered or certified mail, return receipt requested, with a copy of such Order.
- d) **Continuances:** The matter of granting or refusing to grant a continuance of a hearing is within the discretion of the Board.
- e) **Stipulations:** Parties may, on their own behalf, or by Counsel, stipulate and agree in writing, or on the record, as to evidenced guilt. The facts so stipulated shall be considered as evidence in the proceeding.

In the event a respondent has been suspended pending a hearing and desires a continuance, it shall also be stipulated and agreed that in the event said respondent is to be retained in his position as a result of a decision of the Board following a hearing of the cause, then no compensation shall be paid to said respondent during the period of said continuance.

- f) **Sufficiency of Charges-Objections to:** Motions or objections to the sufficiency of written charges must be filed or made prior to or at the hearing before the Board.

SECTION 3 - SUBPOENAS.

- a) Any party to an administrative hearing may, at any time before the hearing, make application to the Board by filing with it a written request for subpoenas for any individual to appear for a hearing or have them produce books, papers, records, accounts and other documents as may be deemed by the Board to be relevant to the hearing. On the filing of such application, subpoenas will be issued for the named persons. Subpoenas may be served by any person 21 years of age or older designated by the party requesting the subpoenas. Application for subpoenas should contain the names and addresses of the individuals to be subpoenaed, and the identity of any documents which they are to produce. Subpoenas will not be issued for anyone residing outside of the State of Illinois.
- b) Any request for continuance by reason of inability to serve subpoenas shall be filed in the office of the Board at least three (3) days before the date set for such hearing, provided, however, that the Board in its discretion may waive this rule.

SECTION 4 - SERVICE.

All papers required by these Rules and Regulations to be served shall be delivered personally to the party designated or mailed, by United States mail in an envelope properly addressed with postage prepaid, to the designated party at his last known residence as reflected by the complaint filed with the Board, except as herein otherwise provided. Proof of service of any paper may be made by the certification of any person so mailing the paper or delivering the same to the designated party personally, or by filing a return receipt showing that a paper was mailed, by either registered or certified mail, return receipt requested, to a party's address where it was received by a named party.

SECTION 5 - FILING.

All papers may be filed with the Board by mailing them or delivering them personally to the Secretary of the Board at the City of St. Charles, Illinois. For the purpose of these Rules and Regulations, the filing date of any paper shall be the date it was received in the Board's Office, in the event the paper is delivered personally or by messenger. In the event a paper is forwarded by mail, then the filing date shall be the date which is postmarked on the envelope of such paper.

SECTION 6 - FORMS OF PAPER.

- a) All papers filed in any proceeding shall be typewritten or printed and shall be on one side of the paper only.
- b) If typewritten, the lines shall be double spaced, except that long quotations may be single spaced and indented.
- c) All papers shall be not larger than 8½" by 11" with inside margins of not less than one inch.

- d) The original of all papers filed shall be signed in ink by the party filing the paper or by an officer, agent, or attorney thereof and copies thereof provided the opposing party or his counsel.
- e) If papers are filed by an attorney, his name and address shall appear thereon.

SECTION 7 - COMPUTATION OF TIME.

The time within which any act under these Rules is to be done shall be computed by excluding the first day and including the last, unless the last day is Sunday or is a holiday as defined or fixed in any statute now or hereafter in force in the State, and then it shall also be excluded. If the day succeeding such Sunday or holiday is also a holiday or a Sunday then such succeeding day shall also be excluded.

SECTION 8 - DEMOTIONS

Promoted sergeants are subject to a probationary period and potential demotion to the next lowest rank pursuant to the terms of the collective bargaining agreement then in effect between the City and the labor organization representing the sergeants.

SECTION 9 – SUSPENSION.

The Board may suspend any member of the Fire or Police Department, against whom charges have been proffered, pending a hearing of the charges by the Board, but not to exceed thirty (30) days, without pay, at any one time except those members whose disciplinary procedures are determined by separate collective bargaining agreements. The Chief of the Fire or Police Department shall have the right to suspend any officer under the Chief's command for a period of not to exceed ten (10) days without pay, providing no charges on the same offense have been filed and are pending before the Board, and the Chief shall notify the Board in writing within twenty-four (24) hours of the time of such suspension. Any police officer or firefighter/paramedic so suspended may appeal to the Board for a review of the suspension within five (5) days after receiving notice of such suspension by filing notice of such appeal in writing with the Chairman of the Board of Fire and Police Commissioners. A hearing shall be had upon such appeal, and due notice given to the Chief of the Department who suspended such officer and to the officer so suspended. The burden of establishing that a suspension is unwarranted shall be upon the individual bringing the appeal. Upon such appeal, the Board may sustain the action of the Chief of the Department, may reverse it with instructions that the officer so suspended receive pay for the period involved, may suspend the officer for a period of not more than thirty (30) days without pay, or discharge the officer, depending on the evidence presented.

SECTION 10 - DISCHARGE OR SUSPENSION AFTER HEARING

- a. Discharge from office or suspension from service in the Fire or Police Department shall be in compliance with the Fire and Police Commissioners Act of the State of Illinois, 65 ILCS 5/10-2.1, or the appropriate collective bargaining agreement.
- b. The Board shall, within a reasonable time after the hearing is completed, enter its findings on the records of the Board.

SECTION 11 - DATE OF HEARING.

The time for the hearing of charges shall be set by the Board, within thirty (30) days of the time of the filing of such charges. Continuances may be granted from time to time upon motion of any party to the proceeding by order of the Board. This time limitation is not applicable to hearings conducted to review suspensions of five (5) days or less imposed by a Chief of a department on one of its members

SECTION 12 - FINDINGS AND DECISION

In case any member of the Fire or Police Department shall be found guilty of the charges preferred against him/her after a hearing by the Board, the member may be removed, discharged, or suspended for a period not exceeding thirty (30) days, without pay. Upon an appeal, the Board may sustain the action of the Chief, may reverse it, in whole or in part, or may suspend the officer or firefighter for an additional period of not more than thirty (30) days, or discharge the officer or firefighter, depending on the facts presented.

SECTION 13 - RULES - CONFLICT.

The personnel of the Fire and Police Department shall be governed by the Rules as adopted by the Commission and the Regulations of the Fire and Police Departments as adopted by ordinance. In case of conflict, the rules of the Board shall govern unless otherwise stipulated in a collective bargaining agreement.

SECTION 14- VIOLATION OF RULES.

All members of the Police and Fire Departments shall be subject to the regulations of such Department, and the Rules of the Board, and a violation of such rules or regulations may be cause for filing of charges before the Board, a subsequent hearing and action by the Board on such charges.

SECTION 14 - VIOLATION OF LAW.

Any violation of the laws of the municipality or state or federal law, by any member of the Police or Fire Department of such municipality may be cause for the filing of charges against said fire fighter or officer, except as herein otherwise provided.

CHAPTER VII - GENERAL

SECTION 1.

The Board shall have such other Powers and duties as are given it by the Statutes of the State of Illinois or by ordinance.

SECTION 2.

Any Chapters, Sections and/or Subsections of the foregoing Rules for the operation of the Board that are in conflict with the State Statute or with any amendments thereto that may hereafter be enacted are null and void. This, however, does not invalidate any other Chapters, Sections and/or Subsections of said Rules.

SECTION 3.

Amendments to the Rules of the Board may be made at any meeting of the Board. A notice shall be published, in a newspaper of general circulation in the municipality, specifying where such Rules are available for inspection. The notice shall specify the date, not less than ten (10) days subsequent to the date of such publication when said Rules shall become effective. All amendments to these rules and regulations must be adopted and approved by ordinance of the City Council before taking effect.

SECTION 4 - LEAVE OF ABSENCE.

Leaves of Absence shall be granted by reason of military service or duty-related disability as specified in Illinois Compiled Statutes, Chapter 65, Section 5/10-2.1-23. If a Leave of Absence is granted by the Board during a probationary period, such probationary period shall be tolled until the probationary employee returns from his leave of absence.

SECTION 5 - POLITICAL CONTRIBUTIONS.

No person in the Police or Fire Departments of the City of St. Charles, Illinois, shall be under any obligation to contribute any funds to render any political service, and no such person shall do so or be removed or otherwise prejudiced for refusing to do so. No person in the Fire or Police Departments of the City of St. Charles, Illinois, shall discharge or promote or reduce, or in any manner change the official rank or compensation of any other person in such service, or promise or threaten so to do, for withholding or refusing to make any contribution of money or service or any other valuable thing for any political purpose, or in any other manner, directly or indirectly, use his official authority or influence to compel or induce any other person to pay or render any political assessment, subscription, contribution or service.

Approved and Adopted, this 12th day of January 2015 by motion of the Board of Fire and Police Commissioners.

Vote:

Ayes: 4 Nays: 0

Absent: 1