

**IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

MICHAEL L. SHAKMAN, et al.,	)	
	)	No. 69 C 2145
Plaintiffs,	)	
	)	
v.	)	
	)	Hon. Sidney Schenkier
COUNTY OF COOK,	)	
	)	
Defendants.	)	

**AGREED ORDER  
AMENDING COOK COUNTY EMPLOYMENT PLAN**

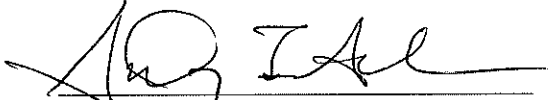
By agreement of the parties and pursuant to Section XIV of the Cook County Employment Plan approved by the Court on March 19, 2012, the Cook County Employment Plan is hereby amended to modify language in the Table of Contents; and to amend Section II. Definitions. by removing the definition of Ranked Interview List; amend Section III. General Principles and Commitments Applicable to County Hiring to add a new Section H. Contact of Politically-Related Persons by County Employees; amend Sections O.3, P., Q.1., Q.2., and Q.3. of Section V. General Hiring Process to account for edits in relation to removing the Ranked Interview List definition and amend Sections C.1., C.2., E. and F. of Section XII. Exempt Position Hiring Process to account for changes in exempt position modifications and modification requests, including but not limited to the removal of exempt positions from the exempt list.

This Court has also been informed that the March 26, 2018 Order approving modifications to the exempt list included an error in the language of the Order but not the attachment. The March 26, 2018 Order is hereby corrected and the vacant position of Administrative Assistant IV, Job Code 0050, Position Identification No. 9500121 in the Office of the Chief Administrative Officer and the vacant position of Safety Manager, Job Code 0084, Position Identification No. 9500055 in Risk Management are deleted from the exempt list.

The above noted modifications have been approved and as such, a copy of Cook County's Employment Plan amended and restated of March 9, 2018 without Exhibits is attached hereto.

It is so ordered.

Dated: April 24, 2018

  
\_\_\_\_\_  
Sidney Schenkier  
Presiding Magistrate Judge

# **EXHIBIT A**

Cook County Employment Plan  
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.

**COOK COUNTY**  
**EMPLOYMENT PLAN**

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## I. INTRODUCTION

This is the new Employment Plan submitted by the County and prepared with the assistance of the Compliance Administrator as required by the SRO. This Employment Plan sets forth the general principles that will govern the County's hiring and employment policies and procedures. This Employment Plan applies to current employees of the County as well as all Applicants and Candidates of the County. Except as specifically provided herein, this Employment Plan does not apply to any Employment Action concerning employees holding Exempt Positions. All undefined terms in this Section I shall have the meanings given such terms in Section II below.

## II. DEFINITIONS

The following definitions apply to specific words and terms used in this Employment Plan:

Actively Recruited Position: Actively Recruited Positions are high ranking or technical/professional related Positions for which, discretion and flexibility in hiring are necessary, appropriate and justifiable and the candidate's academic credentials or accumulated experience is an important determinant for the differentiation among candidates. Actively Recruited Positions are not Exempt Positions and have Minimum Qualifications requiring a Bachelor's Degree or higher. Actively Recruited Positions fall into one of two categories:

A. Positions requiring an M.D., D.O. or J.D. or

B. Positions that (1) are not covered by any CBA; (2) are exempt from career service under the Personnel Rules and are at-will (unless the employee in the Position was hired into that Position prior to November 1, 2012), and (3) are either (a) responsible for the day-to-day performance of a high-level technical/professional function, or (b) responsible for the day-to-day supervision of at least three employees.

Actively Recruited Positions Under the Jurisdiction of the Cook County Board President List: The list of all Actively Recruited Positions kept and maintained by the Compliance Officer pursuant to Section VIII. A copy of the current Actively Recruited Positions under the Jurisdiction of the Cook County Board President List, which may be amended from time to time pursuant to Section VIII.P is attached as Exhibit J.

Actively Recruited Positions Under the Jurisdiction of Cook County Public Defender List: The list of all Actively Recruited Positions kept and maintained by the Compliance Officer pursuant to Section VIII. A copy of the current Actively Recruited Positions Under the Jurisdiction of Cook County Public Defender List, which may be amended from time to time pursuant to Section VIII.P, is attached as Exhibit K.

Applicant: A person who has submitted an online application to BHR for a Position and whose name appears on the Preliminary Eligibility List.

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Applicant Tracking and Application System ("ATAS"): The electronic employment application system implemented by the County and used in the hiring of the County's employees.

ATAS: See Applicant Tracking and Application System.

BHR: See Bureau of Human Resources.

BHR Headquarters: The headquarters of BHR located at 118 N. Clark Street, 8th Floor, Chicago, IL 60602.

BHR Report: The report issued by the President or his or her designee and the Chief of BHR pursuant to Section IV.M.5.

Board: The Board of Commissioners of the County.

Bureau of Human Resources ("BHR"): The Bureau of Human Resources of the County.

CA: See Compliance Administrator.

Candidate: An Applicant whose name is included on the Interview List pursuant to Section V of this Employment Plan.

CBA: See Collective Bargaining Agreement.

Collective Bargaining Agreement ("CBA"): Any current collective bargaining agreement between the County and any legally-recognized collective bargaining representative of employees of the County.

Compensatory Time: Time off earned pursuant to law by a County employee who works beyond his or her scheduled shift.

Compliance Administrator ("CA"): The County's Shakman Compliance Administrator appointed pursuant to Section I of the SRO.

Compliance Officer: The County employee in charge of compliance who shall perform all tasks and responsibilities as described in this Employment Plan and as may be assigned from time to time.

Conflict of Interest: A situation in which impartiality and judgment may be compromised or may appear to be compromised because of an actual or potential clash between a person's self-interest and his or her professional or public-interest.

Consent Decree: The Consent Decree between the plaintiffs and the County in the Shakman case entered into in 1994 and incorporating the 1972 Consent Decree between the parties.

Contact Log: The log maintained by the OIIG recording all Political Contacts from any Politically-Related Person or Organization or his, her or its representative regarding any

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Applicant, Candidate or any employee. A copy of the Contact Log Reporting Form is attached as Exhibit A.

Content Librarian: The BHR employee trained to review Job Descriptions for accuracy, create screening questions, and oversee the development and posting of Notices of Job Opportunity in compliance with ATAS' protocols and guidelines.

County: The County of Cook, Illinois.

Day or day: A calendar day unless otherwise indicated.

Demotion: A downgrade from one position to another lower-level position that may or may not result in lower compensation.

Department: A unit of the County, including, but not limited to, a bureau, operating unit or department.

Department Head: The individual assigned to head or direct a Department.

Discipline: An action taken by the County in response to an employee's behavior or performance, including oral or written warnings, suspensions and Terminations, but not including counseling.

Disqualifying Question: A question designed to identify whether an Applicant possesses the Minimum Qualifications contained in a Job Description.

Emergency: A situation which has been certified pursuant to Section VII.A involving a significant threat to public safety or health (e.g., a natural disaster, a weather-related event, a terrorist attack or similar event), but not including budgetary or financially-caused situations (e.g., a hiring freeze, a grant application deadline or similar event).

Employment Action: Any action (positive or negative) related to any aspect of employment, including, but not limited to, hiring, Promotion, Transfer, assignment of Overtime and other benefits of employment, Discipline, and Termination.

Employment Plan: This new Employment Plan required pursuant to Section II.B of the SRO.

Executive Assistant Position: A Position that reports directly to an Executive Assistant Supervisor and the primary duties of which include the performance of executive-level administrative services to the Executive Assistant Supervisor. Executive Assistant Positions are (1) not covered by any collective bargaining agreement, (2) exempt from career service under the Personnel Rules, (3) at-will, and (4) not Exempt Positions.

Executive Assistant Supervisor: A Bureau Chief, Department Head, Deputy Bureau Chief, Director, Deputy Director, Special Legal Counsel, County Works Board Liaison, or the Compliance Officer.

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Exempt List: The list of all Exempt Positions, as such list may be amended from time to time as provided in Section XII.C. The current Exempt List is attached as Exhibit B.

Exempt Position: A County employment position that is included on the Exempt List and meets the criteria for exempt status as provided in the Consent Decree, i.e., it is a job that involves policymaking to an extent or is confidential in such a way that political affiliation is an appropriate consideration for the effective performance of the job.

Executive Order: Executive Order 2008-01 signed by the President on September 2, 2008.

External Applicant: An Applicant who applies for a Position and is not an employee of the County at the time of application.

Final Ranked Candidate List: The list created by a Department Head using the Actively Recruited Process pursuant to Section VIII.L.3.

General Hiring Process: The hiring process described in detail in Section V.

Governmental Employment: Any employment relationship that constitutes employment at common law (whether probationary, full-time or part-time, permanent or temporary, and regardless of whether the employment is paid for by federal funds) by or for the County.

Grant of Authority: The form signed by the Chief of BHR granting authority for employment. A copy of the current Grant of Authority, which may be amended from time to time, is attached as Exhibit C.

Hiring Department: The Department in which an Applicant who is hired will be assigned to work.

Incident Report: The report prepared by the Compliance Officer upon completion of his or her investigation pursuant to Section IV.M.2.

Internal Applicant: An Applicant who applies for a Position and who is actively employed by the County at the time of application.

Internal Candidate Preference: A Position designated by a Department Head and approved by BHR where the applications of Internal Applicants for the Position will not be subject to computer-based randomization because of the advantages of employing internally experienced Applicants in carrying out the duties and responsibilities of the Position being posted.

Interview List: The Candidates who have been advanced to the Interview process pursuant to Section V.J.

Interviewer Evaluation Form: The form used by interviewers during the interview process to document interviews with and score individual Candidates for Positions and as described in Section V.Q.3. A copy of the current Interviewer Evaluation Form, which may be amended from time to time, is attached as Exhibit D.

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Interview File: A file which contains a copy of the Interview List, Interviewer Evaluation Forms, Interview Panel Ranking Form, a list of the persons on the interview panel, notes of the selection meeting, the list of interview questions and all other Compliance documents relating to the posting of a Position.

Interview Panel Ranking Form: The form used by interview panels to rank Candidates pursuant to Section V.Q.2. A copy of the current Interview Panel Ranking Form, which may be amended from time to time, is attached as Exhibit E.

Job Code: A code assigned to each job title.

Job Description: The written job description that describes the Minimum Qualifications and current responsibilities of a Position and the skills, education and abilities needed to perform those responsibilities. A copy of the current Job Description form, which may be amended from time to time, is attached as Exhibit F.

Justification to Hire: The form completed by the Department Head or his or her designee upon completion of the Candidate selection process described in Section V.Q.5 and Section VIII.M.3.

Minimum Qualifications: The specific minimum qualifications that an Applicant or Candidate must possess to be considered for employment in a Position.

No Political Consideration Certification ("NPCC"): The certification that, to the signer's knowledge and agreement, no Political Reasons or Factors have been or will be taken into consideration or have or will influence the Employment Action involved. A copy of the current No Political Consideration Certification language (which must accompany or be included on forms relating to any Employment Action) is attached as Exhibit G.

Non-Exempt Position: Any Position that is not included on the Exempt List.

Notice of Job Opportunity: The publicly-available written notice of a Position opening.

NPCC: See No Political Consideration Certification.

Office of the Independent Inspector General ("OIIG"): The office of the Cook County Independent Inspector General.

OIIG: See Office of the Independent Inspector General.

OIIG Summary Report: The report issued by OIIG pursuant to Section IV.N.1.

Ordinances: Cook County Code of Ordinances, as amended from time to time.

Overtime: Time worked by an employee beyond the regularly-scheduled workweek for which additional compensation is earned.

Performance Evaluation: A formal written review of an employee's job-related performance.

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Personnel Rules: The County Personnel Rules.

Plaintiffs' Counsel: The legal counsel to plaintiffs in the Shakman Case.

Policy Manual: Manual of employment policies developed and maintained by BHR.

Political Contact: Any contact of any kind whatsoever (oral or written, direct or indirect) from any Politically-Related Person or Organization regarding an Employment Action relating to any Applicant, Candidate or employee of the County holding or applying for a Non-Exempt Position.

Politically-Related Person or Organization: Any elected or appointed public official or any person employed by, acting as an agent of or representing any elected or appointed public official or any political organization or politically-affiliated group.

Political Reasons and Factors: Any reasons or factors relating to political matters in connection with any Employment Action, including, but not limited to: (1) any recommendation for or against the hiring, Promotion, Transfer or the taking of any other Employment Action with respect to any Applicant, potential Applicant or County employee from any Politically-Related Person or Organization that is not based on that Politically-Related Person's or Organization's personal knowledge of the Applicant's, potential Applicant's or County employee's skills, work experience or other job-related characteristics; (2) the fact that an Applicant, potential Applicant or County employee works or worked for a Politically-Related Person or Organization, or works or worked on a political campaign, unless related to a recommendation based on an Applicant's, potential Applicant's or County employee's skills, work experience or other job-related characteristics; (3) the fact that an Applicant, potential Applicant or County employee is or was, or is not or was not, a member of any political party or a politically related organization; (4) the fact that an Applicant, potential Applicant or County employee contributed or raised money, or provided anything of monetary value, to a Politically-Related Person or Organization, or refrained from doing so; (5) the fact that an Applicant, potential Applicant or County employee is a Democrat or a Republican or a member of any other political party or group, or is not a member; or (6) the fact that an Applicant, potential Applicant or County employee may express any views or beliefs on political matters.

Position: Any County employment position.

Preferred Qualifications: The qualifications preferred (but not required) for a Position.

Preliminary Eligibility List: The list of Applicants who have submitted complete applications for a Position through ATAS and whose responses to the Disqualifying Questions indicate that they meet the Minimum Qualifications of the Position.

Prescreening Questions: Questions designed to identify whether an Applicant possesses specific Preferred Qualifications for a Position.

President: The President of the Board of Commissioners of the County.

President's Report: The report issued by the President or his or her designee pursuant to Section IV.N.2.



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Promotion: The appointment of a current County employee to a higher-graded position than his or her current position.

Public Defender Direct Appointment Position: A position in the Public Defender's Office that: (1) holds the title of Deputy or higher; (2) reports directly to the Public Defender or reports to someone who reports directly to the Public Defender; and (3) is either an employee at Pay Grade 20 or higher or is an attorney at pay Grade D-11 or higher.

Recall Candidate: An individual who has been laid off from a Position and is eligible for recall in accordance with the Personnel Rules or an applicable CBA.

Reclassification: The process by which a Position is reclassified to another lower or higher classification pursuant to the Personnel Rules.

Reassignment Candidate: An individual who is subject to layoff, who may transfer under the Personnel Rules or an applicable CBA to other County employment because of such layoff and who is actively employed in a Position at the time he/she is subject to layoff.

Recruiting Consultant: An outside third-party consulting company or individual retained by the County for the purpose of recruiting Applicants.

Reinstatement Candidate: An individual who has been on an authorized leave of absence and may seek reinstatement in accordance with the Personnel Rules or an applicable CBA.

Request to Hire ("RTH"): The form completed by a Department Head and submitted to BHR in hard copy or through ATAS, which initiates recruitment and hiring activities to fill a Position. A current copy of the RTH, which may be amended from time to time, is attached as Exhibit H.

RTH: See Request to Hire.

Shakman Case: Shakman et al. v. County of Cook, et al., United States District Court for the Northern District of Illinois Eastern Division Case Number 69 C 2145.

SRO: See Supplemental Relief Order.

Supervisor: Any employee of the County who, among other managerial duties, has the authority to authorize, execute or recommend any Employment Action.

Supplemental Relief Order ("SRO"): The Supplemental Relief Order for the County agreed to by the Board on November 29, 2006, and approved on February 2, 2007, in the Shakman Case.

Termination: The involuntary separation of an employee from employment with the County for performance or disciplinary reasons.

Transfer: The transfer of a County Employee from one Department to another Department without changing the payroll designation for the Position held by the employee.

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Transitional Assignment: The assignment given to a current Employee who is scheduled to terminate his or her employment on a specified date for a period of no more than 30 days during which he or she will train the Employee who is hired to fill his or her former Position.

Unlawful Political Contact: Any contact of any kind whatsoever (oral or written, direct or indirect) from any Politically-Related Person or Organization that is intended to affect or influence, based on Political Reasons or Factors, any Employment Action involving an Applicant, Candidate or County employee applying for, being considered for, or holding a Non-Exempt Position.

Unlawful Political Discrimination: Any positive or negative Employment Action involving an Applicant, Candidate or County employee who is applying for, being considered for or holding a Position that is based on any Political Reasons or Factors.

Upgrade: The process by which an employee's position is upgraded from one pay grade to a higher pay grade pursuant to the Personnel Rules.

Veteran: A person who has served in the United States Armed Forces on active duty for a period of not less than six months of continuous service and who was not dishonorably discharged.

Veterans' Preference: The County's preference to interview eligible Veteran Applicants and exclude Veterans who are Applicants for Positions designated as Career Service under the Personnel Rules from any computerized randomization process under this Employment Plan.

Written or in writing: Written or in writing in hard copy or electronically, unless otherwise indicated.

### III. *GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO COUNTY HIRING*

The County will adhere to the following general employment-related policies, practices and procedures with respect to Governmental Employment:

A. Commitment. The County will implement proactive and transparent employment-related policies, practices and procedures that will prevent and remedy the negative effects of Unlawful Political Contacts and Unlawful Political Discrimination as required by the SRO (while in effect), Executive Order, Consent Decree and Ordinances. No CBA or other agreement between the County and any other individual or entity shall provide otherwise.

B. No Employment Actions Influenced By Political Reasons or Factors. No Employment Action affecting Non-Exempt Positions shall be influenced by any Political Reasons or Factors.

C. Notice of Exemption. An employee holding a Non-Exempt Position that is to become an Exempt Position will be given a minimum of 30 days' advance notice of such change and will be given the opportunity to transfer to any then-available funded Position for which he or she may be qualified in lieu of remaining in his or her position and holding an Exempt Position.



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D. Unlawful Political Discrimination Reporting. Any employee of the County who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring, is required to report such matter to OIIG directly and without delay, on an anonymous or credited basis, in person, by phone or in writing. All employees of the County are required to cooperate fully in any investigation of such matter conducted by OIIG. Any employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including Termination, provided that such reporting and cooperation are not required if either would violate the Employee's constitutional rights.

E. Political Contact Reporting. Any employee who receives or has reason to believe a Political Contact has occurred or is occurring is required to complete a Contact Log Reporting Form and submit it to the OIIG immediately. All employees are required to cooperate fully in any investigation of such contact conducted by the OIIG. Any employee who fails to submit a Contact Log Reporting Form and cooperate as required will be subject to disciplinary action, up to and including Termination, provided that such submission and cooperation are not required if either would violate the Employee's constitutional rights.

F. Equal Employment Opportunity. The County is committed to diversity and to providing equal employment opportunity regardless of race, sex, age, religion, national origin, disability or any other legally protected status.

G. Contact by County Employees Who Are Politically-Related Persons. The President and other County employees who hold political positions or office are authorized to engage in departmental or employee reviews and inquiries as such reviews and/or inquiries may be required in conjunction with their respective general management duties. County employees are not required to report as Political Contacts, communications with the President and other County employees who hold political positions or office that are within their respective management duties and concern the normal day-to-day operations of the County; provided that nothing in this Section III.G will affect any County employee's obligation to report Unlawful Political Discrimination.

H. Contact of Politically-Related Persons by County Employees. Where the President or other County employee who holds a political position or office, including an Exempt position, is contacted by a County employee seeking a Shakman covered employment action or influence in an employment action that is Shakman covered and the employment action is outside the respective management duties of the President or other politically-related employee, the President or politically-related employee shall immediately forward the contact, including all related communications and materials, to the Compliance Officer who shall then act within his or her authority. Upon receipt of the contact, the Compliance Officer shall immediately forward the contact and related materials to the OIIG who shall then act within his or her authority. The Compliance Officer shall notify the County employee that communications concerning employment actions should be directed to BHR.

I. No Retaliation. The County shall continue to prohibit retaliation, punishment or penalty for reporting a Political Contact, initiating a complaint related to any alleged Unlawful Political Contact or Unlawful Political Discrimination, or cooperating with or assisting the Compliance

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Administrator, while acting, the Compliance Officer, BHR, OIIG or any other person or authority in connection with any such report or complaint.

J. BHR Staff. The County will maintain a BHR staff of experienced and knowledgeable professionals who meet the Minimum Qualifications contained in the Job Descriptions and who are able to fulfill the County's obligations under this Employment Plan.

K. Union Relations. The County respects its relationships with its employees' legally-recognized collective bargaining representatives and the provisions of the CBAs it has negotiated with such representatives. Those relationships are governed by the Illinois Public Labor Relations Act, 5 ILCS 315, et seq., as amended, and the Employment Plan and the Personnel Rules will be construed and administered consistent with that Act to the extent that the construction or administration does not conflict with the United States Constitution or federal civil rights laws. If a CBA is in conflict with the language in this Employment Plan or the Personnel Rules, the language in the CBA will govern provided it does not permit or involve the use of any Unlawful Political Contact or Unlawful Political Discrimination. If any provision in a CBA allows for management discretion involving any Employment Action, such management discretion must be exercised subject to the Executive Order, Ordinances, the SRO (while in effect), and the procedures contained in the Employment Plan and Personnel Rules. If the CBA does not contain a specific procedure or is otherwise silent, the relevant procedure in this Employment Plan or the Personnel Rules must be followed.

L. No Political Consideration Certification. All County employees will be required to sign, in hard copy or electronically, as applicable, an NPCC whenever they initiate or are involved in any Employment Action. Such NPCC shall be incorporated into all applicable forms and ATAS as described in this Employment Plan.

M. Interpretation of the Employment Plan. All portions and provisions of this Employment Plan will be interpreted as being in furtherance of the above principles and commitments, as well as the Consent Decrees, SRO (while in effect), Ordinances and Executive Order.

#### IV. *GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO BHR*

BHR is responsible for initiating, directing, coordinating and overseeing the human resources processes, policies and procedures of the County relating to all Employment Actions. The following will apply to activities of BHR:

A. Policy Manual. BHR will draft and maintain a Policy Manual that is consistent and in compliance with and effectuates all provisions of this Employment Plan. BHR may revise and update the Policy Manual as required, provided BHR shall not revise or update any policy or procedure without first sending a copy of the proposed revision or update to the Compliance Administrator, while acting, and OIIG for comment and approval. BHR will post and update as necessary the Employment Plan and the Policy Manual on the County's website.

B. Quarterly Report. BHR will post on the County's website quarterly reports of the total number of hires, Promotions, Transfers and Terminations by Department during the preceding three-month period, including: (1) the number and type of each such Employment Action; (2) the

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dates of each Employment Action; (3) the title of the Position; and (4) whether such Employment Action was pursuant to a posted or emergency hire.

C. Compliance Officer.

1. Responsibilities. BHR will recruit and the President's Office will hire a Compliance Officer whose primary responsibilities will include, but not be limited to: (a) overseeing compliance with this Employment Plan; (b) maintaining and reviewing the Exempt List to ensure continued compliance; (c) accepting complaints related to Employment Actions and this Employment Plan; (d) taking appropriate steps to evaluate, eliminate, remedy and report instances of Political Contacts and Unlawful Political Discrimination; (e) implementation of training programs and preparing training materials; and (f) reviewing the Policy Manual. The Compliance Officer will also issue semi-annual reports every March 15 and September 15 to the President, OIIG and CA, while acting, describing his or her activities during the prior six months, including, but not limited to: (i) auditing activities as required by this Employment Plan; (ii) any violations of the Employment Plan discovered; (iii) any remedial actions recommended; and (iv) any corrective action taken by the County to address the violations. The Compliance Officer's semi-annual reports shall be posted on the County's website.

2. Reporting. The Compliance Officer will be a Non-Exempt Position reporting to the President and will operate with the requisite independence and specific responsibilities set forth in the Job Description and in accordance with this Employment Plan.

3. Termination. The Compliance Officer will be an employee of the County and will not be subject to career service. The Compliance Officer shall serve at the pleasure of the President, subject to 90 days' prior written notice of termination or 90 days' salary continuation in the event of involuntary Termination for other than cause and subject further to the President sending written advance notice to the OIIG describing the reasons for Termination. The OIIG shall review the Termination to determine if it is based on Political Reasons and Factors.

D. BHR Personnel Training. BHR, in conjunction with the Compliance Officer, will provide comprehensive mandatory training programs for all personnel within BHR to ensure that they are aware of and knowledgeable about this Employment Plan and the Policy Manual and will be able to administer relevant portions of this Employment Plan and the Policy Manual and answer questions they may receive. Such training will be conducted no less frequently than once a year and no later than 90 days after any individual becomes an employee in BHR.

E. Supervisor Training. BHR, in conjunction with the Compliance Officer, will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Policy Manual. All Supervisors will receive such training no later than 90 days following their appointment as a Supervisor and no less frequently than annually thereafter.

F. Employee Training. BHR, in conjunction with the Compliance Officer, will conduct comprehensive mandatory training of all County employees to ensure they are aware of and knowledgeable about this Employment Plan, the Policy Manual and Unlawful Political Discrimination. All employees will receive such training no later than 90 days following the

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beginning of employment and no less frequently than annually thereafter. BHR will continue to provide training regarding changes to the Employment Plan and Policy Manual as necessary.

G. Interviewer Training. BHR, in conjunction with the Compliance Officer, will conduct mandatory comprehensive training of all County employees who are eligible to interview Candidates for any Position regarding proper interviewing conduct, techniques and requirements, as well as the prohibition of Unlawful Political Contacts and Unlawful Political Discrimination. Receipt of such training must be certified in writing and the certification placed in such employees' personnel files. The Chief of BHR will maintain a list of all employees who have been certified as completing such training and make the list available to a Department Head when he or she is assembling an interview panel. Only employees who have been certified will be eligible to participate in any interview panel.

H. Access to Information Regarding Applicants. The Chief of BHR will take steps to ensure that no information about any Applicant or Candidate is available to or shared with any party unless he or she is specifically authorized to receive such information. The Chief of BHR, with written notice to the Compliance Officer, will designate specific employees of BHR who will be authorized to access and input information concerning Applicants and Candidates from or on ATAS. Such authority will be given only after such employees have received training in the appropriate use of ATAS and the provisions of this Employment Plan.

I. Review of Job Descriptions. All Job Descriptions must include a list of all Minimum Qualifications and testing protocols, if applicable, and they must be accurate and readily available to the public. Accordingly, the Chief of BHR, in conjunction with the Compliance Officer and outside consultants as needed, shall: (1) consult with the Department Head of the Hiring Department and appropriate staff, if necessary, and review the Job Description for each Position for which the County receives a RTH to ensure that it is accurate and reflects the current duties and Minimum Qualifications necessary to perform the job; (2) conduct an evaluation of Job Descriptions as vacancies are posted to ensure they accurately describe all Minimum Qualifications and testing protocols and reflect the actual duties of the Positions; (3) update and revise any such Job Description that is not accurate; and (4) post the accompanying Job Descriptions for Positions on ATAS as a Position is posted. Nothing in this section will prevent BHR from reviewing and updating Job Descriptions independent of whether there is an anticipated posting.

J. Cooperation with the Compliance Officer and OIIG. All staff of BHR will cooperate fully and at all times with the Compliance Officer and OIIG by immediately reporting any allegations of Unlawful Political Discrimination or Political Contacts, providing documents and information regarding any allegation or investigation and assisting in any investigation, unless specifically prohibited by applicable law.

K. Complaint Line. BHR will post the hotline telephone number of OIIG at all places where individuals apply for employment with the County, on its bulletin boards, and on the County's website. BHR will include a link to the OIIG's hotline on its website. The hotline will allow individuals to call the OIIG on an anonymous or credited basis.

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L. Forwarding of Complaints. BHR shall forward all calls and information alleging that an Employment Action involves Unlawful Political Discrimination or reporting a Political Contact (or a written transcript of the message) to OIIG for investigation pursuant to Section IV.N below. If the allegation involves a violation of this Employment Plan or the Personnel Rules in connection with an Employment Action other than Unlawful Political Contacts or Unlawful Political Discrimination, BHR shall forward the calls and information to the Compliance Officer who shall handle it in accordance with Section IV.M below.

M. Violations of the Employment Plan Not Involving Unlawful Political Discrimination or Political Contacts. If any employee becomes aware of or receives a complaint that involves an allegation of a violation of this Employment Plan or the Personnel Rules in connection with an Employment Action which does not include an alleged Political Contact or Unlawful Political Discrimination, the employee shall refer the complaint to the Compliance Officer. The Compliance Officer shall do the following:

1. Compliance Officer Investigation. The Compliance Officer shall investigate the matter. Such investigation shall include, but not be limited to, a review of all relevant documents and interviews with witnesses. If at any time during an investigation, the Compliance Officer determines that there is reason to believe a Political Contact or Unlawful Political Discrimination is involved or the matter is otherwise within the jurisdiction of the OIIG, he or she shall immediately log the Political Contact or refer the matter in writing to the OIIG for investigation. The Compliance Officer may coordinate with the OIIG on further investigation of any aspect of the violation that does not involve a Political Contact or Unlawful Political Discrimination. The Compliance Officer may consult with the Chief of BHR or his or her designee during the investigation as necessary.

2. Preparation of Incident Report. Upon conclusion of his or her investigation, the Compliance Officer shall prepare an Incident Report, which shall include the following:

- a. A description of the complaint and any other information pertinent to the investigation;
- b. A description of any violation of or non-compliance with this Employment Plan or the Personnel Rules discovered or a confirmation that no violation or non-compliance was discovered;
- c. A recommendation either that no action be taken or that a specific corrective action be taken, and a full explanation of the basis for such recommendation; and
- d. Such other information as the Compliance Officer may deem relevant to the investigation or resulting recommendations.

3. Submission of Incident Report to OIIG. The Compliance Officer shall submit a copy of the Incident Report to OIIG for review. The Compliance Officer shall maintain a copy of the Incident Report in his or her files.



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4. Preparation of Redacted Incident Report and Submission to BHR and the President. The Compliance Officer shall submit a copy of the Incident Report to the Chief of BHR and the President. Before doing so, the Compliance Officer shall redact from the Incident Report the names of any informants, complainants, witnesses and persons investigated, except to the extent necessary to implement the proposed recommendations. The Compliance Officer may also redact from the Incident Report all information that is protected by statute or other applicable law or privilege (e.g., Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.).

5. Review of Incident Report and Preparation of BHR Report. If the Incident Report finds that no violation occurred, BHR shall file the Incident Report and no BHR Report will be required. If the Incident Report contains a finding of violation of or non-compliance with this Employment Plan or includes a recommendation of corrective action, within 30 days of receipt of the Incident Report, the President or his or her designee and the Chief of BHR shall review the Incident Report with the Department Head of the Department involved in the complaint and prepare a BHR Report (a) confirming implementation of the Compliance Officer's recommended action, or (b) explaining why the recommended action was not implemented and describing the alternative action the President has elected to take and the specific reasons for such alternative action. Alternatively, within 30 days of receiving the Incident Report, the President or his or her designee may issue a written request to the Compliance Officer for an extension of up to 30 days to issue the BHR Report. The Compliance Officer may approve such a request for an extension. The Chief of BHR may suspend or terminate the hiring process (if applicable) and impose other remedial actions pending receipt of the Incident Report and the BHR Report.

6. Availability of Reports. The redacted Incident Report and the BHR Report shall be made available to the public upon request to the Compliance Officer made in person, via e-mail, or by mail. The Compliance Officer will provide the requested Incident Report and/or the BHR Report in the same manner as requested within 10 days of the request. The County will place notice of such availability and procedure for requesting reports on its website. Redacted Incident Reports and BHR Reports that are available to the public shall not include any names or other personally-identifiable information. The Compliance Officer shall redact from the BHR Report the names of any informants, complainants, witnesses and persons investigated prior to releasing the BHR Report to the public.

N. Violations Involving Unlawful Political Discrimination or Unlawful Political Contacts. If BHR or the Compliance Officer becomes aware of or receives a complaint that involves an allegation of Political Contact or Unlawful Political Discrimination, he or she shall do the following:

1. Referral to the OIIG. The Compliance Officer or BHR shall refer allegations of Political Contacts and Unlawful Political Discrimination to the OIIG. The OIIG shall receive the referral in accordance with the OIIG Ordinance and act in accordance with his or her authority. Should the referral warrant an investigation, at the conclusion of any such investigation, the OIIG will submit an OIIG Summary Report containing his or her findings, if any, as to the merit of the allegations and recommended actions to the President, with a copy to the Chief of BHR and the Compliance Officer.

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2. Review and President's Report. The President or his or her designee and the Chief of BHR shall review the OIIG Summary Report with the Department Head of the Department involved in the complaint. If the OIIG Summary Report contains a finding that an Unlawful Political Contact or Unlawful Political Discrimination has occurred or includes a recommendation of corrective action, within 30 days of receipt of the OIIG Summary Report, the President or his or her designee shall prepare a President's Report, which shall include the following:

- a. A description of the complaint and any other information received pertinent to the investigation;
- b. A description of the findings discovered in the course of the investigation;
- c. Recommendations of OIIG for correction of the Unlawful Political Contact or Unlawful Political Discrimination, if applicable;
- d. Such other information as the President may deem relevant to the investigation or resulting recommendations; and
- e. A statement (i) confirming implementation of the OIIG's recommended action or (ii) an explanation of why the recommended action was not implemented and a description of any alternative action the President has elected to take and the specific reasons for such alternative action.

Alternatively, within 30 days of receiving the OIIG Summary Report, the President or his or her designee may issue a written request to the OIIG for an extension of up to 30 days to issue the President's Report. The IG may approve such a request for an extension.

3. Availability of Reports. The BHR and President's Reports shall be made available to the public upon request to the Compliance Officer. Such requests shall be made in person, via e-mail, or by mail. The Compliance Officer will provide the requested President's Report in the same manner as requested within 10 days of the request. The County will place notice of such availability and procedure for requesting reports on its website. Redacted Incident Reports and President's Reports that are available to the public shall not include any names or other personally-identifiable information. The Compliance Officer shall redact from the President's Report the names of any informants, complainants, witnesses and persons investigated prior to releasing the President's Report to the public.

O. Recordkeeping. BHR will keep Interview Files for a minimum of three (3) years following the date of a Notice of Job Opportunity posting, unless longer retention is required by law. BHR will also keep personnel files for County employees for a minimum of three (3) years after the date the applicable employee is no longer employed by the County, or longer, if required by law or under any applicable CBA.

P. General Principles and Responsibilities Related to ATAS. The implementation and use of ATAS shall be in compliance with the County's commitments and obligations under this

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Employment Plan, as well as the Executive Order, Ordinances, the Consent Decrees and the SRO, while in effect, and as follows:

1. Training. BHR, in consultation with outside consultants, if necessary, will develop a written training program and provide on-site training for Supervisors and all other County employees who will have access to and use ATAS, and will provide expertise to respond to questions as needed.

2. NPCC. All employees of the County who have access to and/or use ATAS will be required to execute an electronic No Political Consideration Certification when taking any Employment Action using ATAS.

3. Monitoring of ATAS Activities. The Compliance Officer and OIIG will have full and continual access to review all hiring activities of County employees using ATAS in order to assure policies and procedures are being followed and to assist in any investigation of violations.

Q. Ineligible for Rehire List. The Chief of BHR or his or her designee shall create and maintain a list of the names of individuals who were previously employed with the County and who would be considered disqualified or ineligible for employment with the County based on any of the reasons listed in Personnel Rules 3.03(b)(1), (5), (6), (7), (8), (9), and (10) ("Ineligible for Rehire List"), which would include individuals who have been terminated, discharged or resigned in lieu of discharge or termination as a result of a finding related to Unlawful Political Discrimination or engagement of prohibited political activity. Individuals whose names the Chief of BHR or his or her designee determines will be added to the Ineligible for Rehire List will be given notice by the Chief of BHR or his or her designee at the time his or her name is added to the Ineligible for Rehire List and an opportunity to respond to the charges. The notice shall include a copy of the applicable Personnel Rules. Such individuals' names shall remain on the Ineligible for Rehire List for at least two years, provided that the names of individuals who are found to be in violation of Section 44-54 or Section 44-56 of the County's Code of Ordinances, are recommended for termination for said violations, and are terminated or who resign in lieu of discharge shall be placed and remain on the Ineligible for Rehire List for at least five years.

The Ineligible for Rehire List shall include the following: (1) name of the former employee; (2) title of last position; (3) reason for ineligible determination, i.e., "Termination Disciplinary" for career service Employees or Employees covered under a Collective Bargaining Agreement, "Resignation in lieu of Discharge or Termination" for Employees who resign after having been served with charges or after having been otherwise informed by the County that the Employee has committed a "major cause infraction" under the Personnel Rules, "Discharge" for at-will or Exempt Employees or upon the "Recommendation of the Independent Inspector General" if supported by the Chief of BHR for sustained findings of an applicable violation of the County's Personnel Rules or Section 44-54 or Section 44-56 of the County's Code of Ordinances; and (4) date for removal from the list.

BHR shall provide copies of the Ineligible for Rehire List and any revisions to the Compliance Officer and the Independent Inspector General. BHR shall use the Ineligible for Rehire List when validating all Applicants for County employment. Any Applicant who is a former



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employee and whose name is on the Ineligible for Rehire List shall have such ineligibility confirmed by the Chief of BHR and the Compliance Officer before being excluded from consideration for employment. The basis for such ineligibility shall be documented on ATAS if able or in writing by the Chief of BHR or his or her designee or the Compliance Officer. A final check of the Ineligible for Rehire List shall be made prior to the official offer of employment being made. Failure of the Chief of BHR or the Compliance Officer to confirm or document ineligibility shall not bar later action to remove an ineligible individual if hired in violation of this section.

The Compliance Officer and the Independent Inspector General shall be notified in writing at least five (5) business days in advance of an individual's name being removed from or added to the Ineligible for Rehire List in order to permit the Independent Inspector General and the Compliance Officer the opportunity to consult with the Chief of BHR to determine whether the appropriate time period for ineligibility has been instituted and/or expired.

The Compliance Officer shall be provided with a current copy of the Ineligible for Rehire List and said Ineligible for Rehire List shall be made available to the public upon request to the Compliance Officer.

## V. GENERAL HIRING PROCESS

The specific elements of the General Hiring Process, which applies equally to External Applicants and Internal Applicants, are described in detail below. Except as specifically provided in Sections VII-XII below, all Applicants will be required to go through the General Hiring Process.

A. Recruitment. BHR will take steps to assure that all recruitment efforts are conducted in a manner that maximizes the pool of applicants and avoids any Unlawful Political Contacts or Unlawful Political Discrimination, including, but not limited to, the following:

1. Job Postings. All Positions which the County is seeking to fill will be posted in highly visible areas at BHR Headquarters, on the County's website, and on ATAS. Positions may also be posted at locations required by any CBA, schools, professional organizations, labor organizations, professional publications, online job posting sites, and other appropriate locations in order to generate a large pool of qualified Applicants.

2. Recruiter Training. During the training required in Sections IV.D - IV.G, the County will include training in proper recruitment practices that comply with this Employment Plan. All training materials used must be approved in writing by the Compliance Officer prior to use.

3. Recruitment Event Participation. County employees involved in recruiting may participate in a variety of recruiting events, including, but not limited to, job fairs, school-sponsored campus recruitment events and community-based employment programs. The County shall provide prominent written notice at such events to attendees that the County does not hire or accept recommendations for Non-Exempt Positions based on Political Reasons or Factors.

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B. Requests to Hire. All hiring for Positions will be initiated by submission of a RTH in accordance with the following:

1. Submission of RTH. The RTH, including written justifications for filling or creating the Position, must be submitted to BHR and signed by the Department Head of the Department to which the person selected for the Position will be assigned and in which he or she will work. The Department Head must receive written approval to fill the Position from the County's Director of the Budget and Chief of BHR or his or her designees.

2. Current Job Description. The RTH must be accompanied by a copy of the current Job Description containing a list of all Minimum Qualifications and, if applicable, Preferred Qualifications, as well as a description of the knowledge, skills, and abilities relating to the Position, provided BHR will confirm that any such Minimum Qualification, Preferred Qualification and knowledge, skills and abilities are, in fact, related to the Position's requirements. If no Job Description exists, the Department Head is requesting a material alteration of the previous Job Description, or the Department Head claims the current Job Description is not accurate, the Hiring Department and the Chief of BHR or his or her designee, with notice to the Compliance Officer and the Compliance Administrator, while acting, will draft a new or updated Job Description that accurately reflects the requirements of the Position. Copies of the final new or updated Job Descriptions will promptly be given to the Compliance Officer and the Compliance Administrator, while acting. The Chief of BHR or his or her designee will conduct a review of the Job Description, if applicable, in compliance with Section IV.I.

3. Internal Candidate Preference. A Department Head may request on a RTH that a Position be designated as eligible for an Internal Candidate Preference and that Internal Applicants holding Positions within that Department or related Bureau seeking to fill the Position be excluded from the randomization procedures described in Sections V.I and V.K. Such request shall include a description of the specific basis or bases for such requested designation on the RTH and be submitted in accordance with Section V.B.2. The Chief of BHR or his or her designee shall review all requests that a Position be designated as eligible for an Internal Candidate Preference and will determine whether the request is appropriate based on the Department Head's justification, the nature and level of the Position, and the likelihood that the experience of the current employees in the Department or related Bureau seeking to fill the Position will be beneficial in carrying out the duties and responsibilities of the Position being posted. The Chief of BHR or his or her designee may request in writing that the Department Head provide additional information. If the Chief of BHR or his or her designee determines the Position is not appropriate for eligibility for an Internal Candidate Preference, the Department Head's request shall be denied. The Chief of BHR or his or her designee shall notify the Department Head of his or her decision and send a copy to the Compliance Officer.

4. Distribution of Completed RTH Forms. The Chief of BHR or his or her designee will provide written copies of all completed RTH forms to the Compliance Officer and the Compliance Administrator, while acting, within five (5) days of receipt.

C. Recommendations. The following will apply to the submission and consideration of certain recommendations of individuals being considered or applying for any Position:

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1. Prohibited Contacts. Except as provided in Section V.C.2 below, no County employee may contact any other County employee involved in any Employment Action to influence any Employment Action unless he or she is an authorized participant in the Employment Action.

2. Permitted Recommendations. The prohibitions of Section V.C.1 do not limit the right of any citizen, including any Politically-Related Person or Organization or any County employee, to submit a written recommendation not based on Political Reasons or Factors on behalf of any individual applying for any Position where such recommendation is based on such person's personal knowledge of the individual's work, skill, experience or other job-related qualifications.

a. All written recommendations for any Applicant, Candidate or employee shall be reviewed by the BHR Chief or Designee and the Compliance Officer for compliance with this Section V.C.2 and shall be included in the individual's employment file in the event the individual is selected for employment.

b. The Compliance Officer shall immediately forward copies of all written recommendations made by any Politically-Related Person or Organization to the OIIG, and the Compliance Administrator, while acting. The Compliance Officer shall utilize a Contact Log Reporting Form to satisfy this duty. Pursuant to Section IV.N, OIIG shall receive the Political Contacts referred by the Compliance Officer and act in accordance with his or her authority.

c. The Compliance Officer will review the recommendation from the Politically-Related Person or Organization and conduct any additional investigation he or she deems necessary to ensure that the recommendation complies with this Section V.C. The Compliance Officer will document the reasons for his or her determination of whether the Political Contact complies with this Section V.C. A copy of the Compliance Officer's determination will be provided to OIIG.

d. Only recommendations that are determined by the Compliance Officer to not be based on Political Reasons or Factors shall be included in the individual's application materials.

D. Preparation of Notice of Job Opportunity. The Content Librarian and the Chief of BHR or his or her designee will prepare the Notice of Job Opportunity in accordance with the following:

1. Mandatory Training. The Content Librarian shall receive advanced training on the proper use and operation of ATAS. The Content Librarian may be an employee within BHR and may perform other job functions in addition to being a Content Librarian.

2. Confirmation of Accuracy. The Content Librarian will complete a Notice of Job Opportunity based on information contained in the RTH and the current Job Description. The Content Librarian shall consult with the Chief of BHR or his or her designee to ensure that the Job Description and the Notice of Job Opportunity are accurate. The Content Librarian and the

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Chief of BHR or his or her designee shall take steps to ensure that all information, including, but not limited to, all Disqualifying Questions and Prescreening Questions, if applicable, are accurate and relate to the duties of the Position described in the Job Description.

3. Contents of Notice. The Notice of Job Opportunity shall include, but not be limited to: (a) the job title and Job Code; (b) the deadline for applying; (c) the Job Description; (d) the amount or range of compensation; (e) Disqualifying Questions and Prescreening Questions; (f) directions on how and where to apply; (g) whether the posted Position is open to Internal Applicants only; (h) the union name (if applicable); (i) the time period during which applications will be accepted; (j) a non-discrimination clause; (k) a list of all certifications, licenses and documents that the individual must produce at the time of the interview in order to be considered eligible for the position; (l) a description of any tests that will be administered and the scores that must be achieved on those tests for an applicant to be considered eligible for the position; and (m) a statement to the effect that the County does not hire for Non-Exempt Positions based on Political Reasons or Factors.

E. Posting of Notice of Job Opportunity. All Notices of Job Opportunity will be posted in compliance with the following:

1. Posting Locations. All Notices of Job Opportunity will be posted as described in Section V.A.1.

2. Union Postings. The Notice of Job Opportunity for a Position covered by a CBA will be posted pursuant to any applicable provisions of the CBA.

3. Posting Period. All Notices of Job Opportunity will be posted for a minimum of 14 calendar days. If BHR decides to extend the final date for posting, a notice of such extension and a revised posting closing date shall be added to the Notice of Job Opportunity posted on ATAS. Notice of the extension will immediately be given to the Compliance Officer.

F. Submission of Applications. All applications must be submitted to BHR through ATAS. Any individual who does not complete the online application for the Position through ATAS will not be considered eligible for the Position, and his or her name will not be included on the Preliminary Eligibility List.

G. Permitted Contacts from Applicants. Applicants may contact BHR with any questions they may have with respect to the application process. Applicants with disabilities may contact BHR to request an accommodation during the application process.

H. Application Screening. Each Applicant will be required to answer Disqualifying Questions and any applicable Prescreening Questions on ATAS. Applicants whose answers indicate they do not have all of the Minimum Qualifications will not be considered eligible for the Position. The same Disqualifying Questions and Prescreening Questions will be asked of all Applicants applying for the same Position.

I. Creation of Preliminary Eligibility List. After the final posting closing date, BHR will prepare a Preliminary Eligibility List using the procedures in Sections V.I.1-3.

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1. Review of ATAS Submissions. The Preliminary Eligibility List will contain the names of all Applicants in alphabetical order who complete the application process on ATAS and whose application information on ATAS indicates they possess all of the Minimum Qualifications for the Position. If no Applicant is eligible for inclusion on the Preliminary Eligibility List, the Position shall be reposted if requested by the Department.

2. Internal Candidate Preference. This Section V.I.2 applies only to Positions that are approved as eligible for an Internal Candidate Preference pursuant to Section V.B.3. The Preliminary Eligibility List for all other Positions will be created using Section V.I.1 and 3. The applications for all Internal Applicants, including any Internal Applicant who is eligible for a Veteran's Preference, (i) who appears on the Preliminary Eligibility List; (ii) who works in the Hiring Department or related Bureau seeking to fill the Position, and (iii) whose application indicates the Applicant possesses all of the Minimum Qualifications, will be validated and added to the Interview List pursuant to Sections V.I.2 and V.J without any computer-based randomization. If after validating applications from Internal Applicants, there are 10 or more Candidates for a single Vacancy or five (5) or more Candidates per Vacancy for multiple Vacancies on the Interview List, BHR will not validate the applications of any other Applicants on the Preliminary Eligibility List for such Vacancy. If after this validation there are less than 10 Candidates on the Interview List for a single Vacancy or less than five (5) Candidates per Vacancy for multiple Vacancies, BHR will proceed to validate additional applications following the procedures in Section V.I.3 and 4.

3. Veterans Preference. For all Positions that have not been designated by BHR as eligible for an Internal Candidate Preference, BHR will first validate all Applicants eligible for the Veterans' Preference. To be considered for the Veterans' Preference, Applicants must (i) be a Veteran, (ii) submit a copy of the DD Form 214 on ATAS at the time of application and (iii) meet the Minimum Qualifications of the Position. BHR will review all DD Forms 214 submitted on ATAS. If the DD Form 214 confirms the Applicant is a Veteran as defined in this Plan and also meets (i) and (ii) above, the Applicant will be eligible for the Veterans' Preference. Eligible Veteran Applicants will be validated and added to the Interview List pursuant to Section V.J without any computer-based randomization. If after validating applications from Applicants eligible for the Veterans' Preference, there are 10 or more Candidates for a single Vacancy or five (5) or more Candidates per Vacancy for multiple Vacancies on the Interview List, BHR will not validate the applications of any other Applicants on the Preliminary Eligibility List. If after validating all Applicants eligible for the Veterans' Preference there are less than 10 Candidates on the Interview List for a single Vacancy or less than five (5) Candidates per Vacancy for multiple Vacancies, BHR will proceed to validate additional applications following the procedures in Section V.I.4.

4. External Non-Veteran Applicants. If the Interview List prepared pursuant to Sections V.I.2 and/or 3 contains the names of less than 10 Candidates for a single Vacancy or five (5) Candidates per Vacancy for multiple Vacancies, the applications of any Applicants left on the Preliminary Eligibility List will be placed in random order through the use of computer-based randomization function (which is part of ATAS or another computer program). BHR will proceed to validate additional applications in the order they appear on the randomized Preliminary Eligibility List until there are 10 Candidates for a single Vacancy or five (5) Candidates per Vacancy for multiple Vacancies on the Interview List or until all applications of



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Applicants on the randomized Preliminary Eligibility List have been validated, whichever comes first.

J. Validation Procedures. BHR will validate applications by reviewing the information contained on the online applications and resumes of Applicants listed on the Preliminary Eligibility List using the following process. All Applicants validated and deemed eligible pursuant to this Section V.J shall be placed on the Interview List.

1. Validation of Experience/Education. As part of the validation process, BHR will review the background information concerning the Applicant's work experience, education and skills contained on the online application and, if applicable, resume, and compare it with the Applicant's responses to the Disqualifying Questions. In the event there is a material conflict or inconsistency between the information provided by the Applicant and the Applicant's response to any Disqualifying Question, or if the information does not support the Applicant's claim to possess the Minimum Qualifications of the Position, the Applicant will be considered ineligible for the Position and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Interview List.

2. Validation of Disciplinary History for Internal Candidates or Former County Employees. Following the validation procedure described in Section V.J, BHR will conduct the following review for Applicants whose names were not removed from the Preliminary Eligibility List unless a smaller pool was formed pursuant to Section V.I, in which case the review will be confined to such smaller pool. For (a) Internal Applicants or (b) External Applicants who indicated on their application that they were employed by Cook County's Offices Under the President at any time in the 12 months preceding the Applicant's application for hire, BHR will review those Applicants' personnel files.

a. Internal Applicants' Disciplinary History Validation. Any Internal Applicant who was subject to a suspension while working for the Cook County Offices Under the President during the 12-month period prior to his or her application for a Position will not be considered eligible for the Position, and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Interview List, subject to the terms of any applicable CBA.

b. Former Cook County Employees' Disciplinary History Validation. BHR will review the disciplinary record of any External Applicant who was employed by Cook County Offices Under the President within the 12 months preceding his or her application for the final 12 months of the External Applicant's employment. Any External Applicant employed by Cook County's Offices under the President within the 12 months preceding his or her application who was subject to a suspension while working for the Cook County Offices Under the President during the last 12 months of the External Applicant's most recent employment with Cook County Offices Under the President will not be considered eligible for the Position, and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Interview List. Prior to making an offer of employment pursuant to Section V.T to an External Applicant who was employed by Cook County Offices Under the President within the 12 months

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preceding his or her application, BHR will provide the Compliance Officer with a copy of the successful External Applicant's disciplinary record.

3. Record of Determinations. BHR will record the specific reason for a decision to exclude any Applicant's name from the Interview List made pursuant to this Section V.J and will notify the Compliance Officer when the validation process has been completed for each posting within 48 hours of completion.

4. Review by Compliance Officer. The Compliance Officer along with the Chief of BHR or his or her designee will have access to the validation process for each posting and may review them on an ongoing basis. If the Compliance Officer concludes during the validation process that a validation decision was erroneous, the Compliance Officer shall make a written request to the Chief of BHR or his or her Designee to revise the Interview List including the reason(s) why such a revision is necessary. The Chief of BHR or his or her Designee shall revise the Interview List in accordance with the Compliance Officer's request.

K. Use of Preliminary Eligibility and Interview Lists. The Preliminary Eligibility and Interview Lists, minus any names removed for any reasons other than randomization, shall be valid and may be used for purposes of filling vacancies for the posted Position for a period of 12 months from the date created.

L. Submission of Interview List. The Chief of BHR or his or her designee will then submit the Interview List along with the Interview File to the Department Head.

M. Interview Preparation.

1. Interview Scheduling. Upon receipt of the Interview List from BHR, the Department Head or his or her designee will schedule interviews and provide the schedule to the Chief of BHR or his or her designee and the Compliance Officer at least 48 hours prior to the date of the first interview and the Compliance Officer while acting. If any Candidate declines an interview, cannot be reached, or otherwise drops out at any time, the Department Head or his or her designee will document why the Candidate was not interviewed.

2. Interview Panel Selection. The Department Head will select the interview panel consisting of (i) two or three management level employees in the Hiring Department who have been certified as trained pursuant to Section IV.G and (ii) at least one member of the interview panel who has first-hand knowledge of the job duties and Minimum Qualifications of the Position. The Department Head will send a list of the names of the two or three employees who will make up the interview panel to the Chief of BHR or his or her designee for approval prior to the interviews. No County employee may be assigned to an interview panel without first receiving interview training described in Section IV.G above.

3. Interview Questions. The Department Head will prepare a list of a minimum of 10 interview questions relating to each Position. The Department Head will send the list of interview questions to the Chief of BHR or his or her designee, who will review and amend or approve the questions and select five (5) or more questions to be used for interviews for that posting. All questions shall be considered and treated as confidential, and they may not be

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disclosed to anyone other than the Chief of BHR or his or her designee prior to the interviews. The questions must be based on the specific job duties of the Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The interview questions developed for a particular Position may be used for subsequent vacancies for that Position, provided appropriate precautions are taken to prevent advance dissemination of questions and answers to Candidates and provided the questions remain related to the duties of the Position.

N. Pre-Interview License and Certification Verification. All Candidates will be required to produce required documents (e.g., current driver's license, diploma, school transcript, certifications, etc.) listed on the Notice of Job Opportunity prior to the County's completion of the last interview for the Position, but preferably prior to commencement of the interview. Copies of such documents will be included in the Interview File. Candidates who do not produce the required documents prior to the end of the interview process for the Position will be considered ineligible for further consideration.

O. Interview of Candidates. The following will apply to the interview of Candidates:

1. Notification. At least 48 hours prior to any interview, the Compliance Administrator, while acting, the Chief of BHR or his or her designee and the Compliance Officer will be notified in writing of the time and place of each interview. The Compliance Administrator, while acting, the Chief of BHR or his or her designee and the Compliance Officer may be present to monitor any interview.

2. Conducting the Interview. The interview panel shall interview each Candidate on the Interview List in accordance with the following:

a. The Chief of BHR, his or her designee or the employee in charge of personnel matters for the Department, if applicable, will facilitate the conducting of interviews by informing the interview panel and the Department Head of the Hiring Department of the interview process, being present while interviews are being conducted if the Chief of BHR or designee so desires, requesting that any applicable forms be completed, and picking up completed forms after the interviews.

b. In the event a Conflict of Interest is discovered prior to or during any interview, the panel member shall, as soon as possible, notify the Chief of BHR or his or her designee or the employee in charge of personnel matters for the Department, if applicable, the Compliance Officer and the other members of the panel, that a Conflict of Interest exists and that a substitution is needed. The panel member will then leave the interview room and will not participate in the interview or the selection process for that Candidate. A substitute panel member approved by the Chief of BHR or his or her designee shall be contacted to replace the panel member. If no substitute is available, the interview will be rescheduled. The substitute panel member shall assume the panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If a Conflict of Interest is discovered after an interview, the Compliance Officer must be notified and he or she will make the determination of whether a second interview panel must be convened.



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c. The interview questions selected in accordance with Section V.M.2 and Section V.O.2.e will be used to evaluate Candidates and complete the Interviewer Evaluation Form.

d. All Candidates interviewed for the same Position will be asked to respond to at least five (5) of the same pre-approved interview questions. Additional and follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the Position.

e. The interview shall include questions that establish, at a minimum, the Candidate's: (i) willingness and ability to do the job; (ii) availability for work hours and willingness to work at the location where the job is located; (iii) prior job performance; (iv) knowledge and understanding of the position; (v) applicable test scores; (vi) relative qualifications for the position as compared with other Candidates; and (vii) overall credibility. The questions asked will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. None of the above factors will be considered determinative or mandatory, and interviewers will determine what, if any, weight is to be given to each factor.

3. Interviewer Evaluation Form and Preparation of Interview Panel Ranking Form. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview and will score each Candidate as 1 (unacceptable), 2 (marginally acceptable), 3 (acceptable), 4 (very good) or 5 (excellent) in each category listed on the Interviewer Evaluation Form. The basis of any score of 5 or 1 must be explained by the interviewer on his or her Interviewer Evaluation Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers will submit the original completed Interviewer Evaluation Forms to the Chief of BHR or his or her designee and a copy to the employee in charge of personnel matters for the Hiring Department, if applicable. The Chief of BHR or his or her designee will tabulate the scores of the Candidates and rank them in order from the highest to lowest score on the Interview Panel Ranking Form. Any Candidate who receives a combined overall average score of less than 3 will not be eligible for further consideration.

P. Pre-Employment Testing. Additional pre-employment tests may be given to Candidates based on the specific requirements of the Position for which they are applying and as described in the Notice of Job Opportunity, provided all Candidates for any Position are subject to the same test. Each pre-employment test will be administered, scored, considered, and weighted on a consistent basis for each Candidate, and a passing score for such tests will be established in writing before any test is administered to a Candidate. Motor vehicle testing (if applicable) may occur on site. The names of Candidates who do not achieve a passing score will not be eligible for further consideration.

Q. Candidate Selection Procedure. Following completion of interviews with all Candidates, the interview panel shall select Candidates for employment in accordance with the following:

1. Selection Meeting. Within three (3) business days following the last Candidate interview, the interviewers will conduct a selection meeting at which all of the interviewers are

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present and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. The interview panel will discuss the Candidates interviewed in the order they appear on the Interview Panel Ranking Form. The Chief of BHR or his or her designee will be available to the panel to provide advice and expertise. The Compliance Officer may also attend selection meetings.

2. Interview Panel Ranking Form. The interview panel will select and rank Candidates on the Interview Panel Ranking Form in the order the Interview Panel recommends making an offer of employment. The panel will rank only those Candidates recommended for employment and deemed eligible for ranking.

3. Documentation of Selection Meeting. An interview panel member designated by the Hiring Manager shall take notes at the selection meeting. The notes will include a description of why, how and by whom each Candidate was ranked. The notes will also indicate the objective basis or bases on which any Candidate was recommended for selection by the panel, as well as the basis or bases on which any Candidate was not recommended for employment and deemed ineligible for ranking. If the Interview Panel changes the ranking order on the Interview Panel Ranking Form during the Selection Meeting, the Interview Panel will provide a detailed explanation of the reasons supporting the change. The notes and the Interview Evaluation Forms and the Interview Panel Ranking Form will be included in the Interview File.

4. Final Selection. The Department Head shall review the panel's recommendation and make the final selection. If the Candidate selected is other than the Candidate ranked highest by the interview panel in the case of a single vacancy, or a Candidate ranked among the top candidates equal to the number of vacancies to be filled by the interview panel in the case of multiple vacancies, the Department Head shall prepare a written explanation of the basis or bases on which he or she made the selection and send it to BHR, along with a NPCC.

5. Justification to Hire. Following final selection of a Candidate or Candidates, the Department Head or his or her designee shall prepare the Justification to Hire, which will be sent to the Chief of BHR or his or her designee along with the Interview Panel Ranking Form, the Interview Evaluation Forms, notes from the selection meeting, and any other documentation regarding the selection and ranking of the Candidates. In the event the Department Head's final selection is a Candidate or Candidates other than the one(s) described in V.Q.4, copies of such documentation shall also be sent to the Compliance Officer and the Compliance Administrator, while acting.

R. Final Screening. BHR will conduct a final screening of the Candidate or Candidates selected by the Department Head pursuant to Section V.Q.4 as follows:

1. Review of Final Selection. The Chief of BHR or his or her designee will review the material forwarded pursuant to Sections V.Q.3, 4 and 5 and verify the selection is in compliance with the requirements of this Employment Plan. In the event the Department Head's final selection is a Candidate or Candidates other than the one(s) described in Section V.Q.4, the Compliance Officer will be asked to review and verify that the selection is in compliance with the requirements of this Employment Plan as well. If either the Chief of BHR or his or her

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designee or the Compliance Officer determines that the selection was not in compliance, the selected Candidate or Candidates will not be offered employment.

2. Documentation Review. The Chief of BHR or his or her designee will review the Interview File to ensure it contains all required documentation relating to the posting before extending an offer of employment to any selected Candidate, and no offer will be extended prior to the receipt of all required documents and supporting materials from the Hiring Department.

3. Verification of Past Employment. The Chief of BHR or his or her designee shall attempt to contact at least one professional reference (preferably the most recent employer) listed on the application of selected Candidates who are External Applicants in order to verify the accuracy of information contained on the application. Any Candidate who the Chief of BHR or his or her designee confirms has provided misleading, incomplete or incorrect information (excluding minor discrepancies) on his or her application or resume will not be considered eligible and will not be extended an offer of employment. The Chief of BHR or his or her designee will document for the file the basis of his or her finding of ineligibility and notify the Department Head and the Compliance Officer that the selected Candidate is not eligible.

S. Offers of Employment. BHR will extend employment offers in accordance with the following:

1. Extension of Offer. After receipt of the fully-executed Justification to Hire, the Chief of BHR or his or her designee will extend a written offer of employment to the selected Candidate(s). All offers of employment will be made in writing. All offers of employment will be contingent upon the Candidate's satisfactory completion of all post-offer tests described in Section V.T below. If, due to critical need, a selected Candidate begins employment before the results of any post-offer test has been received, the Candidate will be advised that his or her continued employment is contingent on the receipt of satisfactory results of such tests, and that he or she will be subject to immediate termination if and when an unsatisfactory test result is received.

2. Unaccepted Offer. If a selected Candidate is found to be ineligible after the final screening or post-offer testing or does not accept the offer of employment, the next highest ranked Candidate on the Interview Panel Ranking Form, and if necessary the other Candidate(s) in ranked order, will be screened pursuant to Section V.R and offered employment, if eligible.

3. No Acceptance. If no Candidate on the Interview List prepared in accordance with Section V.L is eligible or accepts the offer of employment, the County will continue validating any remaining Applicants on the randomized Preliminary Eligibility List pursuant to Section V.I and J until there is another pool of 10 Candidates for a single Vacancy or five (5) Candidates per Vacancy for multiple Vacancies. The County shall follow this process, if necessary, until all Applicants on the randomized Preliminary Eligibility List have been validated. If none is eligible or accepts the offer of employment, the County will continue following the process in Section V.I and J until all Applicants have been validated. If none is eligible or accepts the offer of employment, the Position will be reposted.

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T. Post-Offer Testing. The following shall apply following acceptance of an offer of employment and preferably prior to the commencement of employment:

1. Drug Test. All selected Candidates for positions that require drug testing and who are not then employed by the County, all Candidates for positions that require drug testing and who are employees of the County who have not undergone a drug test within the preceding twelve months and all Candidates selected to fill a Position requiring them to have a commercial driver's license will be required to submit to a drug test prior to the commencement of employment. Those whose drug tests indicate the use of a controlled substance other than a prescribed medication being taken as prescribed will not be considered eligible and the offer of employment will be withdrawn, or, if applicable, the individual will be terminated.

2. Medical Examination. All selected Candidates for Positions designated by the County as requiring a pre-employment medical examination who are not then employed by the County will be required to submit to a medical exam by a licensed physician or nurse practitioner. Candidates whose medical exam indicates that they are not able to perform the essential functions of the offered Position (with or without reasonable accommodation) will not be considered eligible and the conditional offer of employment will be withdrawn, or, if applicable, the individual will be terminated.

3. Background Check. All selected Candidates who accept an offer of employment will be required to submit to a criminal background check. If a criminal background check reveals that a selected Candidate has been convicted of a felony or misdemeanor that impacts or could impact his or her suitability for the Position, the matter will be referred to the Chief of BHR for an investigation and determination. The Chief of BHR shall investigate the facts and circumstances, consult with legal counsel, if appropriate, and make a written determination of whether the conviction disqualifies the individual for employment, which shall be sent to the Compliance Officer, the OIG and the Compliance Administrator, while acting. Upon receipt of a determination of ineligibility, the offer of employment will be withdrawn or, if applicable, the individual will be terminated. If the background check reveals a selected Candidate has withheld or given materially inaccurate, incomplete or misleading information concerning his or her criminal record, the offer of employment will be withdrawn or, if applicable, the individual will be terminated.

U. Grant of Authority. The Chief of BHR or his or her designee will prepare and sign a Grant of Authority Form following acceptance of the Offer and completion of Post-Offer Testing. The Grant of Authority Form will include at least the name(s) of the selected Candidate(s) and the proposed salary.

#### VI. EMPLOYEE CERTIFICATION.

All Employees involved in effecting a hiring shall complete and sign a NPCC on ATAS or in writing.

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## VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS

The following limited exceptions apply to the General Hiring Process or portions thereof. No exception described in this Section VII shall be interpreted to permit any Employment Actions covering Non-Exempt Positions to be based on any Political Reasons or Factors.

A. Emergencies. The County is not required to comply with the General Hiring Process in the event of an Emergency and upon the prior written certification of the President. Such certification will include, but not be limited to, statements to the effect that: (1) there is a need for such hiring based on an Emergency (including a description of the specific emergency); (2) the approximate number of individuals required to be hired during the Emergency; and (3) the estimated duration of the Emergency (which may be no longer than 120 days). The County must file such certification with the Compliance Officer and the Compliance Administrator, while acting. Upon receipt of such certification, the County may hire employees to deal with the Emergency in a number which, when added to the number of other hires by the County based on an Emergency during the calendar year, at no time exceeds 100. No person may be hired on an emergency basis for more than 120 days in any calendar year. No individual hired as the result of an Emergency may be hired based on any Political Reasons or Factors, and a NPCC shall be completed as otherwise required by the General Hiring Process.

B. Settlements and Awards. The County may comply with any judgment, negotiated settlement of a claim, complaint or arbitral award that requires the County to take an Employment Action with respect to a specific individual or individuals which would otherwise be contrary to the requirements of this Employment Plan.

C. Layoffs. The County shall follow the Personnel Rules, any applicable CBA, and the Policy Manual with respect to Layoffs.

D. Recall and Reemployment. The County shall follow the Personnel Rules, any applicable CBA, and the Policy Manual with respect to Recalls and Reemployment.

E. Promotion and Demotion. The County shall follow the Personnel Rules, any applicable CBA, and the Policy Manual with respect to Promotions and Demotions.

F. Reclassifications and Upgrades. The County shall follow the Personnel Rules, any applicable CBA, and the Policy Manual with respect to Reclassifications and Upgrades.

G. Transfers. The County shall follow the Personnel Rules, any applicable CBA, and the Policy Manual with respect to Transfers.

H. Transitional Assignments. The County is not required to comply with Section V when making a Transitional Assignment, provided the County complies with the following procedures:

1. Completion of NPCC. All individuals involved in effecting a Transitional Assignment shall complete and sign a NPCC.

2. Request for Transitional Assignment. The Department Head shall submit a written request to the Chief of BHR that a Transitional Assignment be made. Such request must



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include: (a) a description of the reason for such Transitional Assignment; (b) a copy of the written confirmation that there is an available appropriation for a Transitional Assignment from the Department of Budget and Management Services; (c) a RTH or Personnel Action Form; (d) a copy of the Job Description; and (e) confirmation of the dates and the duration of the Transitional Assignment (which may not exceed 30 days).

3. BHR Review and Approval. The Chief of BHR or his or her designee and the Compliance Officer shall review the request and materials provided by the Department Head and approve or not approve the request. If approved, the Transitional Assignment will be processed for the period of time specified by the Department and BHR.

4. Reporting of Transitional Assignments. Copies of all requests, NPCCs, RTHs, employment applications, and other documents involving a Transitional Assignment shall be sent to the Compliance Officer and the Compliance Administrator, while acting.

I. Statutory Appointments.

State or County statutory appointments shall be exempt from the General Hiring Process. Said appointments shall be at the discretion of the responsible party and subject to the statutory requirements.

1. Appointment of Cook County Public Defender. Illinois state statute, specifically 55 ILCS 5/3-4004.1 and 55 ILCS 5/3-4004.2 establishes the appointment process of Public Defenders in counties with a population greater than 1,000,000.

2. Appointment of Cook County Medical Examiner. Pursuant to 55 ILCS 5/3-3044, a 1972 Referendum and the Cook County Code of Ordinances, specifically Section 38-112, Cook County Ordinance establishes the appointment process of the Cook County Medical Examiner.

3. Appointment of Cook County Independent Inspector General. Pursuant to the Cook County Code of Ordinances, specifically Section 2-282, the appointment of the Cook County Independent Inspector General is governed by County Ordinance.

J. Public Defender Direct Appointments.

All Positions in the Public Defender's Office are subject to this Employment Plan, including the General Hiring Process (as described in Section V) unless otherwise covered by this Section VII, Section VIII, or Section X.

Positions in the Public Defender's Office listed on the Public Defender Direct Appointment Positions will be filled through the following Direct Appointment Process:

1. Applicability of Specific Portions of the General Hiring Process. All provisions of Section V shall apply to the recruiting, screening, interviewing and hiring of Public Defender Direct Appointments except as specifically provided in this Section VII.

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2. No Political Reasons or Factors. The purpose of the Public Defender's Office is to provide high quality representation for eligible persons and to improve the quality of defense services generally. Therefore, no Employment Action covering a Position in the Public Defender's Office may be based on any Political Reasons or Factors.

3. Positions Eligible for Public Defender Direct Appointment. Public Defender Direct Appointment Positions are (1) not covered by collective bargaining agreements; (2) are not career service positions; (3) are at-will; (4) are Deputy level or higher; and (5) are not Shakman exempt. All persons selected for Public Defender Direct Appointment Positions must possess the Minimum Qualifications for the Public Defender Direct Appointment Position in which they are being placed. All current Public Defender Direct Appointment Positions are listed on Exhibit I, which may be changed only pursuant to Section XIV.

4. No Posting Required. Public Defender Direct Appointment Positions are exempt from any posting requirements in this Employment Plan.

5. Submission of RTH and Job Description. The Public Defender must submit a completed RTH and Job Description for the Public Defender Direct Appointment Position prepared in accordance with Section IV.I and pursuant to Section V.B.1 and 2 to the Chief of BHR or his or her designee. The RTH must be signed by the Public Defender or his or her designee. The Public Defender must receive written verification from the Budget Director and Chief of BHR or their designees that the Position is funded and vacant. The Chief of BHR or his or her designee shall provide a copy of the RTH to the Compliance Officer and the CA, while acting, pursuant to Section V.B.3.

6. Identification and Selection of Candidate. The Public Defender shall send a written notification with the RTH and Job Description to the Chief of BHR or his/her designee. Such notification shall include the name and contact information of the Candidate he or she has selected to fill the Public Defender Direct Appointment Position and a NPCC signed by the Public Defender. The Chief of BHR or his or her designee shall submit a copy of the written notification with the RTH and Job Description to the Compliance Officer and the Compliance Administrator, while acting.

7. Pre-Employment Screening of Candidates. Candidates selected by the Public Defender to fill Public Defender Direct Appointment Positions will be subject to pre-employment screening as follows:

a. Job Description. Job Descriptions for all Public Defender Direct Appointment Positions shall be prepared in accordance with Section IV.I. Any revision of a Public Defender Direct Appointment Position Job Description shall be done pursuant to Section V.B.2. Each such Job Description shall meet the definition of Public Defender Direct Appointment Position contained in this Employment Plan. A copy of such Job Description shall be provided to the Compliance Officer and the Compliance Administrator, while acting, by the Chief of BHR.

b. Entry of Job Description on ATAS. When feasible, the County shall enter all Public Defender Direct Appointment Position Job Descriptions on ATAS, and the

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Content Librarian shall work with a representative of the Public Defender's Office to create a Notice of Job Opportunity for all Public Defender Direct Appointment Positions on ATAS as described in Sections V.D.2 and 3. Such entry does not require public posting.

c. Submission, Screening and Verification of Application. The Candidate selected by the Public Defender to fill the Public Defender Direct Appointment Position shall complete an employment application in paper format or, when, feasible an application on ATAS and submit it to the Chief of BHR or his or her designee along with any licenses or certifications required pursuant to the Job Description. Any application in paper format must contain all information requested and required on an ATAS application. The Chief of BHR or his or her designee shall validate the application and verify that the Candidate selected by the Public Defender (a) possesses the Minimum Qualifications of the Public Defender Direct Appointment Position; (b) has provided any licenses and certifications required; and (c) if he or she was or is an employee of the County, he or she was not terminated for cause by any County employer during the previous five years. If the Chief of BHR or his or her designee concludes that the selected Candidate does not meet any one of the three criteria, the Chief of BHR shall advise the Public Defender that the selected Candidate is not eligible for the Public Defender Direct Appointment Position, and he or she will not be offered employment. If the Chief of BHR or his or her designee determines that the Candidate selected by the Public Defender meets all three criteria and is eligible, he or she shall record such determination on ATAS or in the employment file, execute a NPCC and submit a copy of all information and the determination to the Compliance Officer and the Compliance Administrator, while acting.

8. Hiring. Upon verification of eligibility, BHR will take steps to complete the hiring process and send written notice (including a copy of all the required documents) to the Compliance Officer and the Compliance Administrator, while acting.

9. NPCC. Individuals hired under this provision must sign a NPCC and those persons participating in the hiring must also sign a NPCC certifying that no Political Reasons or Factors were considered in the hire.

10. Changes to the Public Defender Direct Appointment Position List. The Public Defender may from time to time change the list of Public Defender Direct Appointment Positions by adding Public Defender Direct Appointment Positions, deleting Public Defender Direct Appointment Positions, or amending the titles of Public Defender Direct Appointment Positions contained on the Public Defender Direct Appointment Position List. Such changes will be made as follows:

a. Request to Change. The Public Defender or his or her designee shall send written notice of any proposed change to the Public Defender Direct Appointment Position List, along with supporting documentation, including but not limited to (i) the identity, Job Code and Position Identification Number of the Public Defender Direct Appointment Position (including a copy of the current Job Description) and (ii) a description of the basis on which the change is proposed, to OIIG and the Compliance Officer. Until the effective date of a court order terminating the SRO, a copy will also be sent to Plaintiffs'



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Counsel and the Compliance Administrator, while acting. OIIG shall provide a written approval or objection to the proposed change within 10 days of receipt. If OIIG provides an objection to the change, the Public Defender or his or her designee and OIIG will then meet to discuss the matter. If OIIG does not rescind his or her objection following such discussion, the proposed change will not be implemented unless otherwise approved by a court of competent jurisdiction.

b. Notice to Plaintiffs' Counsel. Until the effective date of a court order terminating the SRO, if OIIG approves the proposed change, the Public Defender shall send confirmation of OIIG approval to the Plaintiffs' Counsel. Proposed changes to the Public Defender Direct Appointment Position List will not be implemented until after five (5) business days of providing confirmation of OIIG approval to the Plaintiffs' Counsel. If Plaintiffs' Counsel sends a written objection of the proposed change to the Public Defender Direct Appointment Position List to the Chief of BHR, Public Defender and Compliance Officer within five (5) days of the Public Defender providing notice of OIIG's approval of the change, the proposed change to the Public Defender Direct Appointment Position List will not be made and the matter shall be referred to the Compliance Administrator, while acting, for a recommendation and then to the court having jurisdiction in the Shakman Case for final resolution. Upon objection by the Plaintiffs' Counsel, the Public Defender Direct Appointment Position List will not be changed until final resolution by the court.

11. Removal of an Employee Holding a Public Defender Direct Appointment Position. A County employee holding a Public Defender Direct Appointment Position may be terminated or subject to any action covered by this Plan for any reason or without reason, so long as it is not an illegal reason.

12. Maintenance of Public Defender Direct Appointment Position Status. Any County employee who is appointed to a Public Defender Direct Appointment Position shall continue to be considered at-will and his or her status shall not change unless he or she applies for and is hired into a Non-Exempt Position through the General Hiring Process.

K. Assistant Public Defenders.

The County and Public Defender may use the following procedure for hiring individuals to fill Assistant Public Defender positions. If the Public Defender elects not to follow these procedures, the County and Public Defender shall follow the procedures in Section V.

1. No Political Reasons or Factors. No Employment Action covering an Assistant Public Defender Position may be based on any Political Reasons or Factors.

2. Recruiting Consultant. The Chief of BHR or the Hiring Department (with the approval of the Chief of BHR) may retain a Recruiting Consultant pursuant to the County's Procurement Code for purposes of recruiting Applicants and Candidates for Assistant Public Defender Positions in accordance with the following:

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- a. Certification. All Recruiting Consultants retained to recruit Applicants for Assistant Public Defender Positions and any individuals retained by such Recruiting Consultants who perform activities on behalf of the County or Hiring Department will be required to execute a NPCC as described in Section III.K. Additionally, the contracts between such Recruiting Consultants and the County shall contain a provision that prohibits participation in Unlawful Political Discrimination and requires the reporting of Political Contacts.
  - b. Recruiting Consultant Recruiting and Screening Activities. Recruiting Consultants retained to recruit Applicants for Assistant Public Defender Positions may (a) assist the County in developing a current Job Description as described in Section V.B.2; (b) locate and identify potential Applicants for Assistant Public Defender Positions, provided all such potential Applicants shall be required to complete the ATAS application process described in Section V.F; (c) participate in recruitment events as described in Section V.A.3; (d) conduct the validation process and prepare the Validated Eligibility List as described in Section V.K, provided the Recruiting Consultant provides the Chief of BHR, the Compliance Officer and the Compliance Administrator, while acting, with a written report as described Section V.L; and (e) verify licenses and certifications as described in Section V.N.
  - c. Procedures Not Performed by Recruiting Consultant. The County shall comply with all procedures described in Section VII.K.2 that are not performed by a Recruiting Consultant or in the event a Recruiting Consultant is not retained.
3. Requests to Hire. All hiring for Assistant Public Defender Positions will be initiated by submission of a RTH in accordance with Section V.B.
  4. Preparation of Notice of Job Opportunity. The Content Librarian will prepare the Notice of Job Opportunity in accordance with Section V.D.
  5. Posting of Notice of Job Opportunity. All Notices of Job Opportunity will be posted in compliance with Section V.E.
  6. Submission of Applications. All applications must be submitted to BHR through ATAS. Any individual who does not complete the online application for the Assistant Public Defender Position through ATAS will not be considered eligible for the Assistant Public Defender, and his or her name will not be included on the Preliminary Eligibility List.
  7. Application Screening. Each Applicant will be required to answer Disqualifying Questions and any applicable Prescreening Questions on ATAS. Applicants whose answers indicate they do not have all of the Minimum Qualifications will not be considered eligible for the Assistant Public Defender Position. The same Disqualifying Questions and Prescreening Questions will be asked of all Applicants applying for the same Assistant Public Defender Position.
  8. Creation of Preliminary Eligibility List. After the final posting closing date, BHR will create a Preliminary Eligibility List for each Assistant Public Defender Position posted

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containing the names of all Applicants who complete the application process on ATAS and whose responses indicate they possess all Minimum Qualifications for the Assistant Public Defender Position. BHR will validate the information contained on the online applications and resumes in accordance with Section V.J. All Applicants on the Preliminary Eligibility List shall be vetted and the population of Applicants on the Preliminary Eligibility List will not be reduced through any random selection of a small number of Applicants. The Preliminary and Validated Eligibility Lists, shall be valid and may be used for purposes of filling vacancies for the posted Assistant Public Defender Position for a period of 12 months from the date created.

9. Appointment of an Application Review Panel. The Public Defender or his or her designee shall appoint an Application Review Panel consisting of the Public Defender or his or her designee and at least two other Supervisors who have received interview training pursuant to Section IV.G. Supervisors may come from outside the Hiring Department.

10. Creation of Interview List. Upon receipt of the Validated Eligibility List and Job Description from BHR, the Application Review Panel shall review the applications and resumes of all Candidates listed on the Validated Eligibility List and select at least three (3) Candidates per vacancy to put on the Interview List based on the extent to which each Candidate meets the stated Preferred Qualifications, if any, and has the work-related experience, education, knowledge, skills and abilities needed for the Assistant Public Defender Position. If fewer than three Candidates are on the Validated Eligibility List, the Application Review Panel may request BHR to either repost the Assistant Public Defender Position or the Application Review Panel may place the Candidate(s) on the Interview List. The Compliance Officer and Compliance Administrator, while acting, will be notified at least 48-hours in advance of the Application Review Panel's review of applications and selection of Candidates for the Interview List.

11. Interview Preparation.

a. Appointment of an Interview Panel. The Public Defender or his or her designee shall appoint an Interview Panel consisting of the Public Defender or his or her designee and at least two Supervisors who have received interview training pursuant to Section IV.G. The Supervisors may come from outside the Hiring Department. The Public Defender or his or her designee may choose the same panelists for the Interview Panel as he or she chose for the Application Review Panel.

b. Interview Scheduling. The Public Defender or his or her designee will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the Chief of BHR or his or her designee, the Compliance Officer, and the Compliance Administrator, while acting, at least 48 hours in advance of the date of the first interview.

c. Interview Questions. All interview questions created and utilized by the Hiring Department shall be considered and treated as confidential. The questions must be based on the specific job duties of the Assistant Public Defender Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The Public Defender of Cook County will not be required to submit the interview questions to the Chief of BHR for review and approval but will provide written notice of the interview questions to the Compliance Officer and the Compliance Administrator, while acting, at least five (5) business

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days in advance of conducting interviews for a posting. The interview questions developed for a particular Assistant Public Defender Position may be used for subsequent vacancies for that Assistant Public Defender Position, provided appropriate precautions are taken to prevent advance dissemination of answers and provided the questions remain related to the duties of the Assistant Public Defender Position.

d. Pre-Interview License and Certification Verification. All Candidates will be required to produce required documents (e.g. current driver's license, diploma, school transcript, certifications, etc.) listed on the Notice of Job Opportunity prior to the commencement of the interview. Copies of such documents will be included in the Interview File. Candidates who do not produce the required documents prior to the commencement of their interview will be considered ineligible for further consideration.

12. Interview of Candidates. The following will apply to the interview of Candidates:

a. Notification. At least 48 hours prior to the date of every interview the Compliance Officer and the Compliance Administrator, while acting, will be notified in writing of the time and place of each interview. The Compliance Officer and the Compliance Administrator, while acting, may be present to monitor any interview.

b. Conducting the Interview. The Interview Panel shall interview each Candidate on the Interview List in accordance with the following:

1. The Chief of BHR or his or her designee will facilitate the conducting of interviews by informing the Interview Panel of the interview process, providing the Interview Panel with the Job Description and copies of the applications and resumes of all Candidates on the Interview List, requesting that any applicable forms be completed, and picking up completed forms after the interviews. The Chief of BHR or his or her designee may be present while the interviews are being conducted.

2. In the event a Conflict of Interest is discovered prior to or during any interview, the panel member shall notify the Chief of BHR, the Compliance Officer and the other members of the panel prior to the interview or as soon as possible that a Conflict of Interest exists and that a substitution is needed. The panel member will then leave the interview room and will not participate in the interview or the selection process for that Candidate. The Public Defender or his or her designee will appoint a substitute panel member to replace the panel member. If no substitute is available, the interview will be rescheduled. The substitute panel member shall assume the panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If a Conflict of Interest is discovered after an interview, the Compliance Officer must be notified and he or she will make the determination of whether a second interview panel must be convened.

3. All Candidates interviewed for the same Assistant Public Defender Position will be asked to respond to at least five of the same interview questions. Additional and follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the

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Assistant Public Defender Position. All responses provided by a Candidate, including responses to follow-up questions, are to be considered by Interviewers.

4. The interview shall include questions that establish, at a minimum, the Candidate's: (i) willingness and ability to do the job; (ii) availability for work hours and willingness to work at the location where the job is located; (iii) prior job performance; (iv) knowledge and understanding of the Assistant Public Defender Position; (v) experience; (vi) relative qualifications for the Assistant Public Defender Position as compared with other Candidates; and (vii) overall credibility. The questions asked will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. None of the above factors will be considered determinative or mandatory, and interviewers will determine what, if any, weight is to be given to each factor.

c. Interviewer Evaluation Form. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview. The interviewer will rate each Candidate in each area contained on the Interviewer Evaluation Form in accordance with the scoring chart on the Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers will submit the completed Interviewer Evaluation Forms to BHR.

12. Candidate Selection Procedure. Following completion of interviews with all Candidates, the interview panel shall select Candidates for employment in accordance with the following:

a. Interview Panel Meeting. Within ten business days following the last Candidate interview, the interviewers will conduct a meeting at which all of the interviewers are present and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. The Interview Panel will discuss the Candidates interviewed and identify Candidates they recommend for hire and rank them on the Interview Panel Ranking Form. The Chief of BHR or his or her designee will be available to the Interview Panel to provide advice and expertise. The Interview Panel will select a member to take notes at the Interview Panel meeting. The notes will indicate the objective basis or bases on which any Candidate was recommended for hire. The notes will be included in the Interview File. The Chief of BHR or his or her designee, the Compliance Officer and the Compliance Administrator, while acting, may also attend Interview Panel meetings.

b. Second Interview. After the Interview Panel meeting, the Public Defender or his or her designee may conduct second interviews of any or all of the Candidates previously interviewed and included on the Interview Panel Ranking Form. Prior to conducting any second interviews, the Public Defender or his or her designee may appoint a Supervisor to participate in the second interviews. The Supervisor appointed for the second interviews must participate in all second interviews with the Public Defender or his or her designee. The Public Defender or his or her designee and Supervisor, if appointed, shall complete Interviewer Evaluation Forms for each Candidate given a second round interview and an Interview Panel Ranking Form.



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c. Final Ranked Candidate List and Final Selection. Following the Public Defender or his or her designee's review of the Interview Panel notes, Interviewer Evaluation Forms, Interview Panel Ranking Form and Interview File, as well as any second interview Interview Evaluation Forms and Interview Ranking Form, the Public Defender or his or her designee shall create a Final Ranked Candidate List, and select the successful Candidate(s) for the Assistant Public Defender Position(s). The Public Defender or his or her designee may choose to reject some or all of the Interview Panel's recommendations in creating the Final Ranked Candidate List.

d. Future Vacancies. The Public Defender or his or her designee may select Candidates from the Final Ranked Candidate List for subsequent vacancies for the same Position for a period of 12 months from the date the Final Ranked Candidate List was created.

e. Justification to Hire. In accordance with Section V.Q.5, the Public Defender or his or her designee shall prepare the Justification to Hire which shall include a justification for selecting the successful Candidate and detailing how the selected Candidate's experience meets the criteria for the Assistant Public Defender Position. The Justification to Hire will be made part of the Interview File and will be sent to the Chief of BHR or his or her designee along with the Interview Panel meeting notes and recommendations, the Interview Evaluation Forms, and any other documentation regarding the selection of the Candidate. Copies of such documentation shall also be may available to the Compliance Officer and the Compliance Administrator, while acting.

13. Final Screening. BHR will conduct a final screening of the Candidate selected for each open Assistant Public Defender Position in accordance with Section V.R.

14. Offers of Employment. The Public Defender will extend employment offers in accordance with Section V.S and shall provide a copy of the Offer of Employment letter to the Chief of BHR.

15. Post-Offer Testing. Post-Offer Testing will be conducted following acceptance of an offer of employment and preferably prior to the commencement of employment in accordance with Section V.T.

### VIII. *ACTIVELY RECRUITED POSITION HIRING PROCESS*

The County may use the following procedure for hiring individuals to fill Actively Recruited Positions. If the County elects not to follow these procedures, the County shall follow the procedures in Section V.

A. No Political Reasons or Factors. No Employment Action covering an Actively Recruited Position may be based on any Political Reasons or Factors.

B. Recruiting Consultant. The Chief of BHR or the Hiring Department (with the approval of the Chief of BHR) may retain a Recruiting Consultant pursuant to the County's Procurement Code for purposes of recruiting Applicants and Candidates for Actively Recruited Positions in accordance with the following:



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1. Certification. All Recruiting Consultants retained to recruit Applicants for Actively Recruited Positions and any individuals retained by such Recruiting Consultants who perform activities on behalf of the County will be required to execute a NPCC as described in Section III.K. Additionally, the contracts between such Recruiting Consultants and the County shall contain a provision that prohibits participation in Unlawful Political Discrimination and requires the reporting of Political Contacts.

2. Recruiting Consultant Recruiting and Screening Activities. Recruiting Consultants retained to recruit Applicants for Actively Recruited Positions may (a) assist the County in developing a current Job Description as described in Section V.B.2; (b) locate and identify potential Applicants for Actively Recruited Positions, provided all such potential Applicants shall be required to complete the ATAS application process described in Section V.F; (c) participate in recruitment events as described in Section V.A.3; (d) conduct the validation process and prepare the Validated Eligibility List as described in Section V.K, provided the Recruiting Consultant provides the Chief of BHR, the Compliance Officer and the Compliance Administrator, while acting, with a written report as described Section V.L; and (e) verify licenses and certifications as described in Section V.N.

3. Procedures Not Performed by Recruiting Consultant. The County shall comply with all procedures described in Section VIII.A.2 that are not performed by a Recruiting Consultant or in the event a Recruiting Consultant is not retained.

C. Requests to Hire. All hiring for Actively Recruited Positions will be initiated by submission of a RTH in accordance with Section V.B.

D. Preparation of Notice of Job Opportunity. The Content Librarian will prepare the Notice of Job Opportunity in accordance with Section V.D.

E. Posting of Notice of Job Opportunity. All Notices of Job Opportunity will be posted in compliance with Section V.E.

F. Submission of Applications. All applications must be submitted to BHR through ATAS. Any individual who does not complete the online application for the Actively Recruited Position through ATAS will not be considered eligible for the Actively Recruited Position, and his or her name will not be included on the Preliminary Eligibility List.

G. Application Screening. Each Applicant will be required to answer Disqualifying Questions and any applicable Prescreening Questions on ATAS. Applicants whose answers indicate they do not have all of the Minimum Qualifications will not be considered eligible for the Actively Recruited Position. The same Disqualifying Questions and Prescreening Questions will be asked of all Applicants applying for the same Actively Recruited Position.

H. Creation of Preliminary Eligibility List. After the final posting closing date, BHR will create a Preliminary Eligibility List for each Actively Recruited Position posted containing the names of all Applicants who complete the application process on ATAS and whose responses indicate they possess all Minimum Qualifications for the Actively Recruited Position. BHR will validate the information contained on the online applications and resumes in accordance with

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Section V.J. All Applicants on the Preliminary Eligibility List shall be vetted and the population of Applicants on the Preliminary Eligibility List will not be reduced through any random selection of a small number of Applicants. The Preliminary and Validated Eligibility Lists, shall be valid and may be used for purposes of filling vacancies for the posted Actively Recruited Position for a period of 12 months from the date created.

I. Appointment of an Application Review Panel. The Department Head shall appoint an Application Review Panel consisting of the Department Head or his or her designee and at least two other Supervisors who have received interview training pursuant to Section IV.G. Supervisors may come from outside the Hiring Department.

J. Creation of Interview List. Upon receipt of the Validated Eligibility List and Job Description from BHR, the Application Review Panel shall review the applications and resumes of all Candidates listed on the Validated Eligibility List and select at least three (3) Candidates to put on the Interview List based on the extent to which each Candidate meets the stated Preferred Qualifications, if any, and has the work-related experience, education, knowledge, skills and abilities needed for the Actively Recruited Position. If fewer than three Candidates are on the Validated Eligibility List, the Application Review Panel may request BHR to either repost the Actively Recruited Position or the Application Review Panel may place the Candidate(s) on the Interview List. The Compliance Officer and Compliance Administrator, while acting, will be notified at least 48-hours in advance of the Application Review Panel's review of applications and selection of Candidates for the Interview List.

K. Interview Preparation.

1. Appointment of an Interview Panel. The Department Head shall appoint an Interview Panel consisting of the Department Head or his or her designee and at least two Supervisors who have received interview training pursuant to Section IV.G. The Supervisors may come from outside the Hiring Department. The Department Head may choose the same panelists for the Interview Panel as he or she chose for the Application Review Panel.

2. Interview Scheduling. The Department Head or his or her designee will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the Chief of BHR or his or her designee, the Compliance Officer, and the Compliance Administrator, while acting, at least 48 hours in advance of the date of the first interview.

3. Interview Questions. The Department Head will create a minimum of 10 interview questions relating to each Actively Recruited Position and send the interview questions to the Chief of BHR or his or her designee, who will review and amend or approve the questions. The Department Head shall select five (5) or more of the BHR approved questions to be used for interviews for that posting. The Public Defender of Cook County will not be required to submit the interview questions to the Chief of BHR for review and approval but will provide written notice of the 10 interview questions created and the five (5) selected to the Compliance Officer and the Compliance Administrator, while acting, at least five (5) business days in advance of conducting interviews for a posting. All interview questions shall be considered and treated as confidential. The questions must be based on the specific job duties of the Actively Recruited Position and designed to assess the Candidate's job-related qualifications, skills and suitability

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for employment. The interview questions developed for a particular Actively Recruited Position may be used for subsequent vacancies for that Actively Recruited Position, provided appropriate precautions are taken to prevent advance dissemination of answers and provided the questions remain related to the duties of the Actively Recruited Position.

L. Pre-Interview License and Certification Verification. All Candidates will be required to produce required documents (e.g. current driver's license, diploma, school transcript, certifications, etc.) listed on the Notice of Job Opportunity prior to the commencement of the interview. Copies of such documents will be included in the Interview File. Candidates who do not produce the required documents prior to the commencement of their interview will be considered ineligible for further consideration.

M. Interview of Candidates. The following will apply to the interview of Candidates:

1. Notification. At least 48 hours prior to the date of every interview the Compliance Officer and the Compliance Administrator, while acting, will be notified in writing of the time and place of each interview. The Compliance Officer and the Compliance Administrator, while acting, may be present to monitor any interview.

2. Conducting the Interview. The Interview Panel shall interview each Candidate on the Interview List in accordance with the following:

a. The Chief of BHR or his or her designee will facilitate the conducting of interviews by informing the Interview Panel of the interview process, providing the Interview Panel with the Job Description and copies of the applications and resumes of all Candidates on the Interview List, requesting that any applicable forms be completed, and picking up completed forms after the interviews. The Chief of BHR or his or her designee may be present while interviews are being conducted.

b. In the event a Conflict of Interest is discovered prior to or during any interview, the panel member shall notify the Chief of BHR, the Compliance Officer and the other members of the panel prior to the interview or as soon as possible that a Conflict of Interest exists and that a substitution is needed. The panel member will then leave the interview room and will not participate in the interview or the selection process for that Candidate. The Department Head or his or her designee will appoint a substitute panel member to replace the panel member. If no substitute is available, the interview will be rescheduled. The substitute panel member shall assume the panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If a Conflict of Interest is discovered after an interview, the Compliance Officer must be notified and he or she will make the determination of whether a second interview panel must be convened.

c. All Candidates interviewed for the same Actively Recruited Position will be asked to respond to at least five of the same pre-approved interview questions. Additional and follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the Actively

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Recruited Position. All responses provided by a Candidate, including responses to follow-up questions, are to be considered by Interviewers.

d. The interview shall include questions that establish, at a minimum, the Candidate's: (i) willingness and ability to do the job; (ii) availability for work hours and willingness to work at the location where the job is located; (iii) prior job performance; (iv) knowledge and understanding of the Actively Recruited Position; (v) experience; (vi) relative qualifications for the Actively Recruited Position as compared with other Candidates; and (vii) overall credibility. The questions asked will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. None of the above factors will be considered determinative or mandatory, and interviewers will determine what, if any, weight is to be given to each factor.

3. Interviewer Evaluation Form. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview. The interviewer will rate each Candidate in each area contained on the Interviewer Evaluation Form in accordance with the scoring chart on the Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers will submit the completed Interviewer Evaluation Forms to BHR.

N. Candidate Selection Procedure. Following completion of interviews with all Candidates, the interview panel shall select Candidates for employment in accordance with the following:

1. Interview Panel Meeting. Within three business days following the last Candidate interview, the interviewers will conduct a meeting at which all of the interviewers are present and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. The Interview Panel will discuss the Candidates interviewed and identify Candidates they recommend for hire and rank them on the Interview Panel Ranking Form. The Chief of BHR or his or her designee will be available to the Interview Panel to provide advice and expertise. The Interview Panel will select a member to take notes at the Interview Panel meeting. The notes will indicate the objective basis or bases on which any Candidate was recommended for hire. The notes will be included in the Interview File. The Chief of BHR or his or her designee, the Compliance Officer and the Compliance Administrator, while acting, may also attend Interview Panel meetings.

2. Second Interview. After the Interview Panel meeting, the Department Head may conduct second interviews of any or all of the Candidates previously interviewed and included on the Interview Panel Ranking Form. Prior to conducting any second interviews, the Department Head may appoint a Supervisor to participate in the second interviews. The Supervisor appointed for the second interviews must participate in all second interviews with the Department Head. The Department Head and Supervisor, if appointed, shall complete Interviewer Evaluation Forms for each Candidate given a second round interview and an Interview Panel Ranking Form.

3. Final Ranked Candidate List and Final Selection. Following the Department Head's review of the Interview Panel notes, Interviewer Evaluation Forms, Interview Panel

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Ranking Form and Interview File, as well as any second interview Interview Evaluation Forms and Interview Ranking Form, the Department Head shall create a Final Ranked Candidate List, and select the successful Candidate(s) for the Actively Recruited Position(s). The Department Head may choose to reject some or all of the Interview Panel's recommendations in creating the Final Ranked Candidate List.

4. Future Vacancies. The Department Head may select Candidates from the Final Ranked Candidate List for subsequent vacancies for the same Position for a period of 12 months from the date the Final Ranked Candidate List was created.

5. Justification to Hire. In accordance with Section V.Q.5, the Department Head or his or her designee shall prepare the Justification to Hire which shall include a justification for selecting the successful Candidate and detailing how the selected Candidate's experience meets the criteria for the Actively Recruited Position. The Justification to Hire will be made part of the Interview File and will be sent to the Chief of BHR or his or her designee along with the Interview Panel meeting notes and recommendations, the Interview Evaluation Forms, and any other documentation regarding the selection of the Candidate. Copies of such documentation shall also be may available to the Compliance Officer and the Compliance Administrator, while acting.

O. Final Screening. BHR will conduct a final screening of the Candidate selected for each open Actively Recruited Position in accordance with Section V.R.

P. Offers of Employment. BHR will extend employment offers in accordance with Section V.S. Offers of Employment for Candidates for Actively Recruited Positions Under the Jurisdiction of the Public Defender shall be in accordance with Section V.S; however the Public Defender shall provide the Offer of Employment letter and copy the Chief of BHR.

Q. Post-Offer Testing. Post-Offer Testing will be conducted following acceptance of an offer of employment and preferably prior to the commencement of employment in accordance with Section V.T.

R. Changes to and Posting of Actively Recruited Positions Lists. Changes to the Actively Recruited Positions Under the Jurisdiction of the President List shall be made using the same procedures provided for in Section XII.C governing changes to Exempt Positions. Changes to the Actively Recruited Positions Under the Jurisdiction of the Public Defender List shall be made using the same procedures provided for in Section VII.J.10 governing changes to Public Defender Direct Appointments.

S. Union Membership. Except for Actively Recruited Positions requiring an M.D., D.O. or J.D., if an Actively Recruited Position becomes covered under a CBA, the Actively Recruited Position will be automatically removed from the Actively Recruited Positions List, and any vacancy for such Actively Recruited Position will be subject to Section V.

## IX. VOLUNTEERS

A. Volunteers in Offices under the Jurisdiction of the President (Reserved)



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B. Volunteers in the Office of the Public Defender. The Public Defender's Office accepts individuals to serve as Volunteers in the Office of the Public Defender. The following principles apply to general selection of Volunteers in the Office of the Public Defender.

1. Notice and Process: The Office of the Public Defender will post Volunteer opportunities on ATAS; said postings may be posted directly by the Office of the Public Defender or the Bureau of Human Resources at the Request of the Office of the Public Defender. Applicants for Volunteer opportunities at the Public Defender's Office must complete and submit an application on ATAS and upload to their ATAS application: (1) a resume, and (2) a high school, college or law school transcript (official or unofficial), a letter of academic good-standing at an accredited high school, college, university or law school, or evidence of graduation from an accredited law school.

2. Application Eligibility Criteria: Individuals eligible to serve as Volunteers in the Office of the Public Defender must be either: (1) students, age 17 and older, currently enrolled in a high school, accredited two or four year college, university or law school, or (2) individuals who have graduated from law school but who are not members of the Illinois bar (including retired or voluntarily inactive members of the bar).

3. Verification of Application, Eligibility and Selection: Applicants' eligibility will be verified and documented using ATAS. All eligible Volunteers will be accepted as a Volunteer unless the Office of the Public Defender determines that the individual (1) has a conflict of interest or (2) has volunteered in the past and has been determined to have been unproductive, disruptive, or otherwise unsuitable based on his or her performance as a former Volunteer pursuant to Section B(3)(b) below.

a. Conflict of Interest. An Applicant will be disqualified for having a conflict of interest if that Applicant is applying to volunteer during a period of time when that Applicant will be concurrently working or volunteering for any State's Attorney's Office, any law enforcement office, or any criminal court judge. If that Applicant had worked or volunteered for any of these entities within the five year period preceding his or her application, that Applicant will not be disqualified for having a conflict of interest; provided that the Public Defender's Office is able to place that Volunteer in an office where that Volunteer will not be working on any matter related to his or her previous employment or volunteer work for such entities.

b. Disqualifying Past Work Performance. If a Volunteer's work performance was unproductive, disruptive, or otherwise unsatisfactory such that the Public Defender would not accept the Volunteer for a future Volunteer opportunity, the Public Defender's Office will provide a written explanation supporting that determination. The Public Defender's Office will provide a copy of that document to the Compliance Officer and Compliance Administrator, while acting, within two (2) weeks of the end of the Volunteer's assignment with the Public Defender's Office.

4. Assignment of Volunteers. All Applicants deemed eligible pursuant to this Section 2 will be given an orientation interview to discuss the Applicant's interest, assignment, potential duties, time commitment, dress code, class credit (if any), and any questions the



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Applicant may have. If the Applicant accepts an offer to act as a Volunteer, the Administrative Office of the Public Defender's Office will notify the Applicant of the assignment location and provide the name of the division chief to which the Volunteer should report. Assignments will be available based on the needs of the office and will be filled, if feasible, according to the preferences of the Applicant, if any. All Volunteers must execute a Volunteer Agreement, Client Relationship Form and 711 License Forms, if applicable, prior to beginning as a Volunteer with the Public Defender's Office. If, while assigned a Volunteer position, a Volunteer engages in conduct which is unproductive, disruptive or otherwise unsatisfactory, his or her volunteer period may be immediately discontinued.

5. Records and Documentation. The Compliance Officer and Compliance Administrator, while acting, will have access to ATAS and a verified eligibility list. The Compliance Officer and Compliance Administrator, while acting, will also be provided with documentation verifying (1) the names of all individuals submitting a completed application for a Volunteer opportunity, (2) the Public Defender's Office's determination of eligibility or ineligibility of each Applicant accepted as a Volunteer, (3) the location of each Volunteer's assignment, and (4) the specific basis for determining ineligibility of any Applicant, including whether that determination was due to a conflict or past unacceptable conduct as a Volunteer. The Compliance Officer and Compliance Administrator, while acting, shall be authorized to audit the Public Defender's Volunteer Program including all records and documentation regarding Volunteers, at any time.

6. Experience Gained as a Volunteer. Should a Volunteer later apply for a paid Position at the Public Defender's Office, the Public Defender's Office may consider that former Volunteer's experience gained as a Volunteer when evaluating between otherwise qualified candidates, as long as the process outlined in this section was followed for that Volunteer.

## X. *EXECUTIVE ASSISTANT HIRING PROCESS*

In order to assist certain members of the County's senior management team in retaining direct-report administrative assistants who possess the experience, skills and competence needed by them to perform their jobs effectively, the County may use the following procedure for hiring individuals to fill Executive Assistant Positions.

A. No Political Reasons or Factors. No Employment Action covering an Executive Assistant may be based on any Political Reasons or Factors.

B. Applicability of Specific Portions of the General Hiring Process. All provisions of Section V shall apply to the recruiting, screening, interviewing and hiring of Executive Assistants except as specifically provided in this Section X.

C. Submission of RTH. The Executive Assistant Supervisor must submit a RTH to the Chief of BHR or his/her designee. The RTH must be signed by the Executive Assistant Supervisor. If the Executive Assistant Supervisor is not a Department Head, the Department Head of the Department in which the Executive Assistant Supervisor works must also sign the

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RTH. The Executive Assistant Supervisor or Department Head must receive written approval to fill the Position from the Budget Director and Chief of BHR or their designees. The Chief of BHR or his/her designee shall provide a copy of the RTH to the Compliance Officer and the CA, while acting, pursuant to Section V.B.1.

D. Identification and Selection of Candidate. The Executive Assistant Supervisor shall send a written notification with the RTH to the Chief of BHR or his/her designee. The Chief of BHR or his/her designee shall submit a copy of the written notification with the RTH to the Compliance Officer and the Compliance Administrator, while acting. Such notification shall include: (1) the name of the individual he or she has selected to perform services as his or her Executive Assistant; (2) a description of the basis on which the Executive Assistant Supervisor has selected the individual (e.g., past knowledge of his or her employment history, past working relationship, etc.); (3) copies of any licenses or certification required; (4) a NPCC signed by the Executive Assistant Supervisor; and (5) if the Executive Assistant Supervisor is not a Department Head, a NPCC signed by the Department Head of the Department in which the Executive Assistant Supervisor works.

E. Hiring Process. The following hiring process will apply for Executive Assistant Positions in order to document that all persons employed in Executive Assistant Positions possess the Minimum Qualifications for an Executive Assistant Position in which they are being placed:

1. Job Description. The Chief of BHR or his or her designee and the Executive Assistant Supervisor shall create a current and accurate Job Description for each Executive Assistant Position as described in Section V.B.2. Each such Job Description shall meet the definition of Executive Assistant contained in this Employment Plan and be approved by the Chief of BHR. A copy of the Job Description shall be provided to the Compliance Officer.

2. Entry of Job Description on ATAS. When feasible, the County, shall enter the Executive Assistant Job Description on ATAS and the Content Librarian shall create a Notice of Job Opportunity for all Executive Assistant Positions on ATAS as described in Sections V.D.2 and 3; entry on ATAS of the Position does not require public posting.

3. Submission, Screening and Verification of Application. The individual selected by the Executive Assistant Supervisor to fill the Executive Assistant Position shall complete an employment application in paper format or, when feasible, an application on ATAS. The Chief of BHR or his or her designee shall validate the application as described in Sections V.J and V.N, and verify that the individual selected by the Executive Assistant Supervisor: (a) possesses the Minimum Qualifications and, if applicable, Preferred Qualifications of the Executive Assistant Position; (b) has provided any licenses and certifications required; and (c) if he or she was or is an employee of the County, he or she was not terminated for cause by any County employer during the previous five (5) years. If the Chief of BHR or his or her designee concludes that the selected individual does not meet any one of the three (3) criteria, the Chief of BHR shall advise the Executive Assistant Supervisor that the selected individual is not eligible for the Executive Assistant Position, and he or she will not be offered employment as an Executive Assistant. If the Chief of BHR or his or her designee determines that the individual selected by the Executive Assistant Supervisor is eligible, he or she shall record such

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determination on ATAS or in the employment file, execute a NPCC and submit a copy of all information and the determination to the Compliance Officer and the Compliance Administrator, while acting.

F. Hiring. Upon completion of the verification and testing described in Section X.E, BHR will take steps to complete the hiring process and send written notice (including a copy of all the required documents) to the Compliance Officer and the Compliance Administrator, while acting.

#### XI. *INTERN/EXTERN HIRING PROCESS*

Cook County will follow the General Hiring process for all Internships/Externships regardless of whether the Intern/Extern will receive compensation (monetary or otherwise) from Cook County for his/her employment except when the Intern/Extern is provided directly by an academic institution or other non-political organization with a bona fide internship program and Cook County has no discretion or input in recommending or selecting the Intern/Extern; in which case, Cook County will follow the placement procedures of the academic institution or other non-political organization with a bona fide internship program. In situations where Cook County receives an Intern/Extern from an academic institution or other non-political organization with a bona fide internship program prior to the hiring, Cook County will obtain an NPCC from the academic institution or other non-political organization with a bona fide internship program. Cook County shall not require as a basis for employment that any Applicant has, at any point, performed an Internship/Externship with Cook County.

#### XII. *EXEMPT POSITION HIRING PROCESS*

A. Hiring Process. In order to document that all persons employed in Exempt Positions possess the Minimum Qualifications for the Exempt Position in which they are being placed, the following process will apply to the hiring of all individuals in Exempt Positions:

1. Creation of Job Description. The Chief of BHR shall create a current and accurate Job Description containing Minimum Qualifications for each Exempt Position as described in Section V.B.2, and BHR shall post all Exempt Job Descriptions on the County's website.

2. Entry of Job Description on ATAS. When feasible, the County shall enter the Exempt Job Descriptions on ATAS, and the Content Librarian shall create a Notice of Job Opportunity for all Exempt Positions on ATAS as described in Sections V.D.2 and 3 and as approved by the Chief of BHR; entry on ATAS of the Exempt Position does not require public posting.

3. Submission and Screening of Application. The individual selected to fill the Exempt Position shall complete an employment application on ATAS when feasible, but until then, in paper form. The Chief of BHR shall review the application and confirm that the individual possesses the Minimum Qualifications and, if applicable, any licenses or certifications required for the Exempt Position. If the individual does not possess the Minimum Qualifications or any applicable required license or certification, he or she shall not be placed in the Exempt Position.

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4. Interim Process. Until it is feasible for the County to enter Exempt Positions on ATAS, the County will post Job Descriptions for all of its Exempt Positions on the County's website within 90 days of the County filing this Employment Plan with the court in the Shakman Case. After screening pursuant to Section XII.A.3, the Chief of BHR shall certify in writing that any individual selected to fill an Exempt Position meets the Minimum Qualifications and, if applicable, possesses any licenses or certifications required for the Exempt Position. Such certification shall be completed within five (5) business days of an individual becoming a County employee in an Exempt Position and a copy of such certification shall be provided to the Compliance Officer, the OIIG, and the Compliance Administrator, while acting.

5. Confirmation of Exempt Position. Prior to the hiring of an Exempt Applicant, the Chief of BHR shall obtain written confirmation from the Compliance Officer that the Position Identification Number and the Position Title for the Exempt Position are contained on the Exempt List.

B. No Other Specific Selection Process Required. Except as specifically provided in this Section XII, the President and BHR are not required to follow any other selection process in filling an Exempt Position and may consider any factor in making his or her and its decision, so long as it is not an illegal factor.

C. Changes to Exempt List. The President may from time to time change the Exempt List by adding Exempt Positions, deleting Exempt Positions, or amending the titles of Exempt Positions contained on the Exempt List. Such changes will be made as follows:

1. Request to Change by President. The President or his or her designee shall send written notice of any proposed change to the Exempt List, along with supporting documentation, including but not limited to (a) the identity, Job Code and Position Identification Number of the Exempt Position (including a copy of the current Job Description) and (b) a description of the basis on which the change is proposed to OIIG and the Compliance Officer. Until the effective date of a court order terminating the SRO, a copy will also be sent to Plaintiffs' Counsel and the Compliance Administrator, while acting. OIIG shall provide a written approval or objection to the proposed change within 10 days of receipt. If OIIG provides an objection to the change, the President or his or her designee and OIIG will then meet to discuss the matter. If OIIG does not rescind his or her objection following such discussion, the proposed change will not be implemented unless otherwise approved by a court of competent jurisdiction.

2. Request to Change by OIIG. The OIIG shall send written notice of any proposed change to the Exempt List due to the position description not meeting proper Exempt designation or if the person in the position is not consistently performing the duties of the Exempt Position in a meaningful manner as provided in the Exempt Position description. The OIIG shall include in his request supporting documentation, which shall include but not be limited to (a) the identity, Job Code and Position Identification Number of the Exempt Position (including a copy of the current Job Description) and (b) a description of the basis on which the change is proposed to the President and the Compliance Officer. The President or her designee shall review the request by the OIIG and shall provide a written approval or objection to the proposed change within 10 days of receipt. If the President or the President's designee objects to the change, the parties shall meet to discuss the objection and the President shall be permitted to seek modifications to the

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Exempt Job Description pursuant to Section V.B.2 and Section XII.C. and/or ensure that the person in the Exempt Position is performing the duties as provided in the Exempt Job Description. If the President does not rescind his or her objection following such discussion, the proposed change by the OIIG will not be implemented unless the OIIG files an action in a court of competent jurisdiction challenging the exempt status of the Position. The County bears the burden of demonstrating that party affiliation is an appropriate requirement for the effective performance of the Position. Both the OIIG's proposal and the President's objection shall be publicly posted on the Bureau of Human Resources' website.

3. Notice to Plaintiffs' Counsel. Until the effective date of a court order terminating the SRO, if OIIG approves the proposed change, the President shall send confirmation of OIIG approval to the Plaintiffs' Counsel. Proposed changes to the Exempt List will not be implemented until after five (5) business days of providing confirmation of OIIG approval to the Plaintiffs' Counsel. If Plaintiffs' Counsel sends a written objection of the proposed change to the Exempt List to the Chief of BHR, President and Compliance Officer within five (5) days of the County providing notice of OIIG's approval of the Exempt change, the Position will not be placed on the Exempt List and the matter shall be referred to the Compliance Administrator, while acting, for a recommendation and then to the court having jurisdiction in the Shakman Case for final resolution. Upon objection by the Plaintiffs' Counsel, the Exempt List will not be changed until final resolution by the court.

D. Posting of Exempt List. The County will post the then-current Exempt List at BHR Headquarters and on the County website (on which the County's Annual Appropriation Ordinance is accessible). The postings will include: (i) the name of the Department to which the Exempt Position is assigned; (ii) the job title and Position Identification Number; (iii) the name of the incumbent; and (iv) the grade level. A copy of the County's then current year's Annual Appropriation Ordinance will also be posted on the County website. The County will repost and update the Exempt List within 10 days of the occurrence of any applicable change made pursuant to this Section XII.C.

E. Removal. A County employee holding an Exempt Position or who was hired in an Exempt Position pursuant to Section XII but whose position is no longer on the Exempt List pursuant Section XII.C may be terminated or subject to any action covered by this Plan for any reason or without reason, so long as it is not an illegal reason.

F. Maintenance of Exempt Position Status. Any County employee who is appointed to an Exempt Position shall continue to be considered exempt, if the Exempt Position is removed from the Exempt List or if subsequently placed into a Non-Exempt Position outside the General Hiring Process. ,

### XIII. MISCELLANEOUS POLICIES

A. Reclassifications/Promotions. Reclassifications, including Promotions, of Employees shall be decided based on the operational and business needs and goals of the County in accordance with the Personnel Rules, any applicable CBA and the Policy Manual. Reclassifications, including Promotions, of employees will not be based on Political Reasons or Factors.



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B. Temporary Assignments. A Temporary Assignment may not exceed 120 days in a calendar year. Changes in Assignments and work locations of employees will not be made based on Political Reasons or Factors.

C. Transfers. Transfers of Employees shall be decided based on the operational and business needs and goals of the County in accordance with the Personnel Rules, any applicable CBA and the Policy Manual. Transfers of employees will not be based on Political Reasons or Factors.

D. Training. Training of employees shall be conducted in accordance with the Personnel Rules, any applicable CBA and the Policy Manual, and no training will be provided or denied to employees based on Political Reasons or Factors.

E. Compensatory Time and Overtime. Compensatory Time and Overtime will be awarded and earned in accordance with the Personnel Rules, any applicable CBA, the Policy Manual and applicable law. Compensatory Time and Overtime for employees will not be awarded or withheld based on Political Reasons or Factors.

F. Discipline. Discipline will be administered in accordance with the Personnel Rules, any applicable CBA and the Policy Manual. Discipline of employees will not be based on any Political Reasons or Factors.

G. Desk Audits. Desk Audits will be performed in accordance with the Personnel Rules, any applicable CBA and the Policy Manual. Desk audits of employees will be conducted in a uniform manner and will not be based on Political Reasons or Factors.

H. Demotions. Demotions will be given in accordance with the Personnel Rules, any applicable CBA, the Policy Manual and applicable law. Demotions of Employees will not be based on Political Reasons or Factors.

I. Layoffs/Recall. Layoffs and Recall of Employees shall be conducted in accordance with the Personnel Rules, any applicable CBA, the Policy Manual and applicable law. Layoffs and Recall of Employees will not be based on Political Reasons or Factors.

J. Third Party Providers. Any third party vendor selected for the purposes described within this Employment Plan shall be required by contract to follow all applicable laws, rules, and regulations applicable to services or products provided by such third party vendor to the County.

#### XIV. *EMPLOYMENT PLAN AMENDMENTS*

The Chief of BHR may from time to time amend the Employment Plan following written notice of any proposed changes to the Employment Plan to the Compliance Officer and OIG. The OIG and Compliance Officer shall be given an opportunity to review and comment on the proposed amendment prior to implementation. If the Compliance Officer or OIG objects to the change, they must do so in writing within five (5) business days and submit the same to the Chief of BHR. The President or his or her designee, the Chief of BHR, the Compliance Officer and OIG will then meet to discuss the matter. The decision of the President on any proposed change to the Employment Plan will be final. Proposed changes to the Employment Plan will not be



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implemented until after 10 business days from either the date the Compliance Officer and OIIG were provided notice of the proposed changes or the date the President makes his or her decision resolving any objections to the proposed changes, whichever is later.

Until the effective date of a court order terminating the SRO, after following the procedures described above, the Chief of BHR will send any proposed changes to the Employment Plan to the Compliance Administrator and Plaintiffs' Counsel. If the Compliance Administrator or Plaintiffs' Counsel sends a written objection to the proposed change to the Employment Plan to the Chief of BHR within five (5) business days of the County providing notice of the change, the County, the Compliance Administrator and Plaintiffs' Counsel will meet to discuss the proposed change in a good faith effort to reach agreement. If the County and Plaintiffs' Counsel are unable to reach agreement, the County may file a motion to amend the Employment Plan with the court in the Shakman case. Until the effective date of a court order terminating the SRO, all changes to the Employment Plan must be filed and approved by the court in the Shakman case prior to being implemented by the County.

#### XV. CONCLUSION

The County is committed to continuing its practices of being an equal opportunity employer, hiring qualified candidates and the prohibition of Unlawful Political Discrimination with respect to all Employment Actions. This Employment Plan is intended to create transparent and workable new processes and procedures that meet the business needs of the County and comply with legal requirements. It is not possible to anticipate and address every situation that may give rise to Unlawful Political Contact or Unlawful Political Discrimination, and the County is prepared to comply with the spirit of the law to meet those situations in the future.

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