

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

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

**AGREED MOTION FOR APPROVAL OF THE AMENDED
COOK COUNTY ASSESSOR'S OFFICE'S EMPLOYMENT PLAN**

Plaintiffs, PAUL M. LURIE, et al. ("Plaintiffs"), and Defendant, COOK COUNTY ASSESSOR (the "Assessor"), (collectively, the "Parties") by their respective attorneys, pursuant to the Agreed Order for the Cook County Assessor [Dkt. #3007], respectfully ask the Court to enter an order approving amendments to the Cook County Assessor's Office's Employment Plan. The proposed amended Cook County Assessor's Office's Employment Plan is attached as Exhibit 1 to the AGREED ORDER APPROVING THE AMENDED COOK COUNTY ASSESSOR'S OFFICE'S EMPLOYMENT PLAN.

WHEREFORE, for the foregoing reasons, the Parties respectfully ask this Court to enter the attached AGREED ORDER APPROVING THE AMENDED COOK COUNTY ASSESSOR'S OFFICE'S EMPLOYMENT PLAN attached as Exhibit A.

PAUL M. LURIE, et al.: By: <u>/s/Brian I. Hays</u> Roger R. Fross Brian I. Hays LOCKE LORD, LLP 111 S. Wacker Dr. Chicago, IL 60606 312.443.1707	COOK COUNTY ASSESSOR'S OFFICE By: <u>/s/ Joseph M. Gagliardo</u> Joseph M. Gagliardo Michael A. Kuczwara, Jr. Special Assistant Cook County State's Attorneys Laner Muchin Ltd. 515 North State Street, Suite 2800 Chicago, IL 60654 312/467-9800
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CERTIFICATE OF SERVICE

I, Brian I. Hays, hereby certify that I have caused a true and correct copy of the foregoing to be served via E-Filing on May 7, 2019.

/s/ Brian I. Hays

One of the Attorneys for Defendants

EXHIBIT A

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ILLINOIS
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MICHAEL L. SHAKMAN, PAUL M.)	
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)	No. 69 C 2145
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v.)	
)	Hon. Sidney Schenkier
COOK COUNTY ASSESSOR, et al.,)	
)	
Defendants.)	

**AGREED ORDER APPROVING THE AMENDED
COOK COUNTY ASSESSOR'S OFFICE'S EMPLOYMENT PLAN**

This matter comes before the Court on the Agreed Motion for Approval of the Amended Cook County Assessor's Office Employment Plan, the Court being fully advised:

IT IS HEREBY ORDERED:

The amended Cook County Assessor's Office's Employment Plan attached as Exhibit 1 is approved.

Dated: May __, 2019

ENTERED:

Sidney I. Schenkier
Magistrate Judge

Cook County Assessor's Office's Employment Plan
Effective August 5, 2016; amended January 17, 2019; May 6, 2019

EXHIBIT 1

Cook County Assessor's Office's Employment Plan
Effective August 5, 2016; amended January 17, 2019; May 6, 2019

COOK COUNTY ASSESSOR'S OFFICE
EMPLOYMENT PLAN

Cook County Assessor's Office's Employment Plan
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Cook County Assessor's Office's Employment Plan
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I. INTRODUCTION

This is the new Employment Plan submitted by the Cook County Assessor's Office ("Assessor's Office") and prepared with the assistance of the Plaintiffs' Counsel and Assessor Compliance Administrator ("ACA") as required by the 2012 Agreed Order for the Assessor's Office in *Shakman v. Cook County*, 69 C 2145 (N.D. Ill.). This Employment Plan sets forth the general principles that will govern the Assessor's Office's hiring and employment policies and procedures. This Employment Plan applies to all Employees of the Assessor's Office as well as all Applicants for Positions within the Assessor's Office. The ACA, while acting, has the right to monitor any and all aspects of the Employment Plan in order to assess the Assessor's Office's compliance with the Agreed Order and progress toward Substantial Compliance with the Agreed Order. This shall include, but not be limited to, the right to monitor any and all Employment Actions involving both union and non-union Employees whether in Exempt Positions or in Non-Exempt Positions to the extent delineated herein. All capitalized terms 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 are (1) not covered by any CBA; (2) at-will 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. A copy of the current Actively Recruited Positions List, which may be amended from time to time, is attached as Exhibit II-1.

Agreed Order: The Order for the Assessor's Office agreed to by the Assessor and the Plaintiffs, and approved on September 19, 2012, in *Shakman et al. v. Democratic Organization of Cook County, et al.*, United States District Court for the Northern District of Illinois, Eastern Division, Court Number 69 C 2145.

Applicant: A person who has submitted an application to the Human Resources Department for a Position.

Applicant List: The list of all applications received for a Position prior to review and validation. See Section VII.G.3.

Assessor: The Cook County Assessor.

Assessor Compliance Administrator ("ACA"): The Shakman Compliance Administrator for the Assessor appointed by the U.S. District Court for the Northern District of Illinois pursuant to Section I of the Agreed Order.

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Assessor's Report: The report issued by the Assessor or his or her Designee, the Chief Administrative Officer and Chief Legal Officer in response to the Director of Compliance Investigation and Recommendation Report pursuant to Section V.F.6.

Assessor's Website: The Assessor's Office website which provides information regarding the Assessor's Office on a public online format and includes, among other things, access to the Assessor's Annual Appropriation Ordinance, Employment Plan, Exempt List, Executive Assistant List, Notices of Job Opportunities, HR Quarterly Reports, and the Director of Compliance's semi-annual reports.

Candidate: An Applicant who after review and validation of his or her application materials has been found to possess the Minimum Qualifications required by the Position Descriptions and thus whose name is included on the Validated Eligibility List pursuant to Section VII.G of this Employment Plan.

Chief Administrative Officer: The Deputy Assessor over HR and other administrative support divisions within the Assessor's Office, as designated by the Assessor.

Chief Legal Officer: The Deputy Assessor over the Assessor's Legal Department, as designated by the Assessor.

Classification: A position or group of positions as defined by Job Code.

Collective Bargaining Agreement ("CBA"): The applicable collective bargaining agreement between the Assessor's Office and any legally recognized collective bargaining representative of Employees.

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 inconsistency between a person's self-interest and his or her professional or public-interest.

Consent Decree: The "Judgment Entered upon Consent of Cook County Assessor" in 1995 between the plaintiffs and the Assessor in *Shakman et al. v. Democratic Organization of Cook County, et al.*, *United States District Court for the Northern District of Illinois, Eastern Division*, Court Number 69 C 2145.

Contact Log: The log maintained by the Director of HR or his or her Designee, recording all contacts with any Applicant for any Posting.

Cross-Training: Teaching an Employee assigned to perform the functions of one Position some or all of the skills required to perform a different assignment.

Day or day: A calendar day unless otherwise indicated.

Demotion: A downgrade from one Position to another Position at a lower-grade.

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

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Department: An operational unit.

Designee: An Employee selected and assigned to perform duties set forth in this Employment Plan on behalf of another Employee, typically subordinate to and in the same Department.

Director of Compliance ("DOC"): The Employee in charge of compliance who performs the tasks and responsibilities as described in Section V.A. of this Employment Plan and the DOC Position Description and other tasks and responsibilities consistent with the Employment Plan and DOC Position Description.

Discipline: An action taken by the Assessor's Office in response to an Employee's conduct or performance, including verbal or written reprimands, suspensions, or terminations.

Disqualifying Question: A question included on the paper application form or Electronic Application System (when operational) designed to identify whether an Applicant possesses a specific Minimum Qualification contained in the Position Description.

DOC Investigation Report: The report prepared by the Director of Compliance upon completion of his or her investigation pursuant to Section V.F.

DOC Investigation and Recommendation Report: The report prepared by the Director of Compliance upon completion of his or her investigation pursuant to Section V.F.4.

Electronic Application System ("EAS"): The electronic employment application system used in the hiring of Employees (once operational).

Employee: An employee of the Assessor's Office.

Employee Handbook: The collection of the Assessor's Office's employment policies and procedures regarding the Employees' relationship with the Assessor's Office developed and maintained by Human Resources, including any and all amendments and addendums thereto, prepared for distribution to the Employees of the Assessor's Office.

Employment Action: Any action (positive or negative) related to any aspect of employment, including, but not limited to, hiring, training, change in job assignment, Temporary Assignment, Cross-Training, Promotion, Demotion, Transfer, Reclassification, Layoff, assignment of Overtime (and other benefits of employment), Discipline, and Termination.

Employment Plan: This new Employment Plan, including any amendments thereto, required pursuant to Section II.D. of the Agreed Order.

Executive Assistant Position: A Position that reports directly to an Exempt Deputy or Director and whose primary duties include the performance of executive-level administrative services for the Deputy. Executive Assistants are (1) not covered by any CBA, (2) at-will, and (3) are not Exempt Positions.

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Executive Assistant List: The list of all Executive Assistant Positions as such list may be amended from time to time as provided in Section XI.B. The current Executive Assistant List is attached as Exhibit II – 2.

Executive Order: The Order signed by the Assessor on September 18, 2012 prohibiting Political Discrimination.

Exempt List: The list of all Exempt Positions, as such list may be amended from time to time as provided in Section XII. The current Exempt List is attached as Exhibit II - 3.

Exempt Position: A Position that is included on the Exempt List because it is a job that involves policy making to an extent or is confidential in such a way that political party affiliation is an appropriate requirement for the effective performance of the job.

Extern/Externship: A person who participates in a training program at the Assessor's Office that is part of a course of study run by an educational institution.

External Applicant: An Applicant who applies for a Position and is not an Employee of the Assessor's Office at the time of application.

Final Interview List: The list of Candidates to be interviewed for a Position pursuant to Section VII. G.9.

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

Governmental Employment: Any employment relationship that constitutes employment at common law (whether probationary, full-time or part-time, permanent or temporary) by or for the Assessor's Office.

Grant of Authority: The form granting authority to make an offer of employment to a Candidate selected for hire. A copy of the current Grant of Authority form, which may be amended from time to time, is attached as Exhibit II - 4.

Hiring Department: The Department to which a Candidate who is hired will be assigned to work.

Human Resources ("HR"): The Human Resources Department of the Assessor's Office.

Ineligible for Hire/Rehire List: A list of individuals who have been determined to be ineligible for hire or rehire by the Assessor's Office pursuant to Section IV.Q.

Intern/Internship: A person who participates in a training program at the Assessor's Office for the purpose of gaining supervised practical experience.

Internal Applicant: An Applicant who is employed by the Assessor's Office at the time of application.

Internal Candidate Preference: A Position where qualified Internal Applicants for a Position will be placed higher on the Preliminary Interview List than qualified External Candidates because of

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the advantages of employing internally experienced Applicants in carrying out the duties and responsibilities of the Position being posted.

Internal Candidate Preference List: The list of Positions which have been designated for Internal Candidate Preference and is maintained by the Director of HR or his or her Designee pursuant to Section VII.C.3.

Interview File: A subset of the Posting File that includes the Interview Evaluation Forms, the Scored Interview List, notes from the Ranking Meeting, the Interview Panel Ranking Form, permitted Recommendations, and any other documentation regarding the selection for interviewing and conducting of interviews. A copy of the Posting File/Interview File Checklist is attached as Exhibit II - 5.

Interview Panel: The group of three to four individuals selected to interview Candidates.

Interview Panel Ranking Form: The form used by an Interview Panel to rank Candidates after all of the interviews are conducted. A copy of the current Interview Panel Ranking Form, which may be amended from time to time, is attached as Exhibit II - 6.

Interviewer Evaluation Form: The form used by interviewers during the interview process to document interviews and score individual Candidates for Positions as described in Section VII.I.4. A copy of the current Interviewer Evaluation Form, which may be amended from time to time, is attached as Exhibit II - 7.

Job Code: A numeric code assigned to each job title.

Justification to Hire: The form completed by the Deputy of the Hiring Department upon completion of the Candidate selection process described in Section VII.M setting forth the objective basis or bases for the hiring of the selected Candidate.

Layoff: The involuntary, temporary or permanent separation of one or more Employees from employment with the Assessor's Office for reasons other than termination.

Minimum Qualifications: The objectively ascertainable minimum requirements listed on the Position Description that an Applicant must possess to be considered for employment in that 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 II - 8.

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

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

OIIG: The Office of the Independent Inspector General for Cook County.

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Overtime: Time worked by an Employee in excess of the 40-hour work week. Employees shall be awarded compensatory time or paid time for overtime worked pursuant to any applicable Collective Bargaining Agreement, the Employee Handbook, or applicable federal, state, and/or local law.

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

Personnel File: A file maintained by HR for each employee, including personal information and information about the employee's work history, such as the employee's application, resume, licenses, recommendations, disciplinary history, training, rate of pay, salary history, and benefits.

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

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

Political Contact Log: The log maintained by the OIIG (formerly retained by the DOC) recording all Political Contacts from any Politically-Related Person or Organization regarding any person known likely to be an Applicant, or Employee holding or applying for a Non-Exempt Position. A copy of the Political Contact Log Reporting Form is attached as Exhibit II - 9.

Political Reasons or 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 person from any Politically-Related Person or Organization that is not based on personal knowledge of the person's work skills, work experience, or other job-related qualifications; 2) the fact that the person works or worked for a Politically-Related Person or Organization or works or worked on a political campaign or belongs to a political organization or political party, or the fact that the person chose not to work in a political campaign or to belong to a political organization or a political party, unless related to a recommendation based on the person's skills, work experience, or other job related characteristics; 3) the fact that any person is or was, or is not or was not a member of any political party or Politically-Related Organization; 4) the fact that the person contributed money, raised money, or provided something else of value to a Politically Related Person or Organization, or refrained from doing so; 5) the fact that a person is a Democrat or Republican or a member of any other political party or group, or the fact that the person is not a member; or 6) the fact that the person expressed views or beliefs on political matters.

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

Position: Any probationary, temporary, part-time, full-time, permanent, or any other category of employment, other than intern/extern, with the Assessor's Office.

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Position Description: A written document that describes the Position's typical duties and current responsibilities, Minimum Qualifications, Preferred Qualifications (if applicable), the knowledge, skills, and abilities needed to perform those responsibilities, and any testing protocols (if applicable). A copy of the current Position Description format, which may be amended from time to time, is attached as Exhibit II - 10.

Position Identification Number: The unique number assigned to each Position by the Cook County Bureau of Human Resources.

Posting File: A file containing a copy of all documents related to a job posting, including the Request to Hire, current Position Description, Notice of Job Opportunity, Applicant List, Validated Eligibility List, Interview File, testing protocols, documented Conflicts of Interest, Grant of Authority, Justification to Hire, No Political Consideration Certifications, and all other employment documents relating to a job posting or filling of a Vacancy. A copy of the Posting File/Interview File Checklist is attached as Exhibit II - 5.

Preferred Qualifications: The objectively ascertainable criteria listed in the Position Description that are preferred (but not required) in an Applicant for a Position.

Preliminary Interview List: The list of Candidates to be interviewed from the Validated Eligibility List who have been sorted and randomized, if applicable, pursuant to Section VII.G.6.

Prescreening Questions: A question included on the paper application form or Electronic Application System (when operational) designed to identify whether an Applicant possesses specific Preferred Qualifications contained in the Position Description.

Prohibited Political Activity: Any of the following activities performed during any compensated time (other than vacation, personal, or compensatory time off):

- (1) Preparing for, organizing, or participating in any political meeting, political rally, political demonstration, or other political event.
- (2) Soliciting contributions, including, but not limited to, the purchase of, selling, distributing, or receiving payment for tickets for any political fund-raiser, political meeting, or other political event.
- (3) Soliciting, planning the solicitation of, or preparing any document or report regarding anything of value intended as a campaign contribution.
- (4) Planning, conducting, or participating in a public opinion poll in connection with a campaign for elective office or on behalf of a political organization for political purposes or for or against any referendum question.
- (5) Surveying or gathering information from potential or actual voters in an election to determine probable vote outcome in connection with a campaign for elective office or on behalf of a political organization for political purposes or for or against any referendum question.

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- (6) Assisting at the polls on election day on behalf of any political organization or candidate for elective office or for or against any referendum question.
- (7) Soliciting votes on behalf of a candidate for elective office or a political organization or for or against any referendum questions or helping in an effort to get voters to the polls.
- (8) Initiating for circulation, preparing, circulating, reviewing, or filing any petition on behalf of a candidate for elective office or for or against any referendum question.
- (9) Making contributions on behalf of any candidate for elective office in that capacity or in connection with a campaign for elective office.
- (10) Preparing or reviewing responses to candidate questionnaires in connection with a campaign for elective office or on behalf of a political organization for political purposes.
- (11) Distributing, preparing for distribution, or mailing campaign literature, campaign signs, or other campaign material on behalf of any candidate for elective office or for or against any referendum question.
- (12) Campaigning for any elective office or for or against any referendum question.
- (13) Managing or working on a campaign for elective office or for or against any referendum question.
- (14) Serving as a delegate, alternate, or proxy to a political party convention.
- (15) Participating in any recount or challenge to the outcome of any election.

Promotion: The advancement of a current Employee to a higher graded Position than his or her current Position.

Ranking Meeting: The meeting at which the Interview Panel completes the Interview Panel Ranking Form.

Recall Candidate: An individual who has been laid off from a Position and is eligible to return to work at the Assessor's Office.

Reclassification: The process by which a Position's Job Code and/or pay grade is changed.

Recommendation: A written opinion, personal or professional, submitted in connection with an Employment Action.

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Request to Hire ("RTH"): The form completed by the Deputy of the Hiring Department and submitted to the Director of Human Resources requesting recruitment and hiring activities to fill a Vacancy. A current copy of the Request to Hire, which may be amended from time to time, is attached as Exhibit II - 11.

Scored Interview List: The list of interviewees, listed in descending order, based on their average interview scores from the completed and scored Interview Evaluation Forms.

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

Supervisor: Any Employee in the Assessor's Office who, among other duties, has the authority to authorize, execute, or recommend any Employment Action.

Temporary Assignment: The assignment for a limited time of an Employee to a different Position from which he or she is permanently assigned.

Termination: The involuntary separation of an Employee from employment with the Assessor's Office.

Transfer: The movement of an Employee from a Position in one Department to a Position in another Department within the Assessor's Office without changing the payroll designation (*i.e.*, step, grade, or compensation) for the Position held by the Employee.

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, potential Applicant, Candidate, or Employee applying for, being considered for, or holding a Non-Exempt Position.

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

Upgrade: The process by which an Employee's Position is changed from one pay grade to a higher pay grade.

Vacancy: An unfilled Position.

Validated Eligibility List: A listing of those Applicants whose application materials and responses to the Disqualifying Questions support the Applicant's claim to possess the Minimum Qualifications of the applied for Position.

Written or in writing: Any communication in hard copy, electronic or digital form, unless otherwise indicated.

III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO ASSESSOR HIRING

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

A. Commitment. The Assessor's Office will implement pro-active and transparent employment-related policies, practices, and procedures that will prevent and remedy the negative effects of any alleged Unlawful Political Contacts and Unlawful Political Discrimination as required by this Employment Plan, the Agreed Order (while in effect), Executive Order, and Consent Decree. No CBA or other agreement between the Assessor's Office and any other individual or entity shall provide otherwise.

B. No Employment Actions Influenced by Political Reasons or Factors. No Employment Action affecting an Employee holding a Non-Exempt Position 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 non-union, Non-Exempt Position for which he or she is qualified in lieu of remaining in his or her Position and holding an Exempt Position.

D. Recommendations. The following will apply to the submission and consideration of certain Recommendations of individuals who are Applicants for any Non-Exempt Position:

1. Prohibited Contacts. Except as provided in Section III.D.2, no Politically-Related Person or Organization may contact any Employee involved in any Employment Action to influence any Employment Action. Employees shall report all such contacts to the OIIG immediately.

2. Permitted Recommendations. The prohibitions of Section III.D.1 do not limit the right of any person, including any Politically-Related Person or Organization or any Employee, to submit a written Recommendation where such Recommendation is not based on Political Reasons or Factors and where such Recommendation is based on such person's personal knowledge of the individual's work, skill, experience, or other job-related qualifications, provided the following procedures are followed.

- a. All written Recommendations for any Applicant or Employee shall be reviewed by the Director of HR or his or her Designee and the DOC for compliance with this Section III.D.
- b. The DOC shall immediately forward a Political Contact Log Reporting Form and copies of all written Recommendations made by any Politically-Related Person or Organization to the Director of HR and the ACA, while acting, and the OIIG.
- c. The OIIG will review the Recommendation from the Politically-Related Person or Organization and conduct any additional investigation OIIG deems necessary to determine whether the Recommendation complies with this Section III.D. In accordance with the OIIG's investigation

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process and procedures, OIIG will document the reasons for his or her determination of whether the Political Contact complies with this Section III.D. A copy of the OIIG's determination will be provided promptly to the Director of HR and ACA, while acting. If the OIIG determines that the Recommendation violates this Section III.D, the OIIG shall also provide written notification of his or her finding to the Politically-Related Person or Organization, the Assessor, Plaintiff's Counsel prior to the dissolution of the Agreed Order, and the ACA, while acting.

- d. If the OIIG determines there is cause to believe that the Recommendation constitutes an Unlawful Political Contact, the OIIG will take appropriate action in accordance with OIIG's procedures, and the Recommendation will not be considered and will not be included in the Interview File or the individual's Personnel File, as applicable.
- e. Only Recommendations that are determined by both the Director of HR or his or her Designee and the OIIG to not be based on Political Reasons or Factors shall be included in the individual's Interview File or Personnel File, as applicable.

E. Unlawful Political Discrimination Reporting. Any Employee of the Assessor's Office who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring, is required to promptly report such matter to the OIIG, DOC or ACA, while acting on an anonymous or credited basis, in person, by phone, or in writing. All such matters reported to the DOC or ACA, while acting, shall be referred to the OIIG for investigation. All Employees and agents of the Assessor's Office are required to cooperate fully in any investigation of such matter conducted by the OIIG. Any Employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including Termination. No person shall be compelled to respond to any request for information in violation of her or his constitutional rights.

F. Political Contact Reporting. Any Employee who receives or has reason to believe a Political Contact has occurred or is occurring is required to promptly complete a Political Contact Log Reporting Form and submit it to the OIIG for investigation. All Employees are required to cooperate fully in any investigation of such contact conducted by the OIIG. Any Employee who fails to submit a Political Contact Log Reporting Form and cooperate as required will be subject to disciplinary action, up to and including Termination. The above notwithstanding, an Employee is not required to complete a Political Contact Log Reporting Form if (1) the contact is from an Employee who holds a political position or office who is authorized to engage in departmental or employee reviews and/or inquiries that are required in conjunction with such individual's general management duties and (2) the contact concerns the normal day-to-day operations of the Assessor's Office and does not concern Political Reasons or Factors. Nothing in this Section III.F will affect any Employee's obligation to report Unlawful Political Discrimination. No person shall be compelled to respond to any request for information in violation of her or his constitutional rights.

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

H. No Retaliation. The Assessor shall continue to prohibit retaliation, punishment, or penalty for reporting or investigating a Political Contact, Unlawful Political Discrimination, or violation of the Employment Plan; initiating a complaint related to any alleged Unlawful Political Contact or Unlawful Political Discrimination; or cooperating with or assisting the ACA, the DOC, the OIIG, HR, or any other person or authority in connection with any such report, complaint, or investigation.

I. Human Resources Staff. The Assessor will maintain an HR staff of experienced and knowledgeable professionals who meet the Minimum Qualifications contained in the Position Descriptions for their Positions. Such persons will be responsible for fulfilling the Assessor's Office's obligations under this Employment Plan, and the Employee Handbook.

J. Union Relations. The Assessor respects the relationships with the Employees' legally recognized collective bargaining representatives and the provisions of the CBA negotiated with such representatives. Those relationships are governed by the Illinois Public Labor Relations Act, 5 ILCS 315, et seq., as amended, and the CBA, the Employment Plan, and the Employee Handbook and will be construed and administered consistently with that Act and the CBA 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 Employee Handbook, the language in the CBA will govern, provided the CBA does not permit or involve the use of any Unlawful Political Contact or Unlawful Political Discrimination or does not violate any other applicable federal, state, and/or local law. The Chief Administrative Officer, the DOC, and the ACA, while acting, will be given prompt notice of any Employment Action based on a conflicting CBA provision. 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, the Agreed Order (while in effect), the Employment Plan, and the policies and procedures contained in the Employee Handbook. If the CBA does not contain a specific procedure or is otherwise silent, the relevant procedure in this Employment Plan and the policies and procedures contained in the Employee Handbook must be followed.

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

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L. 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 Decree, Agreed Order (while in effect), and Executive Order.

IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO HR

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

A. Assessor's Website. A link to the Shakman Compliance page shall be conspicuously placed on the main page, the job opportunities page, and the Human Resources page on the Assessor's Website.

B. Employee Handbook. HR will revise and maintain an Employee Handbook to be distributed to all employees. The Employee Handbook shall be consistent and in compliance with and effectuate this Employment Plan. HR may revise and update the Employee Handbook as required, provided HR shall first send a copy of the proposed revision or update to the DOC, ACA, while acting, and the Plaintiffs' Counsel prior to the dissolution of the Agreed Order, for comment. If no comment is received within 14 calendar days, HR will post the revision and update the Employee Handbook. If comments are received, HR will review the comments and may revise the policy prior to revising the Employee Handbook.

C. Quarterly Report. HR will post on the Assessor's Website quarterly reports of the total number of new hires, Promotions, Demotions Transfers, Terminations, Reclassifications, Layoffs, and resignations by Department during the preceding three month period, including: (1) the number and type of each such Employment Action; (2) the dates of each Employment Action; (3) the title of the Position; and (4) whether the Employment Action was pursuant to Section V or a specific exception to the General Hiring Process identified in Section VII – XII.

D. Notification of Employment Actions. Except as expressly provided in this Employment Plan, the Director of HR or his or her Designee will provide the DOC and ACA, while acting, with written or electronic notice of all Employment Actions no less than 2 days prior except where circumstances outside the control of the Assessor's Office preclude advanced notice, to provide the DOC and ACA, while acting, with a reasonable opportunity to monitor the Employment Action(s).

E. HR Personnel Training. HR, in conjunction with the DOC, will provide comprehensive mandatory training programs for all personnel within HR to ensure that they are aware of and knowledgeable about this Employment Plan and the Employee Handbook and will be able to administer relevant portions of this Employment Plan and the Employee Handbook and answer questions they may receive. The Director of HR or his or her Designee, in conjunction with the DOC, will also conduct mandatory comprehensive training of all HR Employees who will review and validate applications for any Position before they conduct such review and validation. Such training will include, but is not limited to, information concerning proper validation and review protocols. Such training will be conducted no less frequently than once a year and no later than 30 days after any individual becomes an Employee in HR. Receipt of such training must be

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certified in writing by the Director of Training (or Designee) and the certification placed in such Employees' Personnel File. HR will continue to provide training to HR personnel regarding changes to this Employment Plan and the Employee Handbook as necessary between annual training sessions.

F. Supervisor Training. HR, in conjunction with the DOC, will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Employee Handbook. All Supervisors will receive such training no later than 60 days following their appointment as a Supervisor and no less frequently than annually thereafter. Receipt of such training must be certified in writing by the Director of HR and the certification placed in the Supervisor's Personnel File. HR will continue to provide training to Supervisors regarding interim changes to this Employment Plan and the Employee Handbook as necessary between annual training sessions.

G. Employee Training. HR, in conjunction with the DOC, will conduct comprehensive mandatory training of all Employees to ensure they are aware of and knowledgeable about this Employment Plan, the Employee Handbook, and Unlawful Political Discrimination. HR shall provide new Employees with copies of this Employment Plan and the Employee Handbook within 10 days of employment. All Employees will receive such training no later than 60 days following the beginning of employment and no less infrequently than annually thereafter. Receipt of such training must be certified in writing by the Director of Training (or Designee) and the certification placed in the Employee's Personnel File. HR, in conjunction with the DOC, will continue to provide training to Employees regarding changes to the Employment Plan and the Employee Handbook as necessary between annual training sessions. Amendments to the Employment Plan and/or Employee Handbook need not require immediate re-training of employees, but HR or the DOC must provide written notice to all Employees of the amendment(s) and allow a reasonable period of time to address any questions prior to implementing and enforcing any such amendment. Any written notices of amendments or certifications of interim training related to amendments to the Employment Plan or Employee Handbook must be maintained in the employees' personnel files.

H. Interviewer Training. HR, in conjunction with the DOC, will conduct mandatory comprehensive training of all 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 by the Director of Training (or Designee) and the certification placed in such Employee's Personnel File. The DOC shall compile and the Director of Training (or Designee) will maintain a list of all Employees who have been certified as completing such training and consult the list when an Interview Panel is assembled. The Director of Training (or Designee) will provide a copy of the list of Employees who have received interviewer training to the ACA, while acting. Only Employees who have been certified in interviewer training will be eligible to participate on any Interview Panel.

I. Access to Information Regarding Applicants. The Director of HR and the DOC will take steps to ensure that no information about any Applicant is available to or shared with any individual or entity unless that individual or entity is specifically authorized to receive such information. The Director of HR, with written notice to the DOC, will designate specific

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Employees of HR who will be authorized to access and input information concerning Applicants and Candidates from or on the EAS or paper applications, as applicable. Such authority will be given only after such Employees have received training in the appropriate use of the EAS or paper applications, as applicable, and the provisions of this Employment Plan.

J. Review of Position Descriptions. All Position Descriptions must include: (a) a list of all day-to-day essential duties and the related knowledge, skills, and abilities required to perform those duties; (b) a list of Minimum Qualifications; (c) a list of any Preferred Qualifications; (d) a list of testing protocols, if applicable; and they must be accurate and readily available to the public. Accordingly, the Director of HR, with notice to the DOC and the ACA, while acting, shall:

1. consult with the Deputy of the Hiring Department and appropriate staff, if necessary, and evaluate the Position Description for each Position for which the Assessor receives a RTH to ensure that the Position Description is accurate and reflects the actual duties and Minimum Qualifications or Preferred Qualifications for the job;
2. conduct an evaluation of Position Descriptions as vacancies are posted to ensure they accurately describe all Minimum Qualifications and Preferred Qualifications, testing protocols, if any, and reflect the actual duties of the Positions;
3. update and revise any such Position Description that is not accurate;
4. provide the updated or revised Position Description and the previous Position Description, if applicable, to the DOC and, until the dissolution of the Agreed Order, the ACA and Plaintiffs' Counsel, for comment; and
5. post the accompanying Position Descriptions whenever a Position opening is posted in the same manner and locations as the Vacancy is posted.

Nothing in this Section IV.I will prevent HR from reviewing and updating Position Descriptions as described in this Section IV.I to keep the Position Descriptions current and accurate, regardless of whether there is an anticipated posting.

K. Forms. HR is responsible for creating and maintaining all forms required under this Employment Plan and the Employee Handbook. Accordingly, the Director of HR or his or her Designee, in conjunction with the DOC, shall create any standard form to be used in connection with Employment Actions. If the Director of HR determines that a form should be amended, the Director of HR or his or her Designee, in conjunction with the DOC and with notice to the ACA, while acting, shall review the form and make any necessary amendments.

L. Cooperation with the DOC and OIIG. All HR staff will cooperate fully at all times with the DOC and OIIG by assisting the DOC and/or OIIG in carrying out his or her duties under this Employment Plan, including, but not limited to, respectively, 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, or DOC or OIIG inquiry unless specifically prohibited by applicable law.

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

N. Forwarding of Complaints. HR shall immediately forward (1) to the OIIG for investigation pursuant to Sections VI, all calls and information alleging or reporting Unlawful Political Discrimination or a Political Contact (or a written transcript of such a message) and (2) to the DOC for investigation pursuant to Section V, any other violation of this Employment Plan or any section of the Employee Handbook referenced in this Employment Plan that does not qualify as an alleged Unlawful Political Discrimination or a Political Contact.

O. Recordkeeping. HR will keep Posting Files, including Interview Files, for a minimum of three years following the date of Notice of Job Opportunity posting, unless longer retention is required by applicable law. HR will also keep Personnel Files for Employees for a minimum of three years after the date the Employee is no longer employed by the Assessor, or longer, if required by law or under a CBA.

P. General Principles and Responsibilities Related to Electronic Application System. The implementation and use of EAS shall be in compliance with the Assessor's commitments and obligations under Article VII of this Employment Plan, as well as the Executive Order, the Consent Decree, and the Agreed Order, while in effect, and as follows:

1. EAS Training. The Director of HR or designee, in consultation with the DOC, ACA, while acting, and the IT Department or outside consultants, if necessary, shall develop a written training program and provide on-site training for all Employees who will have access to and use EAS and will provide expertise to respond to questions as needed.

2. NPCC. All Employees who have access to or use EAS will be required to execute an electronic NPCC when taking any Employment Action using EAS.

3. Monitoring of EAS Activities. The DOC, the ACA, while acting, and the OIIG shall have full and continual access to review all hiring activities and Employment Actions using EAS to assure policies and procedures are being followed and to assist in any investigation of violations. This includes providing access to the system for the purpose of auditing its function and internal processes.

Q. Ineligible for Hire/Rehire List. The Director of HR or his or her Designee shall maintain a list of individuals ("Ineligible for Hire/Rehire List") who were previously employed with the Assessor's Office or who applied for employment with the Assessor and who shall be ineligible for employment with the Assessor's Office for 5 years if the individual was terminated, has resigned or retired in lieu of termination, or was disqualified for consideration for employment as a result of:

1. a finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in Prohibited Political Activity; or

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2. a finding by the OIIG or DOC that the individual intentionally provided materially false information during an investigation by the OIIG or DOC or otherwise obstructed or refused to cooperate with an investigation of the OIIG or DOC; or

3. a finding by the OIIG or DOC that the individual intentionally provided materially false information to the ACA, while acting; or

4. a finding by the DOC that the individual intentionally provided materially false information to the DOC; or

5. a finding by the OIIG or DOC that the individual falsified an Assessor's Office document concerning any Employment Action.

Any individual who was an Applicant or Candidate for employment at the Assessor's Office who was found to have provided false information to the DOC, ACA, and/or OIIG in connection with his/her application for employment and/or in connection with an investigation into a hiring process at the Assessor's Office shall be placed on Ineligible for Hire/Rehire List for 5 years.

Individuals added to the Ineligible for Hire/Rehire List shall be given notice by the Director of HR or his or her Designee prior to being added to the Ineligible for Hire/Rehire List, which notice will include the basis for the decision, a copy of any applicable policies or procedures, and instructions on how to appeal the decision. Such individuals may appeal the decision to the Chief Administrative Officer within 30 days of the date the notice is sent by requesting a hearing in writing. Any hearings conducted for the purpose of determining whether an individual should be included on the Ineligible for Hire/Rehire List shall be conducted by the DOC. However, if the individual is to be included on the Ineligible for Hire/Rehire List as a result of a finding by the DOC, then any hearing conducted for the purpose of determining whether this individual should be included on the Ineligible for Hire/Rehire List shall be conducted by the Director of HR. Such individuals who are bargaining unit members may also challenge their addition to the Ineligible for Hire/Rehire List in accordance with the terms of an applicable CBA. Unless reversed upon appeal, all such individuals shall remain ineligible for employment with the Assessor's Office for 5 years.

The Ineligible for Hire/Rehire List shall include the following: name of the former employee; title of last Position held; reason for placement on the Ineligible for Hire/Rehire List (termination, resignation in lieu of termination, or retirement in lieu of termination); and prospective date for removal from the Ineligible for Hire/Rehire List.

The Ineligible for Hire/Rehire List shall be maintained by the Director of HR or his/her designee, who shall promptly provide copies of the Ineligible for Hire/Rehire List and any revisions thereto to the DOC and, prior to dissolution of the Consent Decree and the Agreed Order, the ACA, the OIIG and Plaintiff's Counsel.

HR shall use the Ineligible for Hire/Rehire List during the validation process described in this Employment Plan. Any Applicant who is ineligible for consideration for any Assessor hiring process shall have such ineligibility confirmed in writing by the Director of HR or the DOC before being excluded from further consideration for that hiring process. The basis for such ineligibility shall be documented on EAS. Failure of the Director of HR or the DOC to confirm

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or document ineligibility shall not bar later action to remove an ineligible individual if hired in violation of this Section.

The DOC shall be notified in writing at least 5 business days in advance of an individual being removed from the Ineligible for Hire/Rehire List to permit the DOC the opportunity to consult with the Director of HR to determine whether the appropriate time period for ineligibility has been instituted and expired.

The DOC shall maintain a copy of the Ineligible for Hire/Rehire List, which will be made available to the public within ten (10) days of receipt of a written request addressed to the DOC at the Assessor's Office.

V. GENERAL PRINCIPLES AND DUTIES RELATED TO THE DIRECTOR OF COMPLIANCE.

HR shall recruit and the Assessor's Office shall hire a Director of Compliance pursuant to the process set forth in Section XIII. The DOC will be an employee of the Assessor's Office.

A. Responsibilities. The DOC functions as the Employment Plan compliance officer for the Assessor's Office by assuming responsibilities related to monitoring, investigating, and auditing Employment Actions to ensure compliance with the Employment Plan and policies in the Employee Handbook referenced in this Employment Plan. The DOC shall conduct his or her responsibilities in a manner that minimizes interference with or hindrance of operations. In furtherance of that goal, the DOC's primary responsibilities will include, but not be limited to:

1. understanding the Assessor's Office's organization, its business, and operational objectives and needs, and its staffing needs;
2. overseeing compliance with this Employment Plan;
3. overseeing compliance with the policies of the Employee Handbook referenced in this Employment Plan;
4. maintaining and reviewing the Exempt List to ensure continued compliance;
5. actively working with the Chief Administrative Officer and the Director of HR in developing strategies for this Employment Plan as well as any necessary policies and procedures to ensure compliance with the Employment Plan;
6. accepting, investigating, and reporting on complaints related to this Employment Plan and policies in the Employee Handbook referenced in this Employment Plan, except the DOC will refer any complaints (and investigations of such complaints) of Unlawful Political Discrimination in Employment Actions or Unlawful Political Contact to the OIIG;
7. receiving OIIG Summary Reports related to allegations of Unlawful Political Discrimination referred to the OIIG;

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8. making recommendations to the Assessor and Department heads to eliminate and remedy any instances of noncompliance with the Employment Plan, and Unlawful Political Discrimination or Unlawful Political Contact;

9. taking appropriate steps to report instances of Unlawful Political Contacts and Unlawful Political Discrimination to the OIIG for the OIIG to investigate and make recommendations to the Assessor on how to eliminate, and/or remedy such conduct;

10. working with HR to implement training programs, prepare training materials, and conduct training for all Employees on the Employment Plan and policies in the Employee Handbook referenced in this Employment Plan, and ensuring that Unlawful Political Reasons or Factors are not utilized in Employment Actions;

11. reviewing Position Descriptions and Notices of Job Opportunity and taking appropriate steps to assure their accuracy;

12. auditing activities as required by this Employment Plan and policies in the Employee Handbook referenced in this Employment Plan;

13. monitoring activities pertaining to the employment of non-Exempt Positions, including, but not limited to, participation as required or as appropriate in validation, interviews, and Candidate selection meetings;

14. preparing periodic reports and issue-specific reports to the Assessor concerning the DOC's duties and responsibilities as delineated in this Employment Plan and the Assessor's Orders related to the prohibition of Unlawful Political Discrimination;

15. working directly with the Director of HR and Assessor's Office staff, as necessary, on all of the above; and

16. other tasks and responsibilities consistent with this Employment Plan and the DOC Position Description as may be assigned by the Assessor or Chief Deputy Assessor from time to time.

B. Semi-Annual Reports. The DOC will issue semi-annual reports every March 15 and September 15 to the Assessor, Chief Deputy Assessor, Chief Administrative Officer, Chief Legal Officer, and the ACA while acting, and Plaintiff's Counsel prior to dissolution of the Agreed Order describing his or her activities during the prior six months, including, but not limited to any: (i) auditing activities as required by this Employment Plan; (ii) discovered violations of this Employment Plan or policies in the Employee Handbook referenced in this Employment Plan; (iii) complaints of Unlawful Political Considerations in Employment Actions referred to the OIIG pursuant to Section VI that result in investigations and any findings related to such investigations; (iv) remedial actions recommended; and (v) corrective actions taken by the Assessor's Office to address the violations. The DOC's semi-annual reports will be posted on the Assessor's Office website.

C. Monitoring of Employment Actions. The DOC shall have full and continual access to review all Employment Actions of Employees to ensure policies and procedures are being

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followed pursuant to the Employment Plan, the Agreed Order, and the Employee Handbook and to assist in any investigation of alleged violations. The Assessor's Office shall provide the DOC with two days advance written notice, except where circumstances outside the control of the Assessor's Office preclude advanced notice, of all Employment Actions, including, but not limited to, hiring, training, Demotion, change in job assignment, Interim Assignment, Temporary Assignment, Cross-Training, Promotion, Transfer, Reclassification, Layoff, assignment of Overtime, and other benefits of employment, Discipline, and/or Termination.

D. Reporting. The DOC shall be a Non-Exempt Position reporting to the Assessor and Chief Deputy Assessor and cooperating with the ACA, while acting, including but not limited to providing the ACA with reports as deemed necessary by the ACA and shall operate with the requisite independence and specific responsibilities set forth in the Position Description and in accordance with this Employment Plan. While acting, the ACA may monitor any and all aspects of the DOC's job performance.

E. Termination. The Assessor shall have the right to terminate the employment of the DOC upon (i) ninety days' prior written notice to the DOC or ninety days' salary continuation and (ii) the Assessor sending written advance notice to the DOC, the ACA, while acting, and the OIIG, describing the reasons for Termination and providing the ACA, while acting, and the OIIG, twenty-one days to determine if the Termination is based upon Political Reasons or Factors.

F. Alleged Violations of the Employment Plan, Certain Policies in the Employee Handbook, or 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 any section of the Employee Handbook referenced in this Employment Plan, the Employee shall refer the complaint to the DOC. For any allegation of a Political Contact or Unlawful Political Discrimination, the Employee shall refer the complaint to the OIIG, the DOC or the ACA, while acting. Any such complaints made to the DOC or the ACA, while acting, shall be referred to the OIIG. The DOC may initiate investigations into any potential violations of the Employment Plan and section of the Employee Handbook referenced in this Employment Plan, except any allegation of a Political Contact or Unlawful Political Discrimination shall be investigated by the OIIG. The DOC shall do the following:

1. DOC Investigation. Consistent with Sections V.A F, and G., the DOC shall investigate alleged violations of this Employment Plan, and alleged violations of any section of the Employee Handbook referenced in this Employment Plan, except for allegations of Unlawful Political Discrimination and Political Contacts which shall be referred to the OIIG for investigation. Such investigation shall include, but not be limited to, a review of all relevant documents and interviews with witnesses. The DOC may coordinate with the ACA (while acting) or with the Director of HR or his or her Designee on further investigation of any aspect of the violation. Except as necessary to conduct an investigation or to confirm to the States Attorney's Office that a plaintiff in a lawsuit alleging political discrimination in connection with employment with the Assessor does not have a complaint pending with the DOC's Office, the DOC shall not disclose the identity of any complainant to anyone other than the Court and the ACA, while acting. The DOC may coordinate with the ACA (while acting) or with the Director of HR or his or her Designee on further investigation of any aspect of the investigation. The

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OIIG shall use its normal investigative process and procedures for any investigation of alleged Unlawful Political Discrimination and Political Contacts

2. Cooperation with DOC and/or OIIG. The Assessor, its Employees, and its agents shall fully cooperate with the DOC and/or OIIG's investigation, by, among other things, promptly providing all requested non-privileged documents and information to the DOC and/or OIIG, in a manner that will preserve the confidentiality of the DOC and/or OIIG's investigation. No person shall be compelled to respond to any request for information in violation of her or his constitutional rights.

3. Privileged Materials. If any privileged materials are withheld from the DOC and/or OIIG, the privileged materials will be listed on a privilege log that is provided to the DOC and/or OIIG and the ACA, while acting. If, after a review of the privilege log, the DOC and/or OIIG disputes the claim of privilege as to a particular document or information and so notifies the Chief Legal Officer in writing, the Chief Legal Officer will review the document in question and, if he or she continues to claim the document is privileged, promptly meet and confer with the DOC and/or OIIG investigator in an attempt to resolve the dispute. Prior notice of the meeting will be provided to the ACA while acting.

4. DOC Investigation Report. At the conclusion of his or her investigation, the DOC shall prepare a written report (the "DOC Investigation Report") documenting the results of the investigation and provide copies to the Assessor, the Complainant, the State's Attorney's Office - Civil Action Bureau, the ACA (while acting), and Plaintiffs' Counsel (prior to the dissolution of the Agreed Order). If the DOC finds at the conclusion of his or her investigation that Unlawful Political Reasons or Factors were considered in an Employment Action, the DOC Investigation Report shall include the names of all individuals who, according to his or her investigation, were subject to an Employment Action based on Political Reasons of Factors in connection with any aspect of Government Employment and the names of any individuals responsible for such discrimination or contact. The copy of the DOC Investigation Report sent to the Complainant shall be accompanied by a Notice of Rights and Request for Settlement Conference Form pursuant to Section V.I. of the Agreed Order.

5. Preparation of DOC Investigation and Recommendation Report. In addition to the DOC Investigation Report, at the conclusion of his or her investigation, the DOC shall prepare a DOC Investigation and Recommendation Report and provide copies to the Assessor, the Chief Deputy Assessor, the Chief Administrative Officer, the Chief Legal Officer, the ACA (while acting), and Plaintiff's Counsel (prior to dissolution of the Agreed Order), which shall include the following:

- a. A description of the allegations and any other information pertinent to the investigation, including a list of the documents reviewed and individuals interviewed;
- b. A description of his or her findings, including any violation regarding the provisions of this Employment Plan or the Employee Handbook or a confirmation that no non-compliance was discovered;

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- c. Regardless of a positive or negative finding, a recommendation that either no action be taken or that a specific corrective or preventative action be taken, and a full explanation of the basis for such recommendation; and
- d. Such other information as the DOC may deem relevant to the investigation or resulting recommendations.

6. Submission of DOC Investigation and Recommendation Report. The DOC shall submit a copy of the DOC Investigation and Recommendation Report to the Assessor, the ACA (while acting), and Plaintiffs' Counsel (prior to the dissolution of the Agreed Order), for review. The DOC shall maintain a copy of the DOC Investigation and Recommendation Report in his or her files.

7. Assessor's Report.

- a. The Assessor or his or her Designee shall review the DOC Investigation and Recommendation Report and may conduct a follow-up investigation of the alleged violations found in the DOC Investigation and Recommendation Report to determine whether to accept, reject, or offer alternative proposals to the DOC's recommendations.
- b. If the DOC Investigation and Recommendation Report contains a finding that no violation occurred, the Director of HR shall file the DOC Investigation and Recommendation Report and no Assessor's Report will be required. If the DOC Investigation and Recommendation Report contains a finding of a violation of or non-compliance with this Employment Plan or sections of the Employee Handbook referenced in this Employment Plan, or includes a recommendation of corrective or preventative action, the Assessor or his or her Designee shall prepare an Assessor's Report. The Assessor's Report shall include the following:
 - (1) A description of the complaint and any other information received pertinent to the investigation, including a list of the documents reviewed and individuals interviewed;
 - (2) A description of the findings discovered in the course of the DOC's investigation and the Assessor's follow-up investigation;
 - (3) The recommendations of the DOC from the DOC Investigation and Recommendation Report, if applicable;
 - (4) Such other information as the Assessor may deem relevant to the DOC's investigation or resulting recommendations; and
 - (5) For each recommendation made by the DOC, the Assessor's Report shall include a statement confirming implementation of the DOC's recommended action or explaining why the recommended action was not

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implemented and describing any alternative action the Assessor has elected to take and the specific reasons for such alternative action.

- c. The Assessor or his or her Designee shall submit a copy of the Assessor's Report to the DOC, the Plaintiffs' Counsel (prior to the dissolution of the Agreed Order), and the ACA (while acting), within 30 days of his or her receipt of the DOC's Investigation and Recommendation Report. The Assessor or his or her Designee may extend the deadline by an additional 30 days by providing notice to the DOC, Plaintiffs' Counsel, prior to termination of the Agreed Order, and the ACA, while acting.
- d. The Assessor, the Chief Deputy Assessor, or the Chief Administrative Officer may suspend or terminate the Employment Action (if applicable) and may impose other remedial actions upon receipt of the DOC Investigation and Recommendation Report and pending the issuance of the Assessor's Report.

8. Availability of Reports. A redacted DOC Investigation and Recommendation Report and the Assessor's Report shall be made available to the public upon request. Prior to disclosing any DOC Investigation and Recommendation Report to the public, the DOC shall redact the names of any informants, complainants, witnesses, and persons investigated. The DOC shall also redact 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.).

G. Union Disputes or Claims of Discrimination Other Than Unlawful Political Discrimination. Any complaints received by the DOC involving union disputes or claims based on discrimination that bear no relationship to the Employment Plan or sections of the Employee Handbook referenced in this Employment Plan and do not implicate or suggest Unlawful Political Discrimination or Political Contacts (e.g. race, gender, age, national origin, sexual orientation, etc.) shall be referred to the Chief Legal Officer and the Director of HR for investigation. These matters fall outside the scope of this Employment Plan.

VI. GENERAL PRINCIPLES AND DUTIES RELATED TO THE OIIG

If any Assessor employee becomes aware of or receives a complaint of a violation of the Plan or Handbook that involves an allegation of a Political Contact or Unlawful Political Discrimination, he or she shall refer the complaint to the OIIG or notify the DOC who shall refer the matter to the OIIG. The OIIG shall provide the DOC with a copy of all its quarterly reports required under the OIIG Enabling Ordinance. The OIIG shall investigate complaints of Unlawful Political Discrimination or Unlawful Political Contacts consistent with the OIIG Enabling Ordinance.

A. Summary Report. At the conclusion of any investigation conducted concerning Unlawful Political Contact or Unlawful Political Discrimination, the OIIG will submit a Summary Report containing his or her findings, if any, as to the merit of the allegations and recommended actions to the complainant and Assessor, with a copy to the Chief Deputy

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Assessor, the Chief Administrative Officer, the Chief Legal Officer, the DOC, Plaintiffs' Counsel, and the ACA, while acting.

B. Assessor's Report.

1. The Assessor or his or her Designee shall review the OIIG Summary Report and may conduct a follow-up investigation of the alleged violations found in the OIIG Summary Report to determine whether to accept, reject, or offer alternative proposals to the OIIG's recommendations.

2. If the OIIG Summary Report contains a finding that no violation occurred, the Director of HR shall file the OIIG Summary Report and no Assessor's Report will be required. If the OIIG Summary Report contains a finding of a violation of or non-compliance with this Employment Plan or sections of the Employee Handbook referenced in this Employment Plan, or includes a recommendation of corrective or preventative action, the Assessor or his or her Designee shall prepare an Assessor's Report. The Assessor's Report shall include the following:

- a. A description of the complaint and any other information received pertinent to the investigation, including a list of the documents reviewed and individuals interviewed;
- b. A description of the findings discovered in the course of the OIIG's investigation and the Assessor's follow-up investigation;
- c. The recommendations of the OIIG from the OIIG Summary Report, if applicable;
- d. Such other information as the Assessor may deem relevant to the OIIG's investigation or resulting recommendations; and
- e. For each recommendation made by the OIIG, the Assessor's Report shall include a statement confirming implementation of the OIIG's recommended action or explaining why the recommended action was not implemented and describing any alternative action the Assessor has elected to take and the specific reasons for such alternative action.

3. The Assessor or his or her Designee shall submit a copy of the Assessor's Report to the OIIG, the DOC, the Plaintiffs' Counsel (prior to the dissolution of the Agreed Order), and the ACA (while acting), within 30 days of his or her receipt of the OIIG Summary Report. The Assessor or his or her Designee may extend the deadline by an additional 30 days by providing notice to the OIIG, the DOC, Plaintiffs' Counsel (prior to termination of the Agreed Order), and the ACA (while acting).

C. Suspending or Terminating Employment Actions. The Assessor, the Chief Deputy Assessor, or the Chief Administrative Officer may suspend or terminate the Employment Action (if applicable) and may impose other remedial actions upon receipt of the OIIG Summary Report and pending the issuance of the Assessor's Report.

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D. Availability of Reports. A copy of redacted Assessor's Reports shall be made available to the public upon request to the DOC. Such requests shall be made in person, via e-mail, or by mail. The DOC will promptly notify the ACA, while acting, of any such requests. The DOC shall redact the names of any informants, complainants, witnesses, and persons investigated. The DOC shall also redact 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.). The DOC will provide the requested redacted Assessor's Report in the same manner as requested within 10 days of the request. The Assessor's Office will place notice of such availability and procedure for requesting reports on its website.

VII. GENERAL HIRING PROCESS

The specific elements of the General Hiring Process, which apply equally to External Applicants and Internal Applicants, are described in detail below. Except as specifically provided in Sections IX, X, XI, XII, XIII, and XIV below, all Applicants will be required to go through the General Hiring Process.

A. Recruitment. HR will take steps to ensure that all employee 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. Employee Recruitment and Hiring-Related Outreach Training. Any Employees who engage in any employee recruitment and/or hiring-related outreach activity will receive training in proper practices that comply with this Employment Plan by HR in conjunction with the DOC prior to engaging in any such activity. Such training will be certified in writing by the Director of Training of Designee and included in the Employee's Personnel File. All training materials used shall be submitted to the DOC for comment and a good faith exchange of best practices prior to use. Employees who send notifications of postings to schools and community organizations shall not be considered as engaging in recruitment or outreach activities for purposes of this Employment Plan based on those activities alone. Any such materials and communications, however, must be provided to the DOC and the ACA, while acting.

2. Employee Recruitment and Hiring-Related Outreach Event Participation. All Employees involved in employee recruiting may participate in a variety of events including, but not limited to, job fairs, school sponsored campus recruitment events and community-based employment and outreach program forums. The Assessor's Office shall provide prominent written notice at any such event to attendees that the Assessor's Office does not hire or accept recommendations for Non-Exempt Positions based on Political Reasons or Factors. The Director of HR or his or her Designee will document all employee recruitment and hiring-related outreach events attended by representatives of the Assessor's Office. All such documentation shall be provided to the DOC and the ACA, while acting.

B. Job Postings. All Non-Exempt Positions which the Assessor's Office is seeking to fill shall be posted in highly visible areas at the Assessor's main office, the Assessor's Office satellite offices, on EAS, and prominently on the main page of the Assessor's Website under the Jobs tab. Positions may also be posted at locations required by any CBA, schools, professional organizations, labor organizations, professional publications, online job posting sites, and other

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appropriate locations in order to generate a large pool of qualified Applicants. HR shall provide the DOC and the ACA, while acting, a list of all additional posting locations prior to posting. The methods of posting as well as posting locations will be documented in the Posting File.

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

1. Submission of RTH. The RTH, including a copy of the current Position Description and written justification for filling or creating the Position, must be completed and signed by the Deputy of the Hiring Department and submitted to HR. On the RTH, the Deputy of the Hiring Department must receive written approval to fill the Position from the Chief Administrative Officer and the Director of HR. The Director of HR will provide a copy of the RTH, written justification, and the basis for the approval or denial of the RTH to the DOC and ACA, while acting, at the same time the approval or denial is sent to the Deputy of the Hiring Department. If the RTH is approved, the remainder of this Section VII shall apply.

2. Current Position Description. Pursuant to Section IV.J, the Director of HR or his or her Designee shall review with the Deputy of the Hiring Department the current Position 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. The Director of HR and the Deputy of the Hiring Department will confirm that any such Minimum Qualifications, Preferred Qualifications, and knowledge, skills and abilities are, in fact, related to the Position's requirements. If no Position Description exists or the Deputy of the Hiring Department claims the current Position Description is not accurate, the Deputy of the Hiring Department, and the Director of HR or his or her Designee, with notice to the DOC and the ACA, while acting, shall draft a new or update the current Position Description to accurately reflect the requirements of the Position in compliance with Section IV. Before the Position is posted, copies of the final new or updated Position Description and the previous Position Description, if applicable, shall be given to the DOC and, prior to the dissolution of the Agreed Order, the ACA, and Plaintiff's Counsel, for comment.

3. Internal Candidate Preference. The Director of HR, working with the Deputies and the DOC, shall create and maintain an Internal Candidate Preference List. For those Positions not already on the Internal Candidate Preference List, the Deputy of the Hiring Department may request in writing that the Director of HR designate a Position as eligible for an Internal Candidate Preference. Such request shall include a description of the specific basis or bases for such requested designation and be submitted in accordance with Section VII.G.2. The Director of HR and the DOC shall review all requests that a Position be designated as eligible for an Internal Candidate Preference and shall evaluate whether the request is appropriate based on the Deputy of the Hiring Department's justification, the nature and level of the Position, and the likelihood that the experience of the current employees in the Hiring Department or related Department seeking to fill the Position will be beneficial in carrying out the duties and responsibilities of the Position being posted. The Director of HR may request in writing that the Deputy of the Hiring Department provide additional information. If the Director of HR determines the Position is not appropriate for eligibility for an Internal Candidate Preference, the Department Head's request shall be denied. The Director of HR shall notify the Deputy of the Hiring Department of the decision and send a copy to the DOC and the ACA, while acting. That

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a Position is designated "Internal Candidate Preference" in no way precludes External Applicants from applying, and shall be filled in accordance with applicable federal, state, and/or local law.

D. Preparation of Notice of Job Opportunity. The Director of HR or his or her Designee shall prepare the Notice of Job Opportunity in accordance with the following:

1. Confirmation of Accuracy. The Director of HR or his or her Designee shall take steps to ensure that all information, including, but not limited to, all Minimum Qualifications and Preferred Qualifications, if applicable, included in the Notice of Job Opportunity, are accurate and relate to the duties of the Position described in the Position Description.

2. Contents of Notice of Job Opportunity. The Notice of Job Opportunity shall be prepared based on information contained in the RTH and applicable Position Description. 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 Position Description, including the Minimum Qualifications and Preferred Qualifications, if applicable; (d) whether the Position is designated as Internal Candidate Preference; (e) the amount or range of compensation; (f) directions on how and where to apply; (g) the time period during which applications will be accepted; (h) a list of all certifications, licenses, and documents that the individual must produce in order to be considered eligible for the Position and the time period for producing such information; (i) a description of any testing protocols that will be administered for an Applicant to be considered eligible for the Position, (j) a nondiscrimination clause; (k) a statement that the Assessor does not hire for Non-Exempt Positions based on Political Reasons or Factors, and (l) a statement that any Applicant who fails to comply with any of the requirements of the Notice of Job Opportunity will not be considered eligible for the Position.

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

1. Posting Locations. All Notices of Job Opportunity shall be posted as described in Section VII.B.

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

3. Posting Period. All Notices of Job Opportunity shall be posted for a minimum of 14 days. If HR decides to extend the final date for posting, a notice of such extension shall promptly be added to the Notice of Job Opportunity posted on EAS. Notice of the extension and the reason for the extension shall immediately be given to the DOC and ACA, while acting.

F. Conflicts of Interest. If at any time an Employee who is involved in any way with a hiring process discovers that any Employee has had, or currently has, a personal or professional relationship with an Applicant or Candidate, that Employee who discovered the relationship must disclose immediately in writing the details of that relationship to the Director of HR or his or her Designee and the DOC. The Director of HR or Designee shall determine whether the reported relationship rises to the level of a Conflict of Interest and what restrictions (if any) shall be placed on the Employee's continued involvement with the hiring process. All documentation concerning the disclosure and HR's decision shall be placed in the Posting File.

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G. Current Hard Copy Application Process.

1. Submission of Applications. All applications and required application materials must be submitted to HR in paper form as required in the Notice of Job Opportunity solely through a dedicated post office box. Applications in paper form may contain Disqualifying Questions and Prescreening Questions, if applicable, that HR will use during the screening process to determine whether Applicants possess each Minimum Qualification and Preferred Qualification for the Position Description. Any Applicant who does not (i) comply with any of the requirements or directions of the Notice of Job Opportunity or (ii) submit his or her application material through the dedicated post office box, will be considered ineligible for the Position.

2. Permitted Contacts from Applicants. Applicants may contact HR with any questions they may have with respect to the application process. Any contact with an Applicant will be memorialized in writing and entered on a Contact Log maintained by the Director of HR or his or her Designee for each job posting. The Contact Log shall be included in the Posting File for the job posting. Applicants with disabilities may contact HR to request an accommodation during the application process.

3. Creation of Applicant List. After five (5) days from the last day for applying for a Position as listed in the Notice of Job Opportunity has passed and before the meeting to screen and validate all the applications, HR will retrieve all applications in the dedicated post office box and create an Applicant List for the Position containing the names of all Applicants who submitted applications pursuant to Section VII.G.1. The Director of HR or his or her Designee shall provide the ACA, while acting, with at least 2 days' notice of the time HR will retrieve the applications from the post office box. The ACA, while acting, may accompany HR to the post office box and be present when HR creates the Applicant List(s). HR will assign each Applicant a unique application number for tracking purposes. Applicants who failed to submit completed applications pursuant to Section VII. G.1 will have their ineligibility documented on the Applicant List and will not be further screened pursuant to Section VII. G.4, below.

4. Application Screening. During the process of creating the Applicant List for a Position, the Director of HR or his or her Designee will screen each Applicant's application materials for completeness. A complete application includes an application form with the correct Prescreening Questions, a cover letter and resume. Applicants who failed to submit completed applications pursuant to Section VII. G.1 will have their ineligibility documented on the Applicant List and will not be further validated pursuant to Section VII. G.5, below. Applicants who answer "No" to a Disqualifying Question will have their ineligibility documented on the Applicant List and will not be further validated pursuant to Section VII. G.5, below.

5. Notice of Validation. Prior to starting the validation process, the Director of HR or his or her Designee shall provide written notice at least 7 days in advance of the date and time thereof to the ACA, while acting. The ACA may request to contemporaneously validate the Applicants with HR by providing written notice at least 1 day in advance of the date and time for validation set by the Director of HR or his or her Designee. Any comments or issues will be discussed and addressed at the time of the contemporaneous validation.

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6. Creation of Validated Eligibility List. The Director of HR or his or her Designee will create a Validated Eligibility List using the following procedures:

- a. Ineligible for Hire/Rehire. The Director of HR or his or her Designee shall compare the Applicants on the Randomized Preliminary Eligibility List to the Ineligible for Hire/Rehire List and remove from consideration any Applicant on the Ineligible for Hire/Rehire List. The reason for the ineligibility will be noted on the Applicant List.
- b. Validation of Applicants. The Director of HR or his or her Designee will validate the information in the employment application materials concerning the Applicant's work experience, education, and skills and compare it with the Minimum Qualifications and the Preferred Qualifications, if applicable, to determine whether the application materials show on their face that the Applicant meets the Minimum Qualifications and Preferred Qualifications, if applicable. If necessary, the Director of HR or his or her Designee may consult with individuals with specific knowledge of the qualifications for the Position during the validation process to assist in the determination of whether an Applicant possesses a Minimum Qualification or Preferred Qualification that is technical in nature. The consultation shall be documented in the Applicant List. In the event the information does not support the Applicant's claim to possess the Minimum Qualifications of the Position, the Applicant shall be considered ineligible for the Position, his or her name shall not be placed on the Validated Eligibility List, and the reason for ineligibility will be noted on the Applicant List. All Applicants whose application materials indicate that they possess at least the Minimum Qualifications for the Position will be placed on the Validated Eligibility List. If none of the Applicants possess all the Minimum Qualifications for the Position, the Position shall be reposted. HR may review the Minimum Qualifications pursuant to Section IV.I and Section VII.B to determine if any changes are appropriate.
- c. Sorting Applicants. The Validated Eligibility List will be sorted into the following groups:
 - (1) If the Position is on the Internal Candidate Preference List, the Internal Applicants will be in the first group.
 - (2) Applicants who possess all of the Preferred Qualifications will be in the second group;
 - (3) Applicants who possess all but one Preferred Qualification; sorting will continue with Applicants who possess all but two Preferred Qualifications, etc. depending on the number of Preferred Qualifications will be in the next respective group or groups;

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- (4) Applicants who do not possess any of the Preferred Qualifications will be in the last group.
- d. Validation of Disciplinary History for Internal Applicants or Former Employees. Following the validation procedure described in Section VII.G.4, HR shall conduct the following additional review for (a) Internal Applicants and (b) External Applicants who indicated on their applications that they were employed by the Assessor at any time during the 36 months preceding the Applicant's application for hire:
 - (1) Internal Applicant's Disciplinary History Validation. Any Internal Applicant who was suspended for misconduct while working for the Assessor during the 18-month period prior to his or her application for a Position shall not be considered eligible for the Position, and his or her name shall be removed from the Validated Eligibility List, subject to the terms of any applicable CBA. Any such ineligibility shall be noted on the Applicant List.
 - (2) Former Employees' Disciplinary History Validation. Any External Applicant employed by the Assessor within the 36 months preceding the date he or she submitted his or her application who was suspended, terminated, or resigned while under investigation for misconduct during the last 36 months of his or her employment by the Assessor shall not be considered eligible for the Position, and his or her name shall be removed from the Validated Eligibility List. Any such ineligibility shall be noted on the Applicant List.
 - (3) Record of Determinations. HR shall record the specific reason for any decision to exclude any Applicant's name from the Applicant List or Validated Eligibility List along with a NPCC.
- e. Notification of Completion of Validation. The Director of HR or his or her Designee shall provide the results of the validation process to the DOC and ACA, while acting, for each posting within two days of completion of the Validated Eligibility List.

7. Review of Determinations by DOC and ACA. The DOC and the ACA, while acting, shall review the application materials and may object to the inclusion or exclusion of any Applicant on the Validated Eligibility List. The Director of HR, the DOC, and the ACA, while acting, shall meet and confer in an effort to reach agreement on any disputed Applicant. A written explanation of the disagreement and how the disagreement was resolved shall be included in the Posting File. In considering whether an Applicant meets a Minimum Qualification, disputes regarding the qualification of an Applicant will be resolved in favor of meeting the Minimum Qualification in question, to result in the broadest applicant pool for a Position. Issues regarding Preferred Qualifications are resolved against meeting the Preferred Qualification so as not to provide any advantage based on a disputed qualification. If the Director of HR, the DOC, and the ACA while acting still are not able to reach agreement, the Assessor

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will make the final determination of whether the Applicant should be included on the Validated Eligibility List. Any changes regarding the validation of any Applicant will be documented on the Applicant List.

8. Randomization. After sorting the Validated Eligibility List into the groups as described in Section VII.G.6.c, and if there are more Candidates than needed to fill the Final Interview List as discussed below, HR will randomize each group as necessary to fill the Final Interview List, using a computerized system. If there are 10 or fewer Candidates, no randomization is required. This sorted, randomized list is the Preliminary Interview List.

9. Creation of a Final Interview List. HR shall create a Final Interview List of the Candidates to be interviewed as follows:

- a. If the Position is on the Internal Candidate Preference List, HR shall create the Final Interview List by adding all the Internal Candidates from the Preliminary Interview List.
- b. If the Position is not on the Internal Candidate Preference List or if there are less than 10 Internal Candidates for a single Vacancy or 5 Internal Candidates per Vacancy for multiple Vacancies, HR shall add Candidates to the Final Interview List in the order they appear on the Preliminary Interview List until there are 10 Candidates for a single Vacancy or 5 Candidates per Vacancy for multiple Vacancies.

10. Review by DOC and ACA. The DOC and ACA, while acting, along with the Director of HR or his or her Designee shall have full access at all times to all documents and all aspects of the general hiring process for each posting and may review them on an ongoing basis. If the DOC or ACA, while acting, concludes that an error was made at any point during the hiring process, a notice of the error shall be made immediately to the Director of HR or his or her Designee, along with a request to take appropriate steps to resolve the error. The DOC or the ACA, while acting, may suspend a hiring process until the Director of HR, the DOC, and the ACA, while acting, have met and conferred about the error. If the Director of HR disagrees with the DOC or ACA, while acting, and moves forward with the hiring process, the Director of HR shall provide a written response documenting the reasons for the decision.

11. Use of Validated Eligibility List and Preliminary Interview List. The Validated Eligibility List and Preliminary Interview List shall be valid and may be used for purposes of filling vacancies for the posted Position for a period of twelve (12) months from the date created. The Director of HR, in consultation with the Deputy of the Hiring Department, shall decide if an existing Validated Eligibility List or Preliminary Interview List will be used to fill a Vacancy or if the Vacancy will be Posted. Written notice of the decision to use or not use an existing Validated Eligibility List or Preliminary Interview List shall be provided to the DOC and the ACA, while acting, before a List is used or the Position is posted.

H. Electronic Application System. The Electronic Application System shall be completed, tested and trained for use on a good faith priority basis. As soon as is practical, the hard copy application process will be phased out. Any EAS system adopted by the AO must comply with

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all of the provisions of the Employment Plan. The Employment Plan may need to be amended to include the procedures applicable to the EAS.

I. Interview Preparation.

1. Interview Scheduling. The Director of HR or his or her Designee shall schedule interviews of all Candidates listed on the Final Interview List and provide the schedule to the DOC and the ACA, while acting, at least two days prior to the date of the first interview. If one or more Candidates on the Final Interview List is unavailable, the next eligible Candidate or Candidates on the Preliminary Interview List shall be moved on to the Final Interview List and be contacted for an interview.

2. Interview Panel Selection. The Director of HR in consultation with the Chief Administrative Officer, shall select the Interview Panel consisting of (i) the Deputy of the Hiring Department and (ii) two or three management level Employees in the Hiring Department with knowledge and competence in the skills and abilities sought of the Position to be filled. At least one of the members of the Interview Panel must have first-hand knowledge of the job duties and Minimum Qualifications of the Position. HR shall send a list with the names of the Employees who will make up the Interview Panel to the DOC and ACA, while acting, at least two days prior to the interviews for review and comment. No Employee may be assigned to an Interview Panel without first receiving interview training and certification described in Section IV.G above. No Employee, including the Deputy of the Hiring Department, may be assigned to the Interview Panel if a Conflict of Interest exists pursuant to Section VII.J.3.c.

3. Interview Questions. The Deputy of the Hiring Department shall prepare a list of a minimum of 10 interview questions relating to the open Position. The interview questions shall establish, at a minimum, the Candidate's: (i) willingness and ability to do the job; (ii) prior job performance; (iii) knowledge and understanding of the Position; (iv) relative qualifications for the Position as compared with other Candidates; and (v) overall credibility. The Deputy of the Hiring Department or his or her Designee shall send the list of interview questions, including proposed assigned weights for each question, to the Director of HR or his or her Designee. The Director of HR or his or her Designee, in conjunction with the Deputy of the Hiring Department, shall amend or approve the questions, select five or more questions to be used for interviews for that posting, and determine final scoring weights for each question. The Chief Legal Officer or his or her Designee shall verify that the questions asked will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. The Director of HR or his or her Designee shall then send the final list of questions to the DOC and ACA, while acting, at least three days prior to the interview for review and comment. All questions shall be considered and treated as confidential, and they may not be disclosed to anyone other than the Director of HR, his or her Designee, the DOC and the ACA, while acting, prior to the interviews. 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 the questions or answers to Candidates and provided the questions remain related to the duties of the Position.

4. Pre-Interview License and Certification Verification. All Candidates must produce copies of required documents (e.g. current driver's license, diploma or proof of

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graduation, certifications, etc.) listed on the Notice of Job Opportunity by the conclusion of all of the interviews for the Position. Copies of all documents provided by the Candidates shall be included in the Interview File. Candidates who do not produce the required documents by the conclusion of all of the interviews for the Position shall be considered ineligible for further consideration. Any such ineligibility will be noted on the Final Interview List.

J. Interview of Candidates. The following shall apply to the interview of Candidates:

1. Notification. At least 48 hours prior to any interview, the Director of HR or his or her Designee shall notify the DOC and ACA, while acting, in writing of the time and place of each interview. The Director of HR or his or her Designee, the DOC and ACA, while acting, may be present to monitor any interview.

2. Pre-Interview 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. Each pre-employment test shall be administered, scored, considered, and weighted on a consistent basis for each Candidate.

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

- a. The Director of HR or his or her Designee shall facilitate the conducting of interviews by informing the Interview Panel and the Deputy of the Hiring Department of the interview process, being available while interviews are being conducted to answer any questions from the Interview Panel and Candidates, requesting that any applicable forms be completed, picking up completed forms and other required documentation at the conclusion of each interview, and reviewing forms for completeness.
- b. At least 48 hours prior to any interview, the Director of HR or his or her Designee shall circulate to the Interview Panel the list of interviewee names and applicant materials to review and to determine whether a Conflict of Interest, as outlined in Section VII.J.3.c., exists.
- c. In the event a panel member discovers a Conflict of Interest between a Candidate and a member of the Interview Panel prior to or during any interview, the interview panel member shall, as soon as possible, notify the other members of the Interview Panel, the Director of HR or his or her Designee, the DOC, and the ACA, while acting, that a Conflict of Interest exists and that a substitution is needed. In the event any panel member becomes aware that any other panel member has a Conflict of Interest prior to or during any interview, he or she will advise the Director of HR or his or her Designee, who will determine whether a Conflict of Interest exists. If a Conflict of Interest is determined to exist, the conflicted panel member shall be removed from the Interview Panel and shall not participate in the interviews or the selection process. If a Conflict of

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Interest involving an Interview Panel member is discovered during or after an interview, the Director of HR, DOC, and ACA, while acting, must be promptly notified, and the Director of HR shall resolve the conflict by selecting a new panel member or convening a second Interview Panel. Any Conflict of Interest discovered prior to, during, or after an interview shall be documented by the Director of HR or his or her Designee and reviewed by the DOC, and ACA, while acting, and included in the Interview File.

- d. The interview questions selected in accordance with Sections VII.I.3 shall be used to evaluate Candidates and complete the Interviewer Evaluation Form.
- e. All Candidates interviewed for the same Position will be asked to respond to the same pre-approved interview questions. 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.
- f. Candidates who fail to appear for interview within 15 minutes of the scheduled time will not be interviewed. Any such Candidate will not be considered for the Position during the current posting cycle. Also, any Candidate who cancels an interview less than 48-hours prior the scheduled time slot will not receive further consideration for the Position during the current posting cycle.

4. Interviewer Evaluation Form. Each interviewer shall independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of each interview and shall 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 in detail by the interviewer on his or her Interviewer Evaluation Form. Upon conclusion of each interview, no person may alter, add to, or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers shall submit the original completed Interviewer Evaluation Forms to the Director of HR or his or her Designee.

5. Scored Interview List. The Director of HR or his or her Designee shall tabulate the scores of the Candidates and rank them in order from the highest to lowest score for the Scored Interview List. The DOC shall verify the tabulated scores prior to the Ranking Meeting. Any Candidate who receives a combined overall average score of less than 3 will not be eligible for further consideration.

K. Candidate Ranking Procedure. Following completion of interviews with all eligible Candidates on the Scored Interview List, the final Candidate(s) shall be selected in accordance with the following:

1. Ranking Meeting. Within three days following the last Candidate interview, the Interview Panel shall conduct a Ranking Meeting at which all of the interviewers are present and

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at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding those Candidates on the Scored Interview List who received average interview scores of 3.0 or higher. The Interview Panel shall be provided with a copy of the Scored Interview List and will discuss those Candidates in the order they appear on the Scored Interview List. The Director of HR or his or her Designee shall be available to the panel to provide advice and expertise. The DOC and ACA, while acting, may attend Ranking Meetings. Members of the Interview Panel may not discuss Candidates prior to the Ranking Meeting.

2. Documentation of Ranking Meeting. The Director of HR or his or her Designee shall take notes at the Ranking Meeting. The notes shall include a description of why, how and by whom each Candidate was ranked; and how each Candidate was ranked by each member of the Interview Panel. The notes shall also indicate the objective basis or bases on which any Candidate was ranked by the panel, or the basis or bases on which any Candidate was not ranked by the panel. The notes and the Interview Evaluation Forms and the Interview Panel Ranking Form shall be included in the Interview File.

3. Interview Panel Ranking Form. The Interview Panel shall create an Interview Panel Ranking Form, listing in order of preference for hire, those Candidates who are deemed suitable for hiring by a majority vote of the Interview Panel. The Interview Panel Ranking Form 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.

4. Use of Interview Panel Ranking Form for Subsequent Vacancy. The Deputy of the Hiring Department, in consultation with the Director of HR, shall decide if a subsequent Vacancy will be filled using the Interview Panel Ranking Form or if the subsequent Vacancy will be Posted. The decision shall be documented and placed in the Posting File for the additional Vacancy and provided to the DOC and the ACA, while acting.

5. Internship/Externship Weight. In the course of evaluating Applicants and Candidates for employment into Positions in the Assessor's Office, the Assessor shall give no consideration or weight to whether an Applicant has, at any point, performed an Internship or Externship with the Assessor.

L. Final Screening. HR shall conduct a final screening of the Candidate or Candidates on the Interview Panel Ranking Form as follows:

1. Review of Interview Panel Ranking Form. The Director of HR or his or her Designee, the DOC, and ACA, while acting, shall review the Interview File and verify that the Candidate or Candidates listed on the Interview Panel Ranking Form and recommended by the Interview Panel for selection are in compliance with the requirements of this Employment Plan. If either the Director of HR (or his or her Designee) or the DOC determines that the selection of a Candidate or Candidates listed on the Interview Panel Ranking Form was not in compliance with this Employment Plan or, while in effect, the Agreed Order, the process shall be suspended until the issue is resolved to the satisfaction of the Director of HR.

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2. Ineligible Candidate. If a selected Candidate is found to be ineligible after the final screening, the Deputy of the Hiring Department shall remove the Candidate from the Interview Panel Ranking Form.

M. Final Selection; Justification to Hire. The Assessor or his or her Designee shall review the Interview File including the Interview Panel Ranking Form and Ranking Meeting notes, make the final selection, and shall authorize the hiring of the final Candidate, or Candidates if multiple vacancies, by signing the Grant of Authority along with an NPCC. The Deputy of the Hiring Department shall submit a Justification to Hire along with an NPCC to the Director of HR setting forth the objective basis or bases for the hiring with an explanation of the justification for the selection. The Director of HR shall provide a copy of the Justification to Hire and NPCC to the DOC and ACA, while acting. 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 Assessor or his/her Designee shall prepare a written explanation of the basis or bases on which the selection was made and send it to the Director of HR along with an NPCC. The Director of HR shall provide a copy of the written explanation and NPCC to the DOC and ACA, while acting.

N. Grant of Authority. The Director of HR, or his or her Designee, shall prepare the Grant of Authority Form, which shall include at least the name(s) of the selected Candidate(s) and the proposed salary. The Assessor or his or her Designee shall authorize the hiring of the selected Candidate, or Candidates if multiple vacancies, by signing the Grant of Authority prepared by the Director of HR, along with an NPCC.

O. Posting File. The Director of HR shall maintain the full Posting File. The Posting File shall include the Request to Hire, current Position Description, Notice of Job Opportunity, Contact Log, Applicant List, Validated Eligibility List, Preliminary Interview List, Final Interview List, a list of the persons on the Interview Panel, the interview questions, testing protocols, documented Conflicts of Interest, Interview Evaluation Forms, Scored Interview List, notes from the Ranking Meeting, the Interview Panel Ranking Form, Justification to Hire with written explanation provided pursuant to Section VII.M, if applicable, Grant of Authority, NPCC, and any other documentation regarding the selection and ranking of the selected Candidate, including all forms identified in Section VII. Copies of all such documentation shall also be made available to the DOC and the ACA, while acting, within two days of the final selection of the Candidate, if not previously provided.

P. Documentation Review. The Director of HR or his or her Designee shall review the full Posting File to ensure that it contains all required documentation relating to the posting before extending an offer of employment to any selected Candidate. No offer shall be extended prior to the Director of HR, DOC, and ACA, while acting, receiving all required documents and supporting materials from the Hiring Department, Interview Panel, or Assessor.

Q. Offers of Employment. HR shall extend employment offers in accordance with the following:

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1. Extension of Offer. After the Assessor's signed authorization and selection of the Candidate on the completed Grant of Authority Form, the Chief Administrative Officer or his or her Designee shall extend a written offer of employment to the selected Candidate(s). All offers of employment shall be made in writing and copies shall be included in the Posting File and each Candidate's Personnel File. The Chief Administrative Officer or Designee shall notify the Assessor, the Deputy of the Hiring Department, the DOC, and the ACA, while acting, of the disposition of the offer.

2. Unaccepted Offer. If a Candidate does not accept the offer of employment, the Assessor or Chief Deputy Assessor shall make a further selection pursuant to Section VII.M and so on. Any communication from a Candidate declining an offer of employment, whether written or verbal, shall be included on the Contact Log, included in the Posting File, and timely communicated to the DOC and the ACA, while acting.

3. No Additional Candidates. If no interviewed Candidate on the Interview Panel Ranking Form is eligible and accepts the offer of employment, the remaining Candidates on the Preliminary Interview List prepared in accordance with Section VII.G. will be interviewed, scored, ranked, and considered pursuant to Sections VII.I-K until the Candidates on the Preliminary Interview List are exhausted. After the Preliminary Interview List is exhausted, the Position will be reposted.

4. NPCC. The selected Candidate shall complete and sign an NPCC.

VIII. EMPLOYEE CERTIFICATION.

All Employees involved in any Employment Action, including, without limitation, the Director of HR and the Deputy of the Department taking the Employment Action, but excepting Employees providing purely clerical functions, shall complete and sign an NPCC for each such Employment Action. All Applicants must complete an Applicant NPCC upon making an application on EAS (when operative) or in writing.

IX. EXCEPTIONS TO THE GENERAL HIRING PROCESS.

The following limited exceptions apply to Section VII General Hiring Process or portions thereof. The General Principles set forth in Section III and Section VI and the Section VIII apply to the exceptions in this Section IX. No exception described in this Section IX shall be interpreted to permit any Employment Action covering Non-Exempt Positions to be based on any Political Reasons or Factors.

A. Cross-Training. Cross-Training shall be conducted in accordance with the CBA and the Employee Handbook.

B. Demotion. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Demotions.

C. Layoffs. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook and applicable federal, state, and/or local law with respect to Layoffs.

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D. Promotion. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Promotions.

E. Recall and Reemployment. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Recalls and Reemployment.

F. Reclassifications. Reclassifications of Employees shall be decided based on the operational and business needs and goals of the Assessor in accordance with the CBA and the Employee Handbook and applicable federal, state, and/or local law.

G. Settlements and Awards. The Assessor may comply with any judgment, negotiated settlement of a claim, complaint or arbitration award that requires the Assessor 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.

H. Temporary Assignments. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Temporary Assignments.

I. Transfers. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Transfers.

J. Upgrades. The Assessor shall follow the applicable provisions in the CBA and the Employee Handbook with respect to Upgrades.

X. INTERN/EXTERN ACCEPTANCE PROCESS

The Assessor's Office shall follow the following processes for Internships and Externships.

A. Placed by Academic Institution or Non-Political Organization. When the Intern/Extern is provided directly by an academic institution or other non-political organization with an internship/externship program, and the Assessor's Office has no discretion or input in recommending or selecting the Intern/Extern, the Assessor's Office will follow the placement procedures of the academic institution or other non-political organization with an internship/externship program. In situations where the Assessor's Office receives an Intern/Extern from an academic institution or other non-political organization with an internship/externship program, prior to commencing the Internship/Externship, the Assessor's Office shall obtain a NPCC from the academic institution or other non-political organization with an internship/externship program. The successful Intern/Extern also shall complete an NPCC prior to commencing the Internship/Externship.

B. Hiring of Paid Interns. The Assessor shall follow the General Hiring Process described in Section VII for all paid Interns not placed pursuant to Section X.A-B.

C. Direct Placement. When an Intern/Extern from an academic institution or other non-political organization is selected by the Assessor's Office not pursuant to Section X.A-C, the following process shall be used:

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1. Scope and Number. Deputies interested in having Intern/Externs in their Department shall submit a Request for Intern/Extern form setting forth the number of Interns/Externs requested, the background/skills sought, and the scope of duties to be performed by each. The Assessor or his or her Designee shall determine the scope and number of Internships/Externships, based on the operational needs of the Office. The final number of Interns/Externs and the scope of duties to be performed shall be documented on the Request for Intern/Extern form. Because of the changing operational needs, the determination of the scope will be made as close to the starting time of the potential Internship/Externship as possible. (*i.e.*, by the end of April for an Internship/Externship commencing in June). The determination of scope will be made prior to review of any Intern/Extern application for direct placement (Section X.D).
2. Notice of Availability. The Director of Training or the Director of HR shall send a Notice of the Availability of an Internship/Externship to academic institutions and other non-political organizations, primarily within Cook County. The Notice of the Availability shall describe the position, the background/skills sought, term, expected duties, hourly/weekly time commitment, and other material aspects of the position. The Notice of the Availability shall include a statement that any political contact on behalf of a student will result in the disqualification of the student from consideration for an Internship/Externship. The Notice of the Availability shall also include the deadline for applying, an application form, and the directions on how and where to apply. The Notice of the Availability shall be posted in compliance with Section VII.D.1. Applications will be filed on EAS when operational, but until then, in paper form. A copy of the Notice of the Availability shall be provided to the DOC and the ACA, while acting, prior to sending to academic institutions and other non-political organizations.
3. Validation and Offers. The Director of HR or his or her Designee shall review the Intern/Extern applications to determine whether the student's background and area of study match any of the scopes of the Internship/Externship identified above. If the student's background and area of study do not match any of the Internship/Externships, the Applicant shall be removed from further consideration. The Director of HR or his or her Designee shall document the results of his/her review and attach the notes to the application materials. If there are enough Internship/Externship opportunities for all qualified students, the Chief Administrative Officer or his or her Designee shall extend offers based on how students match the Internships/Externships. If there are more qualified Applicants than there are available Internship/Externships, the Director of HR or his or her Designee shall rank the qualified students for each of the Internships/Externships. The Chief Administrative Officer or his or her Designee shall offer the Internships/Externships to qualified students in the order the students appear on the ranked lists for each Internship/Externship.
4. No Political Reasons or Factors. The Director of HR or his or her Designee or any Employee involved in the selection or hiring of paid or unpaid interns or externs shall not consider any Political Reasons or Factors in evaluating any student for an Internship/Externship and shall complete an NPCC for each student reviewed.
5. Intern/Extern NPCC. The selected Intern/Extern shall complete an NPCC prior to commencing the Internship/Externship.

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D. Review by the DOC and the ACA, while Acting. The Assessor's Office shall provide written notice to the DOC and the ACA, while acting, of all actions taken regarding the hiring of paid or unpaid interns or externs.

XI. EXECUTIVE ASSISTANT EMPLOYMENT HIRING PROCESS

In order to assist an Exempt Deputy or Director in hiring and retaining a direct-report clerical and secretarial assistant that the Exempt Deputy or Director knows possesses the experience, skills, competence, and confidentiality needed to perform the job effectively, each Exempt Deputy or Director may use the following procedure for hiring an individual to fill his or her Executive Assistant Position. The current list of Executive Assistant Positions is attached as Exhibit II - 1.

A. Posting the Executive Assistant List. The Assessor's Office will post and maintain a current Executive Assistant List in the HR Department and on the Assessor's Website. The posting will include: (a) the Exempt Deputy or Director Position to which the Executive Assistant Position is assigned, (b) the job title, and (c) a link to the Position Description for each Executive Assistant Position.

B. Changes to Executive Assistant List. The Assessor's Office may from time to time change the Executive Assistant List to reflect the changing needs of the Assessor's Office. The Assessor's Office will follow the procedures that apply to adding Positions to the Exempt List. The Assessor or his or her Designee shall send written notice of any proposed change to the Executive Assistant List, along with supporting documentation, to the DOC. Until the effective date of a court order terminating the Agreed Order, a copy will also be sent to Plaintiffs' Counsel and the ACA, while acting. The Assessor's Office will repost any amended Executive Assistant List at the HR Department and on the Assessor's Website within 10 days of any change being approved. The DOC will oversee the update, maintenance and posting of the Executive Assistant List to assure its accuracy.

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

D. Submission of RTH. The hiring Deputy or Director must submit a RTH to the Director of HR or his/her Designee. The RTH must be signed by the hiring Deputy or Director. The hiring Deputy or Director must receive written approval to fill the Position from the Assessor and Chief Administrative Officer. The Director of HR or his/her Designee shall provide a copy of the RTH to the DOC and the ACA, while acting, pursuant to Section VII.C.1.

E. Identification and Selection of Candidate. The hiring Deputy or Director shall send a written notification with the RTH to the Director of HR or his/her Designee. The Director of HR or his/her Designee shall submit a copy of the written notification with the RTH to the DOC and the ACA, while acting. Such notification shall include (1) the name of the individual the hiring Deputy or Director has selected to perform services as his or her Executive Assistant; (2) the personal knowledge upon which the hiring Deputy made such selection (e.g., personal knowledge of the selected individual's employment history, past working relationship, etc.); (3)

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copies of any licenses or certifications required; and (4) a NPCC signed by the hiring Deputy or Director.

F. 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. Position Description. The Director of HR and the hiring Deputy or Director shall review and update the Position Description to ensure it is current and accurate for each Executive Assistant Position as described in Section IV.I. Each such Position Description shall meet the definition of Executive Assistant contained in this Employment Plan and be approved by the Director of HR. A copy of the Position Description shall be provided to the DOC and the ACA, while acting.

2. Entry of Position Description on EAS. The Assessor shall enter the Executive Assistant Position Description on EAS (when operative) and HR shall create a Notice of Job Opportunity for all Executive Assistant Positions on EAS (when operative) as described in Section VII.D. Entry on EAS of the Position does not require public posting.

3. Submission, Screening and Verification of Application. The individual selected by the hiring Deputy or Director to fill the Executive Assistant Position shall complete an employment application in paper format or, when feasible, on EAS. The Director of HR or his or her Designee shall provide a copy of the application materials to the DOC and the ACA, while acting. The Director of HR or his or her Designee and the DOC shall validate the application as described in Sections VII.G, and verify that the individual selected by the hiring Deputy (a) possesses the Minimum Qualifications as set forth in the Executive Assistant Position Description; (b) has provided any licenses and certifications required; and (c) if he or she was or is an employee of the Assessor's Office, he or she was not (i) terminated for cause during the previous five years, or (ii) included on the Ineligible For Rehire List. If the Director of HR or his or her Designee and the DOC conclude that the selected individual does not meet any one of the three criteria, the Director of HR shall advise the hiring Deputy or Director 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 after meeting, the DOC and the Director of HR do not agree that the individual possesses the Minimum Qualifications or any applicable required license or certification, the objector will prepare a memorandum documenting the deficiency. If the Director of HR still maintains that the individual possesses the Minimum Qualifications and any applicable required license or certification, the Director of HR will provide a written explanation of why the Director of HR believes the individual possesses the Minimum Qualifications and, if applicable, any licenses or certifications, required for the Executive Assistant Position to the DOC and the ACA, while acting.

4. Hiring. Upon completion of the verification described in Section X.F.3, HR will take steps to complete the hiring process and send written notice (including a copy of all the required documents) to the DOC and the ACA, while acting. The successful Candidate shall complete and sign a NPCC.

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G. Transfer/Reassignment. Individuals hired through the Executive Assistant Employment Hiring Process shall not be placed in any other Position (whether through Transfer, Promotion, Reassignment, Reclassification, or any other means) without first going through the applicable hiring process for the new Position as provided in this Employment Plan.

H. Termination. Because an Executive Assistant is hired specifically to assist a certain Deputy, the primary duties of the Executive Assistant include the performance of executive-level administrative services to that Deputy or Director. An Executive Assistant is not covered by a CBA, is an at-will employee, and may be terminated from employment with the Assessor's Office when that Deputy or Director is separated from employment with the Assessor's Office. Such Termination does not give rise to a claim of political discrimination unless the Termination was based on Political Reasons or Factors directed at the Executive Assistant separate and apart from the Deputy or Director. For purposes of this Section, however, the termination of an Executive Assistant in connection with or as a result of the departure or termination of a Deputy or Director shall not in and of itself be deemed to constitute an Employment Action based upon Political Reasons or Factors.

XII. EXEMPT POSITION HIRING PROCESS

A. Hiring Process. 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 shall apply to the hiring of all individuals in Exempt Positions:

1. Position Description. The Assessor, or his or her Designee, and the Director of HR, or his or her Designee, shall create, revise and maintain a current and accurate Position Description containing Minimum Qualifications for each Exempt Position pursuant to Section VII.C.2. The Assessor, or his or her Designee, and the Director of HR, or his or her Designee, will also review the Position Description of a vacant, Exempt Position prior to seeking to fill that Position also pursuant to Section VII.C.2. The Director of HR shall maintain the Exempt List and shall post the Exempt List and all Exempt Position Descriptions on the Assessor's Website.

2. Submission and Screening of Application. The individual selected to fill the Exempt Position shall complete an employment application on EAS when operational, but until then, in paper form. The Director of HR shall provide a copy of the employment application to the DOC and ACA, while acting. The Director of HR, or his or her Designee, and the DOC shall review the application and conduct a validation to confirm that the individual possesses the Minimum Qualifications and any applicable required license or certification for the Exempt Position. If the DOC or the Director of HR determines that the individual does not possess the Minimum Qualifications or any applicable required license or certification for the Exempt Position, the DOC and the Director of HR, or his or her Designee, shall meet and confer. If after meeting, the DOC or the Director of HR still does not believe that the individual possesses the Minimum Qualifications or any applicable required license or certification, the DOC shall prepare a memorandum to the Assessor documenting the deficiency. If the Assessor still maintains that the individual possesses the Minimum Qualifications and any applicable required license or certification, the Assessor shall provide a written explanation of why he or she believes the individual possesses the Minimum Qualifications and, if applicable, any licenses or certifications, required for the Exempt Position to the DOC and the ACA, while acting.

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3. Confirmation of Exempt Position. Prior to the hiring of an Exempt Applicant, the Director of HR, or his or her Designee, shall obtain written confirmation from the DOC that the Position Identification Number and the Position title for the Exempt Position is contained on the Exempt List.

B. No Other Specific Selection Process Required. Except as specifically provided in this Section XII, the Assessor and HR 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 Exempt List is attached as Exhibit II – 2. The Assessor may from time to time change the Exempt List by adding Exempt Positions, or deleting Exempt Positions, or amending the titles or job duties of Exempt Positions contained on the Exempt List. Such changes shall be made as follows:

1. Request to Change by the Assessor. The Assessor or his or her Designee shall send written notice of any proposed change to a Position on the Exempt List, along with supporting documentation including, but not limited to (a) the Job Code and Position Identification Number of the Exempt Position (including a copy of the current Position Description) and (b) a description of the basis on which the change is proposed to the DOC. Until the effective date of a court order terminating the Agreed Order, a copy will also be sent to Plaintiffs' Counsel and the ACA, while acting. The DOC shall provide a written approval or objection to the proposed change within five days of receipt. If the DOC provides an objection to the change, the Assessor or his or her Designee and the DOC shall meet to discuss the matter within three days from the objection. If the DOC does not rescind his or her objection following such discussion, the proposed change shall not be implemented unless otherwise approved by a court of competent jurisdiction. If the Assessor proceeds with implementing the proposed change over the DOC's objection and without court approval, such implementation shall be considered a violation of this Employment Plan. The DOC's objections shall be available to the public. It is expressly acknowledged and understood that the DOC is being provided authority to opine on proposed additions or deletions to the Exempt List, any reduction or elimination of any of the duties of an Exempt Position, and any change to the Minimum Qualifications or the reporting responsibilities of an Exempt Position. Nothing herein shall be deemed to be an abdication or transfer of authority from the Assessor to the DOC.

2. Notice to Plaintiffs' Counsel. Until the effective date of a court order terminating the Agreed Order, if the DOC approves the proposed change, the Assessor shall send confirmation of the DOC's approval or disapproval to Plaintiffs' Counsel. Proposed changes to the Exempt List shall not be implemented until after ten days of providing confirmation of the DOC's approval to Plaintiffs' Counsel. If Plaintiffs' Counsel sends a written objection of the proposed change to the Exempt List to the Chief Administrative Officer, the Assessor, and the DOC within ten days of the Assessor providing written notice of the DOC's approval of the Exempt change, the Position shall not be removed from, placed on, or revised on the Exempt List and the matter shall be referred to the ACA, while acting, for a recommendation and then to the court having jurisdiction in the *Shakman* Case for final resolution. Upon objection by Plaintiffs' Counsel, the Exempt List shall not be changed until final resolution by the court. If Plaintiffs' Counsel does not send a written objection of the proposed change to the Exempt List to the Chief

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Administrative Officer, the Assessor, and the DOC within ten days of the Assessor providing written notice of the DOC's approval of the Exempt change, the change shall be implemented and notice of such action will be filed with the court having jurisdiction in the *Shakman* Case.

D. Posting of Exempt List. The Assessor or his or her Designee shall post the then-current Exempt List at the Assessor's offices and on the Assessor's Website (on which the Assessor's Annual Appropriation Ordinance is accessible). The postings shall include (i) the name of the Department to which the Exempt Position is assigned, (ii) the job title and Position Identification Number, (iii) the grade level, and (iv) the date the Exempt List was approved. A copy of the Assessor's then-current year's Annual Appropriation Ordinance shall also be posted on the Assessor Website. The Assessor shall repost and update the Exempt List within five days of the occurrence of any applicable change made pursuant to Section XII.C.

E. Removal. An Employee holding an Exempt Position may be terminated or subject to any action covered by this Plan with or without cause, so long as it is not an illegal reason.

F. Maintenance of Exempt Position Status. Any Employee who is appointed to an Exempt Position shall continue to be considered Exempt, even if subsequently placed into a Non-Exempt Position, and his or her Exempt status shall not change unless he or she is subsequently hired into a Non-Exempt Position that is filled through the General Hiring Process or otherwise required by applicable federal, state, or local law.

XIII. DIRECTOR OF COMPLIANCE HIRING PROCESS

A. Prior to the effective date of the Court Order terminating the Agreed Order, the Assessor's Office shall hire a DOC in accordance with the following process:

1. A DOC "Vetting Panel" shall consist of one Assessor employee, two Assessor's counsel, and the Assessor Compliance Administrator ("ACA"). The Vetting Panel shall evaluate and assess the applications and qualifications of applicants for the Director of Compliance position in the Assessor's Office.

2. The Assessor's Office shall prepare the Job Posting, Position Description, rating and ranking criteria, and interview questions. The documents shall be circulated for review and comments from the ACA, and, Plaintiffs' Counsel, until the dissolution of the Agreed Order, and finalized by the Assessor's Office.

3. The position shall be posted for 14 days on the Assessor's Office's website via the Jobs page and internally in hard copy on bulletin boards, the Cook County website via the Jobs page, on [Indeed.com](https://www.indeed.com), and with professional organizations such as the Society for Human Resources Management, Illinois State Bar Association Career Center. All postings shall direct applicants to the Assessor's Office job site for submission of applications.

4. After the closing date, all applications shall be reviewed by the Human Resources Deputy to identify the applications of applicants who have not completed the application process as specified in the Position Description, including providing all documentation required. The eliminated applications and reasons for elimination shall be made available to the ACA and his

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counsel and staff, and the process will be documented should the ACA seek to audit at a later date.

5. The remaining applications shall be copied for each member of the Vetting Panel and treated as confidential.

6. The applications shall include a question asking whether, at the time of the application, the applicant knows of any current Assessor employee with whom the applicant has or has had a familial, business, and/or professional relationship. The applications shall also include a section allowing the applicant to describe the extent of any such relationship. The Vetting Panel shall jointly evaluate whether the relationship or affiliation gives the appearance of impropriety and, therefore, disqualifies the applicant.

7. The applications shall include a question asking whether the applicant has ever served as a candidate, officer, employee, or consultant of any partisan political organization or partisan politically affiliated group. If so, the applicant MUST submit a list of all such instances. The Vetting Panel shall jointly evaluate whether any such instances present an actual or the appearance of political influence which may cloud objectivity of the applicant and, therefore, disqualifies the applicant.

8. The application shall include a question asking whether the applicant has worked on behalf of any party, entity, or individual in connection with the *Shakman* litigation at any point and if so, the applicant MUST identify the entity or person the applicant worked for and describe the work performed. The Vetting Panel shall jointly evaluate whether any such work may cloud the objectivity of the applicant and, therefore, disqualifies the applicant.

9. The Vetting Panel shall jointly evaluate and rank each candidate using whatever procedures and objective evaluation approaches it deems advisable. Any evaluation sheets and notes, including any interview notes, taken by the DOC Vetting Panel shall be preserved by the ACA, while acting. The numeric rankings of each candidate shall be treated as confidential.

10. The Vetting Panel shall forward the names of their four highest ranked candidates (without designation of any numeric ranking) to the Assessor and, until the dissolution of the Agreed Order, Plaintiffs' counsel, for interviews.

11. The candidates referred by the Vetting Panel shall be invited to interview with the Interview Panel. All interviews shall be monitored by the ACA, while acting.

12. The interviewers shall evaluate the candidates as instructed on the Interview Evaluation Sheets using the approved interview questions, relevant follow-up questions, ranking criteria, and whatever further procedures and objective evaluation approaches the interviewers deem advisable. Copies of all Interview Evaluation Sheets will be maintained for possible future ACA audit, and the interviews will be conducted with ACA monitoring, while acting.

13. The Interview Evaluation Sheets shall be distributed to the Interview Panel. The Interview Panel shall then conduct a Ranking Meeting to discuss the candidates interviewed. The ACA, while acting, shall monitor this meeting. The Interview Panel shall rank the top four candidates in order of preference on the Interview Panel Ranking Form, which shall be

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forwarded to the Assessor, Chief Legal Officer, and, until the dissolution of the Agreed Order, the Plaintiffs' Counsel and the ACA.

14. Any questions concerning the process will be addressed jointly by conference call or email to the Chief Legal Officer, and, until the dissolution of the Agreed Order, Plaintiffs' Counsel and the ACA.

15. The Assessor shall determine the best qualified candidate for the position. If none of the individuals on the list of candidates provided by the Vetting Panel is acceptable to the Assessor, the Vetting Panel shall forward the names of the next four highest ranked candidates to the Interview Panel, the Assessor, the Chief Legal Officer and, until the dissolution of the Agreed Order, Plaintiffs' counsel and the ACA for interviewing, evaluation, and ranking. If no additional candidates are deemed by the Vetting Panel as appropriate for interview, or if there are not at least four remaining Candidates, the position shall will be reposted and the same process shall be repeated.

16. Notification of the selection shall be forwarded by the Assessor or the Chief Legal Officer to the Vetting Panel and Interview Panel members, and, until the dissolution of the Agreed Order, Plaintiffs' Counsel and the ACA.

B. [RESERVED]

C. No Employment Action covering the DOC may be based on any Political Reasons or Factors.

XIV. ACTIVELY RECRUITED POSITION HIRING PROCESS

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

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

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

C. Posting of Notice of Job Opportunity. All Notices of Job Opportunity shall be posted in compliance with Section VII.D.

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

E. Application Screening. Each Applicant will be required to answer Disqualifying Questions and any applicable Prescreening Questions on EAS. Applicants whose answers indicate they do not have all of the Minimum Qualifications will not be considered eligible for

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the Actively Recruited Position. The same Disqualifying Questions and Prescreening Questions will be asked of all Applicants applying for the same Actively Recruited Position.

F. Creation of Validated Eligibility List. After the final posting closing date, HR shall create a Validated Eligibility List for each Actively Recruited Position posted containing the names of all Applicants who complete the application process on EAS and whose responses indicate they possess all Minimum Qualifications for the Actively Recruited Position. HR shall validate the information contained on the online applications and resumes in accordance with Section VII.G. All Applicants on the Validated Eligibility List shall be vetted and the population of Applicants on the Validated Eligibility List will not be reduced through any random selection of a small number of Applicants. The Validated Eligibility List, 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.

G. Appointment of an Application Review Panel. HR, in consultation with 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.H. Supervisors may come from outside the Hiring Department.

H. Creation of Interview List. Upon receipt of the Validated Eligibility List and Job Description from HR, 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 HR to either repost the Actively Recruited Position or the Application Review Panel may place the Candidate(s) on the Interview List. The Director of Compliance and the ACA 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.

I. Interview Preparation.

1. Appointment of an Interview Panel. HR, in consultation with 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.H. 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. HR shall schedule interviews of all Candidates listed on the Interview List and provide the schedule to the Department Head, Interview Panel, the Director of Compliance, and the ACA, while acting, at least 48 hours in advance of the date of the first interview.

3. Interview Questions. The Department Head shall create a minimum of 10 interview questions relating to each Actively Recruited Position and send the interview questions to the Director of HR or his or her designee, who shall review and amend or approve the

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questions. 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 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.

J. Pre-Interview License and Certification Verification. All Candidates shall 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 shall be considered ineligible for further consideration.

K. Interview of Candidates. The following shall apply to the interview of Candidates:

1. Notification. At least 48 hours prior to the date of every interview the Director of Compliance shall be notified in writing of the time and place of each interview. The Director of Compliance 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 Director of HR or his or her designee shall 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 Director of HR 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 Director of HR, the Director of Compliance, 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 shall leave the interview room and shall not participate in the interview or the selection process for that Candidate. The Department Head or his or her designee shall appoint a substitute panel member to replace the panel member. If no substitute is available, the interview shall 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 Director of Compliance 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. All Candidates interviewed for the same Actively Recruited Position shall be asked 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 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 shall not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. None of the above factors shall 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 shall independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview. The interviewer shall 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 shall submit the completed Interviewer Evaluation Forms to HR.

L. 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 shall 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 shall discuss the Candidates interviewed and identify Candidates they recommend for hire and rank them on the Interview Panel Ranking Form. The Director of HR 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 shall indicate the objective basis or bases on which any Candidate was recommended for hire. The notes shall be included in the Interview File. The Director of HR or his or her designee and the Director of Compliance may also attend Interview Panel meetings.

2. Final Ranked Candidate List and Final Selection. Following the Department Head's review of the Interview Panel notes, Interviewer Evaluation Forms, Interview Panel Ranking Form, and Interview File, the Department Head shall create a Final Ranked Candidate List and select the successful Candidate(s) for the Actively Recruited Position(s). The

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Department Head may choose to reject some or all of the Interview Panel's recommendations in creating the Final Ranked Candidate List.

3. 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.

4. Justification to Hire. In accordance with Section VII.M, 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 shall be made part of the Interview File and will be sent to the Director of HR 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 made available to the Director of Compliance.

M. Final Screening. HR shall conduct a final screening of the Candidate selected for each open Actively Recruited Position in accordance with Section VII.L.

N. Offers of Employment. HR shall extend employment offers in accordance with Section VII.Q.

O. Changes to and Posting of Actively Recruited Positions Lists. Changes to the Actively Recruited Positions List shall be made using the same procedures provided for in Section XII.C governing changes to Exempt Positions.

P. Union Membership. If an Actively Recruited Position becomes covered under a CBA, the Actively Recruited Position shall automatically be removed from the Actively Recruited Positions List, and any vacancy for such Actively Recruited Position shall be subject to Section VII.

XV. EMPLOYMENT PLAN AMENDMENTS

The Assessor's Office may from time to time amend the Employment Plan following written notice of any proposed changes to the DOC and to the ACA, while acting. The DOC shall be given an opportunity to review and comment on the proposed amendment prior to implementation. If the DOC objects to the change, he or she must do so in writing within ten days and submit the same to the Chief Administrative Officer and to the ACA, while acting. The Assessor or his or her Designee, the Chief Administrative Officer, the DOC, and the ACA, while acting, will meet to discuss the matter within three days thereafter. The decision of the Assessor on any proposed change to the Employment Plan shall be final, subject to the following paragraph. Proposed changes to the Employment Plan shall not be implemented until after ten days from either the date the DOC was provided notice of the proposed changes or the date the Assessor 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 Agreed Order, after following the procedures described above, the Chief Administrative Officer shall send any proposed changes

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to the Employment Plan to the ACA and Plaintiffs' Counsel. If the ACA or Plaintiffs' Counsel sends a written objection to the proposed change to the Employment Plan to the Chief Administrative Officer within ten days of the providing notice of the change, the Assessor, the Chief Administrative Officer, the ACA and Plaintiffs' Counsel will meet to discuss the proposed change in a good faith effort to reach agreement within three days thereafter. If the Assessor and Plaintiffs' Counsel are unable to reach agreement, the Assessor 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 Agreed Order, all changes to the Employment Plan must be filed and approved by the court in the Shakman Case prior to being implemented by the Assessor.

XVI. CONCLUSION

The Assessor is committed to continuing its practices of being an equal opportunity employer, hiring qualified Candidates and prohibiting Unlawful Political Discrimination with respect to all Employment Actions of the Assessor's Office. This Employment Plan is intended to create transparent and workable processes and procedures that meet the business needs of the Assessor's Office 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 Assessor is prepared to comply with the spirit of the law to meet those situations in the future.

EXHIBIT II-1

Exhibit II-1

Actively Recruited Positions List

1. Director of Training & Continuous Improvement
2. Manager of Commercial Valuations
3. Manager of Residential Valuations
4. Manager of Special Properties

EXHIBIT II-2



COOK COUNTY ASSESSOR'S OFFICE
FRITZ KAEGI, ASSESSOR
ETHICS • FAIRNESS • TRANSPARENCY

Executive Assistant List

Title	Department	Position Description
Executive Assistant	Deputy Assessor - Chief Administrative Officer	Link to Position Description
Executive Assistant	Chief Deputy Assessor	Link to Position Description
Executive Assistant	Deputy Assessor - Chief Valuations Officer	Link to Position Description

EXHIBIT II-3



COOK COUNTY ASSESSOR'S OFFICE

FRITZ KAEGI, ASSESSOR

ETHICS • FAIRNESS • TRANSPARENCY

Exempt List

Title
Executive
Chief Deputy Assessor
Special Assistant
Director of Special Projects
Executive Assistant - Assessor
Administrative Operations
Deputy Assessor - Chief Administrative Officer
Director of Human Resources
Legal
Deputy Assessor - Chief Legal Officer
Director of Legal
Legal Counsel
Legal Counsel
Legal Counsel
Policy
Deputy Assessor - Chief Policy Officer
Director of Policy
Valuations
Deputy Assessor - Chief Valuations Officer
Director of Residential Valuations
Director of Commercial Valuations
Director of Special Properties
Data & Modeling
Deputy Assessor - Chief Data Officer
Senior Data Scientist - Commercial
Senior Data Scientist - Residential
Information Technology
Deputy Assessor - Chief Information Officer
Communications & Outreach
Deputy Assessor - Chief Communications Officer
Director of Communication
Director of Communication
Director of Outreach & Engagement

EXHIBIT II-4



GRANT OF AUTHORITY

Selected Candidate(s): _____

Position Title: _____

Department: _____

Proposed Salary: _____

With respect to all jobs under the Cook County Assessor that are not exempt under the Shakman decision (*Michael L. Shakman, et al vs. Democratic Organization of Cook County, et al.*, case number 69 C 2145), I certify that I am aware that I am strictly prohibited from conditioning, basing, or knowingly prejudicing or affecting any term or aspect of Cook County Assessor employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I certify, under penalty of perjury, as provided by the law that, to the best of my knowledge, political reasons or factors did not enter into any Cook County Assessor employment actions taken with respect to the above Applicant(s)/Employee(s) or the employment or hiring process. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

_____(Sign)

_____(Sign)

_____(Print)

_____(Print)

Chief Administrative Officer

Assessor (or designee)

Date

Date

EXHIBIT II-5



POSTING FILE/INTERVIEW FILE CHECKLIST

Position Title: _____ Grade: _____
 Department: _____ Job Code: _____
 Date of Posting: _____ Date: _____

POSTING FILE CHECKLIST	Completed	Date	Scanned
Request to Hire			
Position Description			
Notice of Job Opportunity			
Method and Location of Posting			
Applicant List			
Contact Log			
Applications			
Validated Eligibility List			
Preliminary Interview List			
Randomization Documentation, if required			
Final Interview List			
Interview Panel Selection Form			
Pre-Interview Testing Protocol			
Interview Questions			
INTERVIEW FILE CHECKLIST			
Pre-Interview Licenses and Certifications			
Conflict of Interest Disclosure			
Interviewer Evaluation Form			
Interview Score Tabulation Worksheet			
Scored Interview List			
Interview Panel Ranking Form			
Ranking Meeting Notes			
Permitted Recommendations			
Justification to Hire			
Grant of Authority			
Offer Letter			
Offer Accepted or Declined			
NPCC completed by Selectee			

Certified: _____ Date: _____
 Director of Human Resources

Reviewed: _____ Date: _____
 Director of Compliance

EXHIBIT II-6



INTERVIEW PANEL RANKING FORM

Position: _____

Number of Positions: _____

Date: _____

Rank

Candidate Name

[illegible]

INTERVIEW PANEL RANKING FORM

Position:

Date:

INTERVIEW PANEL:

With respect to all jobs under the Cook County Assessor that are not exempt under the Shakman decision (*Michael L. Shakman, et al vs. Democratic Organization of Cook County, et al.*, case number 69 C 2145), I certify that I am aware that I am strictly prohibited from conditioning, basing, or knowingly prejudicing or affecting any term or aspect of Cook County Assessor employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I certify, under penalty of perjury, as provided by the law that, to the best of my knowledge, political reasons or factors did not enter into any Cook County Assessor employment actions taken with respect to the above Applicant(s)/Employee(s) or the employment or hiring process. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

Printed Name

Signature

Date

Printed Name

Signature

Date

Printed Name

Signature

Date

Human Resources Representative:

Printed Name

Signature

Date

EXHIBIT II-7



Interview Evaluation Form

Candidate Name: _____

Position: _____

Hiring Department: _____

Interview Date: _____

Interviewer (Print) _____ **Title** _____

Scoring

1=Unacceptable

2=Marginally Acceptable

3=Acceptable

4=Very Good

5=Excellent

Question 1:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is "1" or "5," explain:

Question 2:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is "1" or "5," explain:

Question 3:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is "1" or "5," explain:

Question 4:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is "1" or "5," explain:

Question 5:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is "1" or "5," explain:

Question 6:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is “1” or a “5,” explain:

Question 7:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is “1” or a “5,” explain:

Question 8:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is “1” or a “5,” explain:

Question 9:

Value:

Comments:

Score: 1 2 3 4 5

Circle one score. If score is “1” or a “5,” explain:

Question 10:

Value:

Comments:

Score: 1 2 3 4 5

If score is "1" or a "5", explain:

Are you willing and able to perform the essential duties of this position? Yes No

Are you willing and able to work the required hours at specified location? Yes No

INTERVIEW SUMMARY:

With respect to all jobs under the Cook County Assessor that are not exempt under the Shakman decision (*Michael L. Shakman, et al vs. Democratic Organization of Cook County, et al.*, case number 69 C 2145), I certify that I am aware that I am strictly prohibited from conditioning, basing, or knowingly prejudicing or affecting any term or aspect of Cook County Assessor employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I certify, under penalty of perjury, as provided by the law that, to the best of my knowledge, political reasons or factors did not enter into any Cook County Assessor employment actions taken with respect to the above Applicant(s)/Employee(s) or the employment or hiring process. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

INTERVIEWER SIGNATURE _____ DATE: _____

FOR HR USE ONLY:

Total Score _____ Reviewed by (HR) _____

Signature (HR) _____ Date _____

EXHIBIT II-8

NO POLITICAL CONSIDERATION CERTIFICATION (NPCC)

With respect to all jobs under the jurisdiction of the Cook County Assessor's Office that are not Exempt under Shakman, I certify that I am aware that I am strictly prohibited from conditioning, basing or knowingly prejudicing or affecting any term or aspect of employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I certify, under penalty of perjury, as provided by the law that, to the best of my knowledge, political reasons or factors did not enter into any Assessor's Office employment action taken with respect to the above Applicant/Employee or the employment or hiring process. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

EXHIBIT II-9

Office of the Independent Inspector General

69 West Washington Street, Suite 1160
Chicago, Illinois 60602

Political Contact Log Reporting Form

It is prohibited by law and the policies of Cook County Assessor's Office for any employment action to be taken regarding any position based on political factors or considerations *unless* the position is considered by court order to be "exempt." Examples of employment actions include hiring, promoting, demoting, transferring, terminating, imposing discipline or awarding overtime.**

In order to ensure that the law and policies are followed, *all* employees, regardless of whether they hold exempt or non-exempt positions, have a duty to report *any* contact they have with any politically-related person or organization - or with any individual acting on behalf of such person or organization - if that contact involves an attempt to inquire about or to affect an employment action involving an employee who holds a non-exempt position or is an applicant applying for such a position.*

This form serves as notification and an official record of any contact you may have received from a politically related person or organization. **If you are contacted or know about such a contact, you are required to immediately complete this form** and return it directly to:

Office of the Independent Inspector General

69 West Washington Street, Suite 1160
Chicago, Illinois 60602

Fax: (312) 603-9948

Email: independent.inspectorgeneral@cookcountyil.gov

You are *not* required to assess whether the contact is illegal; rather, you are *only* required to report its occurrence. Please provide all the information requested by this form. If you have any questions, please contact Sharon Goss and/or your supervisor.

Name of Person Making Contact:	Title/Assignment/Affiliation:
Address:	Phone:
Method of Contact: Written Phone Personal Other (specify)	
Name of Political/Other Organization (See note 1 below):	
Name of Employee or Applicant Referenced:	
Position Applied for and Department Referenced:	
Employment Action Referenced (See note 2 below):	
<p>Please describe contact in detail (all information received and given). Attach a copy of letter, memo, e-mail etc.</p> <p>(Please use another sheet if necessary)</p>	
Date of Log Entry:	
Print Your Name:	Title:
Sign Your Name:	Telephone:

1. *A "Politically-related Person or Organization" is defined as any elected or appointed public official or any person employed by, acting as an agent of, affiliated with, promoting or representing any elected or appointed public official or any political organization or politically-affiliated group.
2. **Employment Action: Any change (positive or negative) related to the terms or conditions of employment including, but not limited to, recruitment, determination of eligibility, interviewing, pay, benefits, selection, hiring, transfer, demotion, promotion, detail, termination, discipline, recall, reemployment, reclassification, granting overtime or other job benefit, changing a job assignment, withholding any job benefit, imposition of any employment sanction or detriment.

EXHIBIT II-10

POSITION DESCRIPTION

[Position Title]

Job Summary

The [Position Title] [description of general duties and responsibilities of position]. The [Position Title] reports to [Position Title's supervisor]

Typical Duties

The [Position Title] [description of specific duties and responsibilities of position].

The duties listed are not set forth for purposes of limiting the assignment of work. They are not to be construed as a complete list of the many duties normally to be performed under a job title or those to be performed temporarily outside an employee's normal line of work.

Minimum Qualifications

Minimum Qualification 1.

Minimum Qualification 2.

Minimum Qualification 3.

Minimum Qualification 4.

Preferred Qualifications

Preferred Qualification 1.

Preferred Qualification 2.

Preferred Qualification 3.

Knowledge, Skills, Abilities and Other Characteristics

Knowledge expected for position.

Knowledge expected for position.

Knowledge expected for position.

Skill expected for position.

Skill expected for position.

The ability expected for position.

The ability expected for position.

Work Environment

The position is primarily performed in an office setting, with the majority of the work hours spent at a desk. Some walking to meetings may be required from time to time, as well as standing during interactions with taxpayers.

EXHIBIT II-11



REQUEST TO HIRE FORM

Date: _____

Department: _____

Requesting Deputy/Director: _____

Job Title to be Posted: _____

Justification for Request to Hire:

Applicable to all Signatories below:

With respect to all jobs under the jurisdiction of the Cook County Assessor's Office (CCAO) that are not identified as exempt on the Assessor's Office List of Exempt Positions, as amended and as filed with the court, I certify that I am aware that I am strictly prohibited from conditioning, basing or knowingly prejudicing or affecting any term or aspect of CCAO employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

Dpty./Dir. of Hiring Dept: _____ Date: _____
(Signature)

*** Finance Approval ***

Job Title: _____		Grade: _____	
Business Unit: _____		Job Code: _____	
PCID # _____	Fund: _____	110 <input type="checkbox"/> 130 <input type="checkbox"/>	
Is there budgetary authority to fund this Position?		Yes <input type="checkbox"/> No <input type="checkbox"/>	
Hourly Rate _____	Annual Salary Range: _____		
Range: _____			
Chief Administrative Officer: _____		Date: _____	

*** Human Resources Approval ***			
Is this a Collective Bargaining Agreement Position?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Is this a <i>Shakman</i> Exempt Position?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Date of Position Description			
Is the Position Description accurate and does it reflect the actual duties and Qualifications of the Position?	Yes	<input type="checkbox"/>	No <input type="checkbox"/>
Posting Date: _____	Repost Request Date: _____		
From: _____	To: _____	From: _____	To: _____
Director of Human Resources: _____		Date: _____	