

Cook County Assessor's Office's Employment Plan
Effective: February 1, 2024



COOK COUNTY ASSESSOR'S OFFICE
EMPLOYMENT PLAN

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I. INTRODUCTION

This Employment Plan sets forth the general principles that shall govern the hiring and employment policies and procedures of the Assessor's Office. This Employment Plan applies to all Employees of the Assessor's Office as well as all Applicants and Candidates for Positions within the Assessor's Office. The DOC has the right to monitor any and all aspects of the Employment Plan to evaluate the Assessor's Office's compliance and 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. The Employment Plan provisions are mandatory.

This Employment Plan cannot specifically address every scenario that may arise regarding hiring and other Employment Actions rather is intended to provide a framework for Employment Actions. Employees should consult with Human Resources or the DOC when Employees are uncertain about how to apply provisions in the Employment Plan.

II. DEFINITIONS

The following definitions shall 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. Actively Recruited Positions are (1) non-Exempt Positions; (2) not covered by a CBA; (3) at-will; (4) 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. In addition, Actively Recruited Positions have Minimum Qualifications that require either (1) a Bachelor's degree or (2) at least five years full-time work experience relevant to the Position.

Actively Recruited Positions List: The list of all Actively Recruited Positions attached as Exhibit A, which may be amended from time to time in accordance with Section VIII.P.

Applicant: A person who has submitted an application for a Position.

Application Review Panel: The group of individuals selected to review the Validated Eligibility List pursuant to Section VIII.I.

Assessor: The Cook County Assessor.

Assessor's Office: The Office of the Cook County Assessor.

Assessor's Report: The report issued by the Assessor or Designee, the Deputy Assessor of HR and the Chief Legal Officer in response to (a) a DOC Investigation Report pursuant to Section V.F.5 or (b) an OIIG summary report pursuant to Section VI.B.

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 Employment Plan, Actively Recruited Positions List, Exempt List, Executive Assistant List, Notices of Job Opportunities, quarterly reports and the DOC'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 Description.

Chief Administrative Officer: The Deputy Assessor over 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.

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.

Contact Log: The log maintained by HR that records all contacts with any Applicant or Candidate for any Posting.

Demotion: A change or downgrade in an employee's Position to a Position of a lower-grade as provided for in a Collective Bargaining Agreement (CBA) the Employee Handbook, or Cook County provisions.

Department: An operational unit in the Assessor's Office.

Deputy: The Employee listed on the Exempt Positions List who heads or directs a Department.

Deputy Assessor of HR: The Deputy Assessor with management authority over the Human Resources Department within the Assessor's Office, as designated by the Assessor.

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

Discipline: An action taken by the Assessor's Office in response to an Employee's conduct or performance, including, but not limited to, verbal or written reprimands, suspensions, or terminations.

Disqualifying Question: A question included on the employment application for a Position that is designed to identify whether an Applicant possesses a specific Minimum Qualification contained in the Position Description.

DOC: The Director of Compliance for the Assessor's Office, who is in charge of compliance personnel and performs the tasks and responsibilities 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.

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

EAS: The electronic employment application system used by the Assessor's Office in the hiring of Employees.

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, 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, Interim Assignment, Temporary Assignment, Transfer, Reclassification, Layoff, Assignment of Overtime (and other benefits of employment), Discipline, Demotion and Termination.

Employment Plan: This 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 a Deputy and whose primary duties include the performance of executive-level administrative services for the Deputy. Executive Assistants are (1) not covered by a CBA; (2) at-will; and (3) not Shakman Exempt Positions.

Executive Assistant List: The list of all Executive Assistant Positions attached as Exhibit B, which may be amended from time to time in accordance with Section XI.B.

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

Exempt List: The list of all Exempt Positions attached as Exhibit C, which may be amended from time to time in accordance with Section XII.B.

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

Extern: A person who participates in an Externship at the Assessor's Office.

Externship: A training program in the Assessor's Office offered to an Extern as part of a course of study run by an academic 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.

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

Grant of Authority: The form, attached as Exhibit D, which may be amended from time to time, used to grant HR the authority to make an offer of employment to a Candidate selected for hire.

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

HR: The Human Resources unit reporting to the Deputy of HR.

Ineligible for Hire/Rehire List: A list maintained by the Deputy Assessor of HR or Designee which may be amended from time to time of individuals who applied for employment or previously were employed by the Assessor's Office who shall be ineligible for employment with the Assessor's Office for five years because the individual was terminated, resigned or retired *in lieu* of termination, resigned while knowingly under inquiry, or was disqualified for consideration for employment as a result of:

1. a written finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in Prohibited Political Activity; or
2. a written 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 written finding by the DOC that the individual intentionally provided materially false information to the DOC; or
4. a written finding by the OIIG or DOC that the individual falsified an Assessor's Office document concerning any Employment Action; or
5. a written finding by the OIIG, DOC, Deputy of HR or Chief Legal Officer that the individual, while an Employee, engaged in any other misconduct egregious enough to warrant termination.
6. a written finding by the OIIG, DOC, Deputy of HR or Chief Legal Officer that the individual provided misleading or incorrect information, excluding minor discrepancies, on their employment application or resume.

Intake Meeting: A meeting called by the Deputy Assessor of HR or Designee, or the Deputy of the hiring Department before a vacancy is posted, in accordance with Section VII.D.3.

Interim Assignment: The assignment of an Employee on a full-time continuous basis from their regular Position to another Position at a higher grade.

Intern: A person who participates in an Internship at the Assessor's Office.

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

Internal Candidate Preference: The preference for placing qualified Internal Applicants for a Position higher on the Interview List than qualified External Candidates because of 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 that have been designated for Internal Candidate Preference and is maintained by the Deputy Assessor of HR or Designee pursuant to Section VII.D.4.

Internship: A training program in the Assessor's Office offered to an Intern for the purpose of gaining supervised practical experience.

Interview File: A subset of the Posting File that includes the Interview Evaluation Forms, the Scored Interview List (if applicable), notes from the meeting of the Interview Panel, the Interview Panel Ranking List, permitted Recommendations, and any other documentation regarding the selection for interviewing and conducting of interviews, as reflected on the Posting File/Interview File Checklist for a job posting.

Interview List: The list of Candidates to be interviewed for a Position.

Interview Panel: The group of two or more Employees selected to interview Candidates, at least two of whom must attend all interviews, barring exigent circumstances.

Interview Panel Ranking List: The list created by the Interview Panel after all interviews are conducted, in the form attached as Exhibit F, which may be amended from time to time, of those Candidates who are deemed suitable for hire, in order of preference.

Interviewer Evaluation Form: The form, attached as Exhibit G, which may be amended from time to time, used by the Interview Panel to document interviews and score Candidates for Positions.

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

Justification to Hire: The form, attached as Exhibit H, which may be amended from time to time, completed by the Deputy of the Hiring Department upon completion of the Candidate selection process and setting forth the objective basis or bases for hiring the

selected Candidate. This form shall include a NPCC signed by the Deputy of the Hiring Department.

Layoff: The involuntary, temporary or permanent separation of one or more Employees from employment with the Assessor's Office due to a reduction in the work force.

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.

NPCC: No Political Consideration Certification. The certification language, in the form attached as Exhibit I, as may be amended from time to time, which must accompany or be included in all forms relating to any Employment Action.

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 on EAS or posted in any other location.

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

Overtime: Time worked by an Employee in excess of the 40-hour work week for which Employees shall be awarded compensatory time or paid time pursuant to any applicable CBA, 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: The physical and/or electronic 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.

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 likely known to be an Applicant, Candidate or Employee holding or applying for a Non-Exempt Position.

Political Contact Log: The log maintained by the OIG 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.

Political Contact Log Reporting Form: The form, attached as Exhibit J, which may be amended from time to time, used to report to the OIG a Political Contact from a Politically-Related Person or Organization regarding an Employment Action related to a Non-Exempt Position.

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, 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, or any other category of employment with the Assessor's Office, other than an Intern or Extern.

Position Description: A written document, in the format attached as Exhibit K as amended from time to time, 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).

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 or the filling of a Vacancy including, but not limited to, the Request to Hire, current Position Description, Notice of Job Opportunity, Preliminary Eligibility List, Randomized Preliminary Eligibility List, Sorted Preliminary Eligibility List, Validated Eligibility List, Interview File, testing protocols (if any), pre-employment test results (if any), documented Conflicts of Interest, Grant of Authority, Justification to Hire, NPCCs, Contact Log and methods of posting, as reflected on the Posting File/Interview File Checklist.

Posting File/Interview File Checklist: The checklist in the form attached hereto as Exhibit L, which may be amended from time to time, used by HR to memorialize the items collected in the Interview File and Posting File during the hiring of a Position.

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

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

Prescreening Question(s): Question(s) included on the employment application for a Position that is designed to identify whether an Applicant possesses specific Preferred Qualification(s) contained in the Position Description.

Prohibited Political Activity: Activities performed during any compensated time (other than vacation, personal, or compensatory time off), including, but not limited to:

- (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.
- (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.

Randomized Preliminary Eligibility List: A computer-based randomized list that assigns a random number to each Applicant on the Preliminary Eligibility list.

Ranking Meeting: The meeting at which the Interview Panel creates the Interview Panel Ranking List.

Recall: The process set forth in the Employee Handbook and the applicable CBA by which a former Employee is offered employment subsequent to a Layoff.

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.

RTH: The request to hire form, attached as Exhibit M, which may be amended from time to time, completed by the Deputy of the Hiring Department and submitted to the Deputy Assessor of HR or Designee requesting recruitment and hiring activities to fill a Vacancy.

Request for Intern/Extern Form: The form, attached as Exhibit O, which may be amended from time to time, completed by a Deputy to request an Intern or Extern for his or her Department.

Scored Interview List: A list, in the form of Exhibit N, which may be amended from time to time, of interviewees listed in descending order based on their average interview scores from the completed and scored Interview Evaluation Forms.

Shakman Covered Position: Any CCAO Position other than an Exempt Position as listed on the Exempt List.

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.

Sorted Preliminary Eligibility List: The list created by HR pursuant to Section VII.L.

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 they are permanently assigned.

Termination: The voluntary or involuntary separation of an Employee from employment with the Assessor's Office other than due to a Layoff.

Their: "Their" is used herein as a singular possessive adjective, as well as a plural possessive adjective.

Training: Teaching an Employee to perform the functions of his or her Position and/or some or all of the skills required to perform a different Position.

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; provided that a Transfer shall not apply to the movement of Employees in the Position of Support Staff or Senior Support Staff (or any future Position of similar classification) from one Department to another Department for operational needs.

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.

Vacancy: An unfilled Position.

Validated Eligibility List: A listing of Candidates whose application materials and responses to the Disqualifying Questions and Prescreening Questions have been verified by HR and support the Candidate's claim to possess the Minimum Qualifications and, if applicable, Preferred Qualifications of the applied-for Position.

Vetting Panel: The group of individuals selected to review applications for the DOC Position in accordance with Section IX.A.1.

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

III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO ASSESSOR EMPLOYMENT ACTIONS

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

A. Commitment. The Assessor's Office has implemented pro-active and transparent employment-related policies, practices, and procedures that shall prevent and remedy the negative effects of any alleged Unlawful Political Contacts and Unlawful Political Discrimination as required by this Employment Plan. 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. The Deputy Assessor of HR or Designee shall provide an Employee holding a Non-Exempt Position that is to become an Exempt Position a minimum of 30 days' advance notice of such change and shall be given the opportunity to Transfer to any then available funded non-union, Non-Exempt Position for which they are qualified in lieu of remaining in his or her Position and holding an Exempt Position. The Deputy Assessor of HR or Designee shall copy the DOC on this communication.

D. Recommendations. The following shall apply to the submission and consideration of certain Recommendations of 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 Applicant'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 Deputy Assessor of HR or Designee and the DOC for compliance with this Section III.D.
- b. The DOC shall immediately forward to the Deputy Assessor of HR or Designee, and the OIIG a Political Contact Log Reporting Form and copies of all written Recommendations made by any Politically-Related Person or Organization. For employment recommendations, the Deputy Assessor of HR or Designee shall exclude such recommendations from the Interview File until such time as set forth in subclause e, below. The hiring processes set forth in Section VII, VIII, IX, X, XI or XII may continue during the course of the OIIG's review of any such recommendations.
- c. The OIIG shall review the Recommendation from the Politically-Related Person or Organization and conduct any additional investigation the OIIG deems necessary to determine whether the Recommendation complies with this Section III.D. In accordance with the OIIG's investigation process and procedures, the OIIG shall 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 shall be provided promptly to the Deputy Assessor of HR and DOC. If the OIIG determines that the Recommendation violates this Section III.D., the OIIG shall also provide written notification of its finding to the Politically-Related Person or Organization, the DOC and, the Assessor.
- d. If the OIIG determines there is cause to believe that the Recommendation constitutes an Unlawful Political Contact, the OIIG shall take appropriate action in accordance with the OIIG's procedures, and the Recommendation shall not be considered and shall not be included in the Interview File or the Employee's Personnel File, as applicable.
- e. Only Recommendations that are determined by the OIIG to not be based on Political Reasons or Factors shall be included in the Applicant's Interview File or Employee's 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 or the DOC on an anonymous or credited basis, in person, by phone, or in writing. All such matters reported to the DOC 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 shall 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 report such matter to the OIIG for investigation; the report may be made on an anonymous or credited basis, in person, by phone or in writing. All Employees are required to cooperate fully in any investigation of such contact conducted by the OIIG. Any Employee who fails to report a Political Contact and cooperate in an investigation as required shall be subject to disciplinary action, up to and including Termination. Nothing in this Section III.F shall 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.

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 shall 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 DOC, the OIIG, HR, or any other person or authority in connection with any such report, complaint, or investigation.

I. HR Staff. The Assessor shall maintain a HR staff of experienced and knowledgeable professionals who meet the Minimum Qualifications contained in the Position Descriptions for their Positions. Such persons shall 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 any other applicable law, the CBA, the Employment Plan, and the Employee Handbook and shall 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 provision is in conflict with the language in this Employment Plan or the Employee Handbook, the language in the CBA shall 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 Deputy Assessor of HR and the DOC shall 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. NPCC. In certain circumstances under this Employment Plan or the Employee Handbook forms shall include language certifying that no political considerations were considered. Employees shall be required to sign an NPCC whenever they initiate or are involved in the determination of any Employment Action covered by the applicable form. Such NPCC shall be incorporated into all applicable forms and EAS as described in this Employment Plan and the Employee shall authenticate such form with an electronic signature. A form and NPCC is not required for a *de minimis*, non-material change in an employee's employment circumstances, such as the routine approval of a day off or an adjustment to an employee's shift for a period of no more than 5 days.

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 shall apply to activities of HR:

A. Assessor's Website. Information regarding the Assessor's compliance with the Agreed Order shall be conspicuously placed on the Assessor's Website.

B. Employee Handbook. The Assessor's Office shall maintain an up-to-date Employee Handbook that shall be distributed to all Employees. The Employee Handbook shall be consistent, in compliance with, and effectuate this Employment Plan. The Employee Handbook may be amended from time to time, provided that the proposed revision or update is sent to the DOC for comment. If no comment is received within 14 calendar days, the revised Employee Handbook shall be distributed to the Employees. If comments are received, the Assessor's Office shall review and discuss these comments with the

DOC prior to distributing the revision to the Employees. The Deputy Assessor of HR or Designee shall maintain proof that the Employee Handbook was distributed to every Employee.

C. Quarterly Report. HR shall post on the Assessor's Website quarterly reports of the total number of new hires, Transfers, promotions, Demotions, 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 date of each Employment Action; and (3) the title of the Position. HR shall post the quarterly report on the Assessor's Website within 2 weeks of the end of the preceding quarter.

D. HR Personnel Training. The Deputy Assessor of HR or Designee, the Director of Learning and Development, and the DOC, shall 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, are able to administer relevant portions of this Employment Plan and the Employee Handbook, and are able to answer questions they may receive.

The HR Personnel training described above shall be conducted for new HR employees no later than 30 days after they become an Employee in HR and as required to ensure HR Personnel are able to administer relevant portions of this Employment Plan and the Employee Handbook. The Deputy Assessor of HR or Designee, the Director of Learning and Development, and the DOC, shall provide or oversee the training, or implementation of training (including through a learning management system). The Deputy Assessor of HR or Designee, the Director of Learning and Development, and the DOC, may provide or oversee the training, or implementation of training (including through a learning management system) to HR Employees regarding changes to this Employment Plan and the Employee Handbook as necessary.

The Deputy Assessor of HR or Designee, in conjunction with the DOC, shall also conduct mandatory comprehensive training of all HR Employees who shall review and validate applications for any Position before they conduct such review and validation. Such training shall include, but is not limited to, information concerning proper validation and review protocols and use of the EAS. HR employees shall be required to receive this training once.

Receipt of training shall be certified in writing by the Director of Learning and Development or Designee and the certification shall be placed in a training file readily accessible to HR. The Deputy Assessor of HR or Designee shall provide the DOC notice of such training at least one business days in advance of the training.

E. Supervisor Training. The Deputy Assessor of HR or Designee, in conjunction with the Director of Learning and Development, and the DOC, shall provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Employee Handbook no later than 60 days following their employment as a Supervisor. The Deputy Assessor of HR or Designee, the Director of Learning and Development, and the DOC may provide or oversee the training, or implementation of training (including through a learning management system) to Supervisors regarding changes to this Employment Plan and the Employee Handbook as necessary. Supervisors in the HR department who have taken the HR Personnel training shall not be required to also take the Supervisor Training.

Receipt of training shall be certified in writing by the Director of Learning and Development or Designee and the certification shall be placed in a training file readily accessible to HR. The Deputy Assessor of HR or Designee shall provide the DOC notice of such training at least one business days in advance of the training.

F. Employee Training. The Deputy Assessor of HR or Designee, the Director of Learning and Development, and the DOC, shall conduct comprehensive mandatory training of 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. Employees shall receive this training no later than 60 days following the beginning of employment. The Deputy Assessor of HR, the Director of Learning and Development and the DOC, may provide training to Employees regarding changes to the Employment Plan and the Employee Handbook as necessary.

Receipt of training shall be certified in writing by the Director of Learning and Development or Designee and the certification shall be placed in a training file readily accessible to HR and the DOC. The Director of Learning and Development or Designee shall provide the DOC notice in accordance with the Training Policy in the Employee Handbook.

G. Amendments to Employment Plan or Employee Handbook. No amendment(s) to the Employment Plan and/or Employee Handbook require(s) immediate re-training of Employees, but such re-training may be undertaken. In the absence of re-training, the Deputy Assessor of HR or Designee shall provide Employees with written notice of the amendment(s) and allow a reasonable period of time to address any questions prior to implementing and enforcing the amendment(s) and shall copy the DOC on such correspondence. The Deputy Assessor of HR or Designee shall maintain proof that amendments were distributed to every Employee. Employee training on the Employee Handbook and Employment Plan shall be offered and completed by employees once approximately every two years.

H. Interviewer Training. HR, in conjunction with the Director of Learning and Development and the DOC, shall 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 shall be certified in writing by the Director of Learning and Development or Designee and the certification placed in a training file readily accessible to HR and the DOC. The Director of Learning and Development or Designee shall 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 Learning and Development or Designee shall provide a copy of the list of Employees who have received interviewer training to the DOC. Only Employees who have been certified in interviewer training shall be eligible to participate on any Interview Panel. The Deputy Assessor of HR or Designee shall provide the DOC notice of such training at least one business days in advance of the training.

I. Investigation Training. The Deputy Assessor of HR or Designee, in conjunction with the Director of Learning of Development and the DOC, may conduct investigation training for Supervisors and Deputies. Such training shall include, but may not be limited to, best practices for conducting internal investigations, Weingarten Rights, and the duty of employees to cooperate. Receipt of such training shall be certified in writing by the Director of Learning and Development and the certification placed in a training file readily accessible to HR and the DOC. The Director of Learning and Development shall maintain a list of all Employees who have been certified as completing such training. The Director of Learning and Development shall provide a copy of the list of Employees who have received investigation training to the Deputy Assessor of HR, DOC, and Chief Legal Officer. Only Employees who have received a certification in investigator training shall be permitted to investigate allegations of misconduct. The Deputy Assessor of HR or Designee shall provide the DOC notice of such training at least one business days in advance of the training.

J. Access to Information Regarding Applicants. The Deputy Assessor of HR and the DOC shall 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 Deputy Assessor of HR, with written notice to the DOC shall designate specific Employees of HR who shall be authorized to access and input information concerning Applicants and Candidates from or on the EAS. Such authority shall be given only after such Employees have received training in the appropriate use of the EAS and the provisions of this Employment Plan and the Employee Handbook.

K. Review of Position Descriptions. All Position Descriptions must include: (a) a list of all day-to-day essential duties; (b) a list of Minimum Qualifications;

(c) a list of any Preferred Qualifications; (d) a list of the knowledge, skills and abilities expected of the Employee to perform the Position's essential duties; and (e) a list of testing protocols, if applicable; and they must be accurate and readily available to the public. Accordingly, the Deputy Assessor of HR or Designee 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 HR receives a RTH to ensure that the Position Description is accurate and reflects the actual duties and Minimum Qualifications and Preferred Qualifications, if any, 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, if any, testing protocols, if any, and reflect the actual duties of the Positions;

3. update and revise any Position Description that is not accurate; and

4. provide the updated or revised Position Description and the previous Position Description, if applicable, to the Deputy Assessor of HR and the DOC for review, comment and approval.

Nothing in this Section IV.K shall prevent HR from reviewing and updating Position Descriptions to keep them current and accurate, regardless of whether there is an anticipated posting. Supervisors shall report any changes to the duties, responsibilities, Minimum Qualifications or Preferred Qualifications of a Position promptly to the Deputy Assessor of HR. The Deputy Assessor of HR shall report these changes to the DOC within two business days of receipt of such changes and consistent with Section IV.K.4.

L. Forms. HR is responsible for creating and maintaining all forms required under this Employment Plan and the Employee Handbook. The Deputy Assessor of HR or Designee, in conjunction with the DOC, shall create any standard form to be used in connection with Employment Actions. If the Deputy Assessor of HR or Designee determines that a form should be amended, the Deputy Assessor of HR or Designee shall review the form and propose amendments which shall be subject to the DOC's review, comment and approval, before being finalized.

M. Cooperation with the DOC and OIIG. All HR staff shall cooperate fully at all times with the DOC and OIIG by assisting the DOC and/or OIIG in carrying out their duties under this Employment Plan including, but not limited to, 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.

N. Complaint Line. HR shall post the hotline telephone number of the DOC and OIIG at all places where job opportunities are posted on the Assessor's website, and on its employee bulletin boards. The hotline information shall notify employees that they may contact the DOC or OIIG on an anonymous or credited basis.

O. Forwarding of Complaints. HR shall immediately forward (1) to the OIIG for investigation pursuant to Section 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 herein that does not qualify as an alleged Unlawful Political Discrimination or a Political Contact.

P. Recordkeeping. HR shall 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 shall 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. Such files may be maintained in electronic format.

Q. General Principles and Responsibilities Related to EAS. The implementation and use of EAS shall be in compliance with the Assessor's commitments and obligations pursuant to this Employment Plan as follows:

1. EAS Training. The Deputy Assessor of HR or Designee, in consultation with the Director of Learning and Development, the DOC, and other Employees of the Assessor's Office, if necessary, shall develop and conduct a training for all Employees who are authorized to use and shall have access to EAS and shall provide expertise to respond to questions as needed. No Employee shall access EAS or use EAS prior to receipt of EAS training unless for the sole purpose of submitting an employment application.

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

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

R. Ineligible for Hire/Rehire List.

1. Notice of Inclusion on List

The Deputy Assessor of HR or Designee shall give written notice to any person before they are added to the Ineligible for Hire/Rehire List. This notice shall include the basis for the decision; a copy of any applicable policies or procedures; and instructions on how to appeal the decision. The Deputy Assessor of HR or Designee shall copy the DOC on this notice.

2. Appeals

An appeal of the decision to add a person to the Ineligible for Hire/Rehire List and a request for a hearing must be made in writing to the Chief Deputy Assessor within 21 days of the date the notice is sent. Employees who are bargaining unit members also may challenge their addition to the Ineligible for Hire/Rehire List in accordance with the terms of an applicable CBA, if any. The Chief Deputy Assessor or Designee shall provide a copy of the appeal to the DOC within three business days of receipt. If no request for a hearing is made within 21 days of the date the notice is sent, the individual shall be added to the Ineligible to Hire/Rehire list.

3. Hearings/Decision

If an appeal and request for a hearing is made within 21 days of the date the notice is sent, the Deputy Assessor of HR or Designee shall use their best efforts to schedule the hearing within 30 days of receipt of an appeal and provide written notice of the hearing date at least five (5) business days in advance of the Hearing Date. The DOC shall conduct the hearing to determine whether a person should be included on the Ineligible for Hire/Rehire List, except if the person's inclusion is based on a finding by the DOC, in which case the Chief Legal Officer or Designee shall conduct the hearing. The DOC or Chief Legal Officer or Designee, as applicable, shall provide the Chief Deputy Assessor with a written recommendation as to whether the person should be included on the Ineligible for Hire/Rehire List within 30 days of the hearing. The DOC or Chief Deputy Assessor or Designee shall provide written notice of the final determination to the person within ten business days of receipt of the recommendation. If the employee fails to attend the hearing, the decision to place an employee on the Ineligible for Hire/Rehire List shall be upheld. Unless reversed upon appeal, persons shall remain ineligible for employment with the Assessor's Office for five years.

4. Content of the List. The Ineligible for Hire/Rehire List shall include: (a) the name of the former Employee or Applicant; (b) an individual identifier such as the last four digits of driver's license or State identification card; (c) the title of last Position Held or applied for; (d) the reason for placement on the Ineligible for Hire/Rehire List (*e.g.*, termination, resignation *in lieu* of termination; retirement *in lieu* of termination); and (e) the date of removal from the Ineligible for Hire/Rehire List.

5. Maintenance of the List.

- a. The Ineligible for Hire/Rehire List shall be maintained by the Deputy Assessor of HR or Designee, who shall promptly provide copies of the Ineligible for Hire/Rehire List and any revisions thereto to the DOC and the OIIG.
- b. The Ineligible for Hire/Rehire List shall be updated within 30 days (i) after an employee is notified that they shall be added to the Ineligible for Hire/Rehire List, or (ii) after the date on which an appeal decision is issued.
- c. The CCAO or DOC shall make a copy of the Ineligible for Hire/Rehire List available to the public in accordance with applicable law.

6. Use of List by HR During Validation Process. HR shall use the Ineligible for Hire/Rehire List during the validation process described in this Employment Plan. Before HR deems an Applicant ineligible for consideration for an Assessor hiring process based on the Applicant's inclusion on the Ineligible for Hire/Rehire List, the Deputy Assessor of HR or Designee or DOC shall confirm this ineligibility in writing. The basis for ineligibility shall be documented on the Assessor's Office's EAS. Failure of the Deputy Assessor of HR or Designee or the DOC to confirm or document ineligibility shall not bar later action to remove an ineligible person if hired in violation of this Section.

7. The DOC shall be notified in writing at least five business days in advance of a person being removed from the Ineligible for Hire/Rehire List to permit the DOC the opportunity to consult with the Deputy Assessor HR to determine whether the five-year time period Removal from List for ineligibility has been instituted and expired.

V. GENERAL PRINCIPLES AND DUTIES RELATED TO THE DOC

HR shall recruit and the Assessor's Office shall hire a DOC pursuant to the process set forth in Section IX. The DOC shall 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 the monitoring, investigating, and auditing of Employment Actions to ensure compliance with the Employment Plan and policies in the Employee Handbook referenced herein. 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 shall 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 Training, Layoff and Recall, Reclassification, Temporary Assignment, Interim Assignment, Overtime and Compensatory Time, Time and Attendance, Discipline, Performance Evaluation and Hybrid/Remote Work policies in the Employee Handbook;
4. maintaining and reviewing the Exempt List to ensure continued compliance;
5. actively working with the Deputy Assessor of HR or Designee 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 herein except the DOC shall refer any complaints (and investigations of such complaints) of Unlawful Political Discrimination in Employment Actions or Unlawful Political Contact to the OIIG;
7. forwarding investigative findings (both sustained and not sustained) for any final reports regarding allegations of violations of this Employment Plan.
8. receiving OIIG Summary Reports related to allegations of Unlawful Political Discrimination referred to the OIIG;
9. 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;
10. taking appropriate steps to report instances of Unlawful Political Contacts and Unlawful Political Discrimination to the OIIG for the OIIG to evaluate and, if investigated, make recommendations to the Assessor on how to eliminate, and/or remedy such conduct;
11. working with HR to implement training programs, prepare training materials, and, in conjunction with HR, conduct training for all Employees on the Employment Plan and the Layoff and Recall, Reclassification, Temporary Assignment, Interim Assignment, Overtime and Compensatory Time, Time and Attendance, Discipline, Performance Evaluation and Hybrid/ Remote Work policies in the Employee Handbook;
12. reviewing Position Descriptions and Notices of Job Opportunity and taking appropriate steps to ensure their accuracy;

13. auditing activities as required by this Employment Plan and by the Training, Layoff and Recall, Reclassification, Temporary Assignment, Interim Assignment, Overtime and Compensatory Time, Time and Attendance, Discipline, Performance Evaluation and Hybrid/ Remote work policies in the Employee Handbook;

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

15. 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 Executive Order;

16. working directly with the Deputy Assessor of HR or Designee and Assessor's Office staff, as necessary, on all of the above; and

17. other tasks and responsibilities consistent with this Employment Plan and the DOC Position Description, including those that may be assigned by the Assessor, Chief Deputy Assessor or the Deputy Assessor of HR from time to time.

B. Semi-Annual Reports. The DOC shall issue semi-annual reports every March 15 and September 15 to the Assessor, Chief Deputy Assessor, Deputy Assessor of HR, OIIG, and Chief Legal Officer which describe the DOC's activities during the prior six months, (March 1 - August 31 and September 1 - February 28/29) including, but not limited to any: (i) auditing activities as required by this Employment Plan; (ii) discovered violations of this Employment Plan or the Training, Layoff and Recall, Reclassification, Temporary Assignment, Interim Assignment, Overtime and Compensatory Time, Time and Attendance, Discipline, Performance Evaluation, and Hybrid/ Remote Work policies in the Employee Handbook; (iii) remedial actions recommended; and (iv) corrective actions taken by the Assessor's Office to address the violations. The DOC's semi-annual reports shall 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 followed pursuant to the Employment Plan, the Agreed Order, and the Employee Handbook and to assist in any investigation of alleged violations. As expressly provided in this Employment Plan and the Employee Handbook, except in the limited circumstances outside of the control of the Assessor's Office, the Assessor's Office shall provide the DOC with at least one business days advance written notice of Employment Actions including hiring, Training, Interim Assignment, Temporary Assignment,

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 Legal Counsel or Chief Deputy Assessor. The DOC shall operate with the requisite independence and specific responsibilities set forth in the Position Description and in accordance with this Employment Plan.

E. Termination. The Assessor shall have the right to terminate the employment of the DOC upon (1) ninety days' prior written notice to the DOC or ninety days' salary continuation; and (2) sending written advance notice to the DOC and the OIIG describing the reasons for Termination. Upon receipt of the Assessor's written notice, the OIIG shall have twenty-one days to determine if the Termination is based on 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 an 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 herein, 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 or the DOC. Any such complaints made to the DOC shall be referred to the OIIG. The DOC may initiate investigations into any potential violations of the Employment Plan and sections of the Employee Handbook referenced herein, except allegations 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. and F, the DOC shall investigate alleged violations of this Employment Plan, and alleged violations of any section of the Employee Handbook referenced herein, except for allegations of Unlawful Political Discrimination and Political Contacts, which shall be referred to the OIIG for investigation. The DOC may initiate an investigation on their own, without an employee complaint. The DOC's investigation shall include, but not be limited to, a review of all relevant documents and interviews with witnesses. The DOC may coordinate with the Deputy Assessor of HR or Designee, or the Chief Legal Officer or Designee, on further investigation of any aspect of the violation. Except as necessary to conduct an investigation and issue a report, the DOC shall not disclose the identity of any complainant to anyone unless required by law. The DOC shall use normal investigative processes and procedures for any investigation into alleged violations of this Employment Plan or sections of the Employee Handbook referenced herein.

2. Cooperation with the DOC and/or OIIG. The Assessor and their Employees and agents shall fully cooperate with the DOC and/or OIIG's investigations by, among other things, promptly providing all requested non-

privileged documents and information to the DOC and/or OIIG in a manner that shall preserve the confidentiality of the investigation. No person shall be compelled to respond to any request for information in violation of her or his constitutional or statutory rights.

3. Privileged Materials. If any privileged materials are provided to the DOC, such materials shall be marked as privileged. If any materials are withheld from the OIIG on the basis of privilege, the privileged materials shall be listed on a privilege log that is provided to the OIIG. If the OIIG or DOC disputes the Assessor's Office' privilege claim, they shall notify the Chief Legal Officer of their objection(s) in writing. The Chief Legal Officer or Designee shall review the document(s) at issue. If the Chief Legal Officer or Designee concludes that the document(s) is/are privileged, the Chief Legal Officer or Designee, OIIG or DOC, as applicable, promptly shall meet and confer. If the Chief Legal Officer, OIIG or DOC, as applicable, cannot reach agreement, the Assessor shall decide whether the disputed materials shall be disclosed to the OIIG or DOC, as applicable. The OIIG has the right to pursue production under its enabling ordinance.

4. Preparation of DOC Investigation Report. At the conclusion of the investigation, the DOC shall prepare a DOC Investigation Report and provide copies to the Assessor, the Chief Deputy Assessor, the Deputy Assessor of HR, and the Chief Legal Officer, 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;
- 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.

The DOC shall maintain a copy of the DOC Investigation Report in their files. The DOC shall redact the DOC Investigative Report pursuant to Section VI.D and provide a copy to the complainant, if any, regardless of whether the DOC Investigative Report found a violation of the Employment Plan or Employee Handbook. Nothing in this section shall prohibit the DOC from meeting with a complainant to discuss the DOC Investigative Report's findings.

5. Assessor's Report.

- a. The Assessor or Designee shall review the DOC Investigation Report and may follow-up with the DOC and/or conduct a follow-up investigation of the alleged violations found in the DOC Investigation to determine whether to accept, reject or offer alternative proposals to the DOC's recommendations.
- b. If the DOC Investigation Report contains a finding of a violation of or non-compliance with this Employment Plan or sections of the Employee Handbook referenced herein, or recommends that corrective or preventative action(s) be taken, the Assessor or Designee shall prepare an Assessor's Report. If the DOC Investigation Report contains a finding that no violation occurred and does not recommend any corrective or preventative action, an Assessor's Report is not required.
- c. The Assessor's Report shall include the following:
 - (1) A copy of the DOC Investigation Report;
 - (2) A description of the Assessor's follow-up investigation, including any findings made by the Assessor or Designee;
 - (3) Such other information as the Assessor may deem relevant to the DOC's investigation or resulting recommendations; and
 - (4) For each recommendation made by the DOC, a statement confirming implementation of the DOC'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.
- d. The Assessor or Designee shall submit a copy of the Assessor's Report to the DOC, within 30 days of receipt of the DOC's Investigation Report. The Assessor or Designee may extend the deadline an additional 30 days by providing written notice to the DOC.

G. Suspending or Terminating Employment Actions. The Assessor, the Chief Deputy Assessor, or the Deputy Assessor of HR may suspend or terminate the Employment Action (if applicable) that is the subject of the DOC Investigation Report and may impose other remedial actions upon receipt of the DOC Investigation Report and pending the issuance of the Assessor's Report.

H. Availability of Reports. A redacted DOC Investigation Report and the Assessor's Report shall be made available to the public upon request. Prior to publicly disclosing any DOC Investigation Report and/or Assessor's Report, the DOC shall redact the names and identifying information of any informants, complainants, witnesses, and persons investigated. The DOC or the Chief Legal Officer or Designee also shall 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). The DOC shall provide the requested redacted Assessor's Report in the same manner as requested within seven days of the request, or as required by law. The Assessor's Office shall give notice of such availability and the procedure for requesting reports on the Assessor's Website.

I. 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 are unrelated to the Employment Plan or sections of the Employee Handbook referenced herein 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, Director of Labor and Employment, and the Deputy Assessor of HR or Designees for investigation. These matters fall outside the scope of this Employment Plan.

VI. GENERAL PRINCIPLES AND DUTIES RELATED TO THE OIIG

If any Employee becomes aware of or receives a complaint of a violation of the Employment Plan or Employee Handbook that involves an allegation of a Political Contact or Unlawful Political Discrimination, they 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 copies of 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 an investigation conducted concerning Unlawful Political Contact or Unlawful Political Discrimination, the OIIG shall submit a summary report containing their 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 Assessor, the Deputy Assessor of HR, the Chief Legal Officer and the DOC.

B. Assessor's Report.

1. If the OIIG summary report contains a finding that no violation occurred or no recommendations are made, the Deputy Assessor of HR shall file the OIIG summary report and no Assessor's Report is required. If the OIIG summary report contains a finding of a violation of non-compliance with this

Employment Plan or sections of the Employee Handbook referenced herein, or includes any recommendation(s), the Assessor or Designee shall prepare an Assessor's Report. The Assessor may, in the course of preparing the Assessor's Report, 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. 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 documents reviewed;
 - b. A description of the findings discovered in the course of the OIIG's investigation and Assessor's follow-up investigation;
 - c. The OIIG's recommendations, 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 Designee shall submit a copy of the Assessor's Report to the OIIG and the DOC within 30 days of receipt of the OIIG summary report. The Assessor or Designee may extend the deadline by an additional 30 days by providing notice to the OIIG and the DOC.

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

D. Availability of Reports. A redacted Assessor Report shall be made available to the public upon request. Such requests shall be made in writing either in person, via e-mail, or by mail and shall be forwarded to the Chief Legal Officer and the DOC for review. The DOC shall promptly notify the of any such requests. Prior to disclosure, the DOC or the Chief Legal Officer shall redact the names of any informants, complainants, witnesses, and persons investigated and

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). The DOC shall provide the requested redacted Assessor's Report in the same manner as requested in accordance with applicable law. The Assessor's Office shall place notice of such availability and the 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 VIII, IX, X, XI, and XII below, all Applicants shall be required to go through the General Hiring Process.

A. Review by DOC. The DOC 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 concludes that a material error was made at any point during the hiring process, the DOC shall provide immediate notice to the Deputy Assessor of HR, along with a request to take appropriate steps to resolve the error. The DOC may suspend a hiring process until the Deputy Assessor of HR, and the DOC have met and conferred about the error. If the Deputy Assessor of HR disagrees with the DOC and moves forward with the hiring process, the Deputy Assessor of HR shall provide a written response documenting the reasons for the decision. If the DOC concludes that a non-material error was made during the hiring process, the DOC shall provide the Deputy Assessor of HR notice of the error in due course.

B. Recruitment. HR shall 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. Before an employee engages in employee recruitment and/or hiring-related outreach activity, the employee shall receive training or guidance by HR, in conjunction with the Director of Learning and Development and the DOC, in proper recruitment and/or hiring practices that comply with this Employment Plan. This training or guidance is in addition to the mandatory training described in Sections IV.E., F., H. and I., herein. Such training or guidance shall be documented in writing by the Director of Learning and Development or Designee and placed in a training file readily accessible to HR and the DOC. Training or guidance for recruitment or hiring-related outreach need not be provided to all persons holding the same position, despite any provisions of this Plan to the contrary. All training materials 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.

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 Deputy Assessor of HR or Designee shall 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.

C. Job Postings. All Non-Exempt Positions that the Assessor's Office is seeking to fill shall be posted on EAS and prominently on the Assessor's Website. To generate a large pool of qualified Applicants, Positions also may be posted at locations required by any CBA, and with schools, professional organizations, labor organizations, professional publications, online job posting sites, and other appropriate locations. HR shall provide the DOC a list of additional posting locations, prior to posting. The methods of posting as well as posting locations shall be documented in the Posting File.

D. 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, shall be completed and signed by the Deputy of the hiring Department and Director of Budget and submitted to HR. On the RTH, the Deputy of the hiring Department must receive written approval to fill the Position from the Deputy Assessor of HR or Designee. The Deputy Assessor of HR or Designee shall provide a copy of the RTH to the DOC 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. Consistent with Section IV.K.1., the Deputy Assessor of HR or Designee shall review with the Deputy of the Hiring Department the current Position Description's (a) Minimum Qualifications; (b) Preferred Qualifications, if applicable; and (c) a description of the knowledge, skills, and abilities relating to the Position. The Deputy Assessor of HR and the Deputy of the Hiring Department shall 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 Deputy of HR or Designee shall draft a new or update the current Position Description to accurately reflect the requirements of the Position in compliance with Section IV.K. Before

the Position may be posted, a draft of the new or updated Position Description and the previous Position Description, if applicable, shall be given to the DOC for review, comment and approval pursuant to Section IV.K.4

3. Intake Meeting. The Deputy Assessor of HR or Designee, in consultation with the Deputy of the Hiring Department, may initiate an Intake Meeting. The Intake Meeting is optional, although encouraged. If the Deputy of the Hiring Department requests an Intake Meeting, the Meeting shall be conducted. The purpose of the Intake Meeting includes but is not limited to: (1) reviewing the current Position Description to ensure that it is up-to-date and accurate and to create the Notice of Job Opportunity; and (2) ensuring that when Human Resources validates Applicants pursuant to Section VII.M and members of the Interview Panel interview Candidates pursuant to Section VII.Q and rank Candidates pursuant to Section VII.R, they understand the Minimum Qualifications and Preferred Qualifications, if any.

a. Scheduling and Participants. If an Intake Meeting occurs, it shall be scheduled and lead by the Deputy Assessor of HR or Designee and shall include the Deputy of the Hiring Department, a Supervisor of the Hiring Department, and, when available, members of the Interview Panel. The DOC shall receive at least one business days' notice of the Intake Meeting and may attend. HR may provide attendees and the DOC with the Position Description, Intake Meeting Form and interview questions, if any, prior to the Intake Meeting.

b. Topics to be Discussed. The attendees may discuss: (a) the Position's Minimum Qualifications; (b) the Position's Preferred Qualifications, if any; (c) whether a skills assessment shall be utilized; (d) the type of skills assessment, if applicable; (e) recruitment options; (f) compensation; and (g) creating or revising interview questions that relate to the Position's Minimum Qualifications and Preferred Qualifications, if any.

4. Internal Candidate Preference. The Deputy Assessor of HR shall collaborate with Deputies, as appropriate to identify Positions that may be appropriate for the Internal Candidate Preference List. For Positions not on the Internal Candidate Preference List, the Deputy of the Hiring Department may request inclusion in writing in the RTH including a written description of the specific basis or bases for the request. The Deputy Assessor of HR or Designee shall review the request and 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 a current Employee in the Hiring Department will be beneficial in carrying out the Position's duties and responsibilities. The Deputy Assessor of HR or Designee may request in writing that the Deputy of the Hiring Department provide additional information. The Deputy Assessor of HR shall determine whether or not the Position is appropriate for an Internal Candidate Preference and memorialize the decision, including the basis therefore, in writing. The Deputy Assessor of HR shall provide the written

decision to the DOC for review, comment and approval. If the DOC approves, the Position shall be added to the Internal Candidate Preference List. That a Position is on the Internal Candidate Preference List does not preclude External Applicants from applying and being considered in accordance with the requirements of Section VII.

5. Preference List should not discourage an Internal Applicant from applying and being considered in accordance with the requirements of Section VII.

E. Preparation of Notice of Job Opportunity. HR shall prepare the Notice of Job Opportunity in accordance with the following:

1. Confirmation of Accuracy. HR shall take steps to ensure that all information including, but not limited to, the Minimum Qualifications and Preferred Qualifications, if applicable, included in the Notice of Job Opportunity are accurate and relate to the duties of the Position as 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, obtained from the Intake Meeting, 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 an Internal Candidate Preference; (e) the amount or range of compensation; (f) directions on how and where to apply; (g) a list of all certifications, licenses and documents required to be submitted to be considered eligible for the Position and the time period for producing this information; (h) a description of any skills assessments that will be administered for a Candidate to be further considered for the Position; (i) for Positions subject to a CBA, a statement that the Position is represented by the applicable bargaining unit, followed by the Local Union number; (j) a non-discrimination 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 shall not be considered eligible for the Position.

F. 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.C.

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 in EAS 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.

G. Submission of Applications. All applications and required application materials must be submitted to HR through EAS. An Applicant who does not complete the online application for the Position through EAS shall not be eligible for the Position, and their name shall not be included on any Preliminary Eligibility List.

H. Permitted Contacts from Applicants and Candidates. Applicants and Candidates may contact HR with questions about the application process. Any contact with an Applicant or Candidate shall be memorialized in writing by the Employee who had the contact and entered on a Contact Log maintained by HR for each job posting. The Contact Log shall be included in the Posting File for the job posting. Applicants and Candidates with disabilities may contact HR to request an accommodation during the application process.

I. Conflicts of Interest. If at any time an Employee who is involved in any way with a hiring process discovers that the Employee or another Employee had, or currently has, a personal or professional relationship with an Applicant or Candidate, the Employee who discovered the relationship must disclose immediately in writing the details of that relationship to HR. HR shall promptly notify the DOC of such Conflict of Interest. The Deputy Assessor 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. The Deputy Assessor of HR or Designee shall provide the DOC written notice of their decision. All documentation concerning the disclosure and HR's decision shall be placed in the Posting File.

J. Creation of Preliminary Eligibility List. After the final posting closing date, HR shall create a Preliminary Eligibility List for the Position containing the names of the Applicants who completed the application process in EAS and who indicated that they possess all Minimum Qualifications for the Position. If no Applicant is eligible for inclusion on the Preliminary Eligibility List, the Position may be reposted.

K. Randomization of Preliminary Eligibility List. Using a computer-based randomization program (in EAS or another computer program), HR shall create the Randomized Preliminary Eligibility List and provide it to the DOC. HR shall provide notice to the DOC in accordance with Section IV.D of the time and place for the randomization.

L. Sorting of Randomized Preliminary Eligibility List. HR shall create the Sorted Preliminary Eligibility List in the order described below:

1. Ineligible for Hire/Rehire. First, HR shall compare the Applicants on the Randomized Preliminary Eligibility List to the Ineligible for Hire/Rehire List and remove from consideration any Applicant appearing on the Ineligible for Hire/Rehire List. The reason for the ineligibility shall be noted on the Sorted Preliminary Eligibility List.

2. Internal Candidate Preference. Second, if the Position is on the Internal Candidate Preference List, HR shall place all Internal Applicants at the top of the Sorted Preliminary Eligibility List in the order of their randomly assigned numbers created in Section VII.K.

3. Bargaining Unit Positions. Third, if the Position is subject to a CBA that requires minimally qualified bargaining unit Internal Applicants to receive interviews, HR shall place such Applicants at the top of the Sorted Preliminary Eligibility List in the order of their randomly assigned numbers created in Section VII.K.

4. Preferred Qualifications. Fourth, if the Position Description includes Preferred Qualifications, HR shall sort the Applicants who indicated that they possess one or more Preferred Qualifications into groups based on the number of Preferred Qualifications (*e.g.* 4 of 4 Preferred Qualifications, 3 of 4, *etc.*). HR shall put the names of Applicants in each group in the order of each Applicant's randomly assigned number created in Section VII.K.

5. All Other Applicants. Finally, HR shall add all other Applicants from the Randomized Preliminary Eligibility List to the Sorted Preliminary Eligibility List based on their randomly assigned number created in Section VII.K and shall provide a copy of the Sorted Preliminary Eligibility List to the DOC.

M. Creation of Validated Eligibility List. HR shall create a Validated Eligibility List to determine which Candidate(s) may be placed on the Interview List.

1. Validation of Applicants. HR shall validate the Applicants in the order in which they appear on the Sorted Preliminary Eligibility List, starting with (a) Internal Applicants (if the Position is an Internal Candidate Preference Position), then (b) Applicants with Preferred Qualifications within the group designated pursuant to Section VII.L.4, and finally (c) Applicants who claim to meet only the Minimum Qualifications of the Position. HR shall continue validating per this Section until there are 15 validated Applicants for a single vacancy or 5 validated Applicants per vacancy for multiple vacancies placed on the Validated Eligibility List. If less than the specified number of applicants apply, all Applicants shall be validated. Once HR reaches the required number

of validated Applicants, HR may discontinue the validation process subject to the option to validate additional Candidates when previously validated Candidates on an Interview List are not available.

2. Validation of Experience/Education. HR shall 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, HR may consult with subject matter experts that were involved in the Intake Meeting 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 on the Sorted Preliminary Eligibility 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, their name shall be not placed on the Validated Eligibility List, and the reason for ineligibility shall be noted on the Sorted Preliminary Eligibility List. If HR determines that an Applicant does not meet as many Preferred Qualifications as represented on their application, HR shall put that Applicant in the appropriate group and in the order consistent with the Applicant's randomly assigned number created in Section VII.K. If none of the Applicants possess all the Minimum Qualifications for the Position, the Position shall be reposted. In the case of reposting, HR, in consultation with the Deputy Assessor of HR and the Deputy of the Hiring Department, may review the Minimum Qualifications in the Position Description to determine if any changes are appropriate. Any changes or updates to the Position Description shall be provided to the DOC pursuant to Section IV.K.

3. Validation of Disciplinary History for Internal Applicants or Former Employees. Following the validation procedure described in Section VII.M.1-2, 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 during the 36 months preceding the Applicant's application for hire:

- a. Internal Applicant's Disciplinary History Validation. An Internal Applicant who was suspended for misconduct while working for the Assessor during the 18-month period prior to their application for a Position shall not be considered eligible for the Position, and their name shall be removed from the Validated Eligibility List, subject to the terms of any applicable CBA. Any such ineligibility (and the reason for the ineligibility) shall be noted clearly in EAS and on the Sorted Preliminary Eligibility List.

- b. Former Employees' Disciplinary History Validation. An External Applicant employed by the Assessor within the 24 months preceding the date they submitted their application who was suspended, terminated, or resigned while under investigation for misconduct during the last 24 months of their employment by the Assessor shall not be considered eligible for the Position, and their name shall be removed from the Validated Eligibility List. Any such ineligibility shall be noted clearly in EAS and on the Sorted Preliminary Eligibility List.
 - c. Record of Determinations. HR shall record the specific reason for any decision to exclude any Internal Applicant's or Former Applicant's name from the Validated Eligibility List. This includes, but is not limited to, the Applicant's disciplinary history or inclusion on the Ineligible to Hire/Rehire List.
4. Notification of Completion of Validation. HR shall provide the results of the validation process to the DOC for each posting within three business days of completion of the Validated Eligibility List.

5. Review of Determinations by DOC. The DOC shall have access to the Applicants' application materials on EAS. The DOC may object to the inclusion or exclusion of any Applicant on the Validated Eligibility List based on their validation of each Applicant's Minimum Qualifications and, if applicable, Preferred Qualifications. The Deputy Assessor of HR or Designee and the DOC shall meet and confer in an effort to reach agreement on any disputed Applicant. HR shall provide the DOC with at least one business days' notice of any such meeting. Disputes regarding whether an Applicant meets a Minimum Qualification shall be resolved in favor of meeting the Minimum Qualification, to result in the broadest Applicant pool. Disputes regarding whether an Applicant meets a Preferred Qualification shall be resolved against meeting the Preferred Qualification so as not to provide any advantage based on a disputed qualification. If the Deputy Assessor of HR or Designee and the DOC are unable to reach agreement, the Deputy Assessor of HR or Designee shall make the final determination of whether the Applicant should be included on the Validated Eligibility List. A written explanation of the disagreement and how it was resolved shall be included in the Posting File. Any changes regarding the validation of any Applicant shall be documented in EAS and on the Validated Eligibility List.

6. Pre-Screening Testing. Pre-employment tests may be administered to Applicants or to Candidates appearing on the Validated Eligibility list confirmed by HR and the DOC pursuant to clause (5) above. The pre-employment test shall be based on the Minimum Qualifications or Preferred Qualifications of the Position for which the Candidates are applying and as described in the Notice of Job Opportunity. Pre-employment tests shall be administered, scored, considered, and weighted on a consistent basis for each Candidate. HR shall provide the results of the pre-employment test to the DOC

along with the updated Validated Eligibility List reflecting the candidates who passed the pre-employment test within three business days of completing the testing. If the DOC does not agree with HR conclusion, they shall meet and confer to discuss the results of the pre-employment test in accordance with the review and determination process set forth in clause (5) above. In the event the pre-screening testing is administered at the time of application submittals, consideration of the test results will be conducted at the time of the initial Validation. The Validated Eligibility List shall be updated to reflect those Candidates who passed the pre-employment test and were confirmed by HR and the DOC in accordance with the process set forth in clause (5) above.

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

1. If the Position is subject to a CBA, HR shall create the Interview List in accordance with the terms set forth in the applicable CBA.

2. If the Position is on the Internal Candidate Preference List, HR shall create the Interview List by adding all Internal Candidates from the Validated Eligibility List.

3. If the Position is not subject to a CBA or on the Internal Candidate Preference List, or if there are less than 10 Internal Candidates for a single Vacancy or less than 5 Internal Candidates per Vacancy for multiple Vacancies, HR shall add Candidates to the Interview List in the order they appear on the Validated Eligibility List until there are 10 Candidates for two or fewer vacancies or 15 Candidates for three or more Vacancies. If there are less than 10 Candidates on the Validated Eligibility List, the Validated Eligibility List may serve as the Interview List.

O. Use of Validated Eligibility List and Sorted Preliminary Eligibility List. The Validated Eligibility List and the Sorted Preliminary Eligibility List 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. The Deputy Assessor of HR and the Deputy of the Hiring Department shall decide if an existing Validated Eligibility List or Sorted Preliminary Eligibility List will be used to fill a Vacancy or if the Vacancy will be posted. If a Validated Eligibility List or Sorted Preliminary Eligibility List is used, HR shall proceed with the hiring process as set forth in this Section VII. Written notice of the decision to use or not use an existing Validated Eligibility List or Sorted Preliminary Eligibility List shall be provided to the DOC before a list is used or the Position is posted.

P. Interview Preparation.

1. Interview Scheduling. HR shall schedule interviews of all Candidates listed on the Interview List and the corresponding Ranking Meeting and include the DOC in the scheduling process. Invitations to interview can be

extended to all Candidates simultaneously. If one or more Candidates on the Interview List is unavailable or declines the opportunity to interview, the next eligible Candidate or Candidates on the Validated Eligibility List shall be moved on to the Interview List and be contacted for an interview until there are 10 Candidates for a single Vacancy or five Candidates per Vacancy for multiple Vacancies. If a Candidate whose interview has already been scheduled later cancels the interview HR may select a replacement from the Validated Eligibility List or decide to proceed with hiring process.

2. Interview Panel Selection. The Deputy Assessor of HR or Designee and the Deputy of the Hiring Department or Designee shall select the Interview Panel consisting of: (a) the Deputy of the Hiring Department or Designee; and (b) at least two Supervisors, at least one of whom has first-hand knowledge of the duties and responsibilities of the Position to be filled; and (c) at least one Employee meeting the qualifications set forth in subsection (b) to serve as an alternate member of the Interview Panel. HR shall send a list with the names of proposed Interview Panel members to the DOC for review and comment at least one business day before the Intake Meeting, where applicable, or at least one business day prior to the first interview when no Intake Meeting occurs. No Employee may be assigned to an Interview Panel without first receiving the interview training and certification described in Section IV.H., above. No Employee, including the Deputy of the Hiring Department, may interview a Candidate on the Interview List if a Conflict of Interest has been determined to exist pursuant to Section VII.Q.2.c.

3. Interview Questions. The Deputy of the Hiring Department or Designee shall prepare a list of a minimum of 10 interview questions relating to the Position. The interview questions shall establish, at a minimum, the Candidate's: (a) willingness and ability to do the job; (b) prior job performance; (c) knowledge and understanding of the responsibility of the Position; and (d) relative qualifications for the Position. The Deputy of the Hiring Department or Designee shall send the list of interview questions, including proposed assigned weights for each question, to HR. HR, in conjunction with the Deputy of the Hiring Department or Designee, shall amend or approve the questions. The Deputy Assessor of HR or Designee and Chief Legal Officer or Designee shall verify that the proposed questions will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. The Deputy of the Hiring Department or Designee shall select at least five questions to be used for interviews for that posting and determine final scoring weights for each question. HR shall send the final list of questions to the DOC at least two business days prior to the interview for review and comment. All questions shall be considered and treated as confidential and may not be disclosed to anyone other than HR, the Deputy Assessor of HR, the Deputy of the Hiring Department, the Chief Legal Officer or Designee and the DOC 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

preferred answers to Candidates and provided the questions remain related to the duties of the Position.

4. Pre-Interview License and Certification Verification. All Candidates shall be required to produce required documentation (*e.g.*, current driver's license, diploma, school transcript, certifications) listed on the Notice of Job Opportunity within the time period set forth in the Notice of Job Opportunity. Copies of such documents shall be included in the Interview File. Candidates who do not produce the required documentation within the time period set forth in the Notice of Job Opportunity shall be ineligible for further consideration. Any such ineligibility shall be noted on the Interview List.

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

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

- a. HR shall facilitate the conducting of interviews by informing the Interview Panel of the interview process before the first interview. Unless an Alternate attends, HR does not need to repeat the process prior to subsequent interviews. HR shall be available while interviews are being conducted to answer any questions from the Interview Panel and Candidates; request that any applicable forms be completed; collect all completed forms and other required documentation at the conclusion of each interview; and review forms for completeness.
- b. At least 2 business days prior to the first interview, HR shall circulate to the Interview Panel the list of Candidates to be interviewed and applicant materials to review whether a Conflict of Interest, as outlined in Section VII.Q.2.c., exists.
- c. The Deputy Assessor of HR or Designee shall promptly notify the DOC of any Conflict of Interest and the selection of an alternate Interview Panel member, as set forth below. The nature of the Conflict of Interest must also consider the Nepotism provisions of the Handbook and County Ethics Code. In the event a Conflict of Interest is determined to exist prior to an interview, the Interview Panel member shall notify HR that a Conflict of Interest exists and that an alternate member of the Interview Panel is needed. The conflicted Interview Panel member shall not participate in the interview or the selection process for that Candidate. In the event a Conflict of Interest is determined to exist during the interview, the Interview Panel member shall notify HR that a Conflict of Interest exists and an alternate member of the Interview Panel is needed. The Interview Panel member shall leave the room and shall be

replaced by an alternate. If a Conflict of Interest is determined to have existed after an interview, the Interview Panel member shall promptly notify HR, and the Deputy Assessor of HR or Designee shall promptly notify the DOC. The DOC shall determine whether a second Interview Panel must be convened. Any Conflict of Interest discovered prior to, during, or after an interview shall be documented by HR and included in the Interview File.

- d. If a member of the Interview Panel becomes unavailable to conduct an interview of a Candidate scheduled by HR pursuant to Section VII.P.1, they shall notify HR as soon as possible prior to the interview. The Deputy Assessor of HR shall select an alternate. HR shall promptly notify the DOC of the replacement.
- e. The interview questions selected in accordance with Section VII.P.3 shall be used to evaluate Candidates and complete the Interviewer Evaluation Form.
- f. All Candidates interviewed for the same Position must 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. The Interview Panel shall consider all Candidate responses, including to follow-up questions.
- g. Candidates who fail to appear for their interview within 15 minutes of the scheduled time shall not be interviewed unless the delay is based on an unforeseen exigent circumstance. Any such Candidate shall not be considered for the Position during the current posting cycle. Any Candidate who cancels an interview less than 2 business days' prior the scheduled time slot shall not receive further consideration for the Position during the current posting cycle. The Interview Panel may make a notation in the Interview Evaluation Form for any Candidate that is late for their scheduled interview but arrives before 15 minutes has elapsed.

2. Interviewer Evaluation Form. Each member of the Interview Panel shall independently and personally complete, sign and score each Candidate on an Interviewer Evaluation Form at the conclusion of each interview based on the categories listed on the Interviewer Evaluation Form: 1 (unacceptable), 2 (marginally acceptable), 3 (acceptable), 4 (very good), or 5 (excellent). Any score of 5 or 1 must be explained in detail by the member of the Interview Panel on their Interviewer Evaluation Form. No person may alter, add to, or delete from any Interviewer Evaluation Form other than the member of the Interview Panel who completes and signs it. Any alteration, addition or deletion made to the Interview Evaluation Form must be initialed by the member of the Interview Panel who shall submit the original completed Interviewer Evaluation

Forms to HR for review for accuracy and completion.

3. Scored Interview List. HR shall create the Scored Interview List. The DOC shall verify the tabulated scores prior to the Ranking Meeting. Any Candidate who receives an overall average score of less than 2.5 shall not be eligible for further consideration. The Deputy Assessor of HR or Designee shall provide the Scored Interview List to the DOC at least one business day prior to the Ranking Meeting.

R. Candidate Ranking Procedure. After the interviews of the eligible Candidates on the Scored Interview List are completed, the final Candidate(s) shall be selected in accordance with the following:

1. Ranking Meeting. The Ranking Meeting shall be conducted within five business days of the final Candidate interview. An HR representative shall be available to guide the discussion and provide advice and expertise. All members of the Interview Panel (including alternate(s) who participated in the interview process) must attend. The DOC may attend. The Deputy of HR or Designee shall provide the Interview Panel with a copy of the Scored Interview List. Candidates who received an overall average score of 2.5 or higher shall be discussed in the order they appear on the Scored Interview List. Members of the Interview Panel may not discuss Candidates prior to the Ranking Meeting. Each member of the Interview Panel shall be given an opportunity to freely and without fear of retaliation express their opinions about eligible Candidates. In ranking Candidates, the Interview Panel may consider required submittals (e.g., resume, writing sample) that were a part of the Candidate's application to EAS. The Interview Panel may not consider submittals that were not required in the posting. For all Internal Applicants and Former Employees who are Candidates on the Scored Interview List, HR shall supply and the Interview Panel may consider those individuals' two most recent (within three years of the date of the interview) performance evaluations.

2. Documentation of Ranking Meeting. An HR representative shall take notes at the Ranking Meeting. The notes shall include: (a) the title of the Position being discussed; (b) the date of the Ranking Meeting; (c) the name of the HR representative facilitating the Ranking Meeting; (d) the names of each member of the Interview Panel present; (e) a description of why, how and by whom each Candidate was ranked; and (f) the order that each Candidate was ranked by each member of the Interview Panel. The notes shall also indicate the objective basis or bases on which each Candidate was ranked or ranked including, but not limited to, the weight given to any required submission or performance evaluation.

3. Interview Panel Ranking List. The Interview Panel shall create an Interview Panel Ranking List by ranking each Candidate by a majority vote of the members of the Interview Panel.

4. Review of the Interview File. The notes, Interview Evaluation Forms and Interview Panel Ranking List shall be included in the Interview File. HR and the DOC shall review the Interview File and verify that the Candidate(s) listed on the Interview Panel Ranking Form and recommended by the Interview Panel for selection comply with the Employment Plan. If either HR or the DOC determines that the selection of Candidate(s) on the Interview Panel Ranking Form did not comply with this Employment Plan, the process shall be suspended until the issue is resolved in accordance with Section VII.A.

5. Verification of Past Employment. HR shall attempt to confirm the employment history (referenced in the selected Candidate's employment application) and qualifications by contacting professional references provided by the Candidate(s) until the reference list is exhausted (including if a professional reference does not respond). Any Candidate whom HR determines has provided misleading, incomplete, or incorrect information, excluding minor discrepancies, on his or her employment application or resume shall not be considered eligible and may not be extended an offer of employment. HR shall document the basis or bases of ineligibility and notify the Chief Deputy Assessor, the Deputy Assessor of HR, the Deputy of the Hiring Department and the DOC that the selected Candidate is ineligible. If a selected Candidate is found ineligible after the final screening, HR shall remove the Candidate from the Interview Panel Ranking List and document the reason for such finding in the Interview File. Internal Candidates need not provide, and HR need not contact professional references if the Internal Candidates' qualifying work experience for all Minimum Qualifications, and any Preferred Qualifications the Internal Candidate purports to meet, is based on their work experience at the Assessor's Office.

6. Use of Interview Panel Ranking List for Subsequent Vacancy. The Interview Panel Ranking List shall be valid and may be used for purposes of filling vacancies for the Position for 18 months from the date created. The Deputy of the Hiring Department, in consultation with the Deputy Assessor of HR shall decide if a subsequent Vacancy will be filled using the Interview Panel Ranking List or if the subsequent Vacancy will be posted. The decision shall be documented and placed in the Posting File and provided to the DOC before an Interview Panel Ranking List is used or the Position is posted.

S. Final Selection; Justification to Hire. The Deputy of the Hiring Department shall review the Interview File, including the Interview Panel Ranking List, Ranking Meeting notes, and past employment verification notes, and create one JTH per hiring round explaining the objective basis of the selection decision and order in which all ranked Candidates shall be selected for any vacancy. If the selection order is not consistent with the Ranking List, the hiring Deputy shall include the specific, objective basis or bases on which their decision was made. The Deputy of the Hiring Department may reject Candidates who have been ranked by the Interview Panel but shall provide the specific,

objective basis or bases on which the Deputy's decision was made on the Justification to Hire. The Justification to Hire shall be made part of the Interview File. HR shall provide the Justification to Hire and the Interview Panel Ranking List to the DOC along with any other documents from the Interview File not previously provided.

T. Grant of Authority. HR shall prepare the Grant of Authority, which shall include the name(s) of the selected Candidate(s) and the proposed salary, and provide it, along with the Interview Panel Ranking List and Justification to Hire, to the Chief Deputy Assessor and Director of Budget or Designees for review. The Chief Deputy Assessor and the Chief Administrative Officer or Designees shall authorize the hiring of the selected Candidate(s), by signing the Grant of Authority. HR shall provide the Grant of Authority to the DOC for review.

U. Posting File. HR shall maintain the full Posting File. Copies of all such documentation shall also be made available to the DOC within two business days of the final selection of the Candidate, if not previously provided.

V. Documentation Review. HR shall review the full Posting File to ensure that it contains all required documentation relating to the posting before notifying the Deputy Assessor of HR or Designee of the approval to extend an offer of employment to selected Candidate(s). No offer shall be extended before: (1) HR provides all documents contained in the Posting File to the DOC; and (2) the DOC reviews the Posting File and confirm it is complete. To the extent HR has provided the DOC with portions of the Posting File during the hiring process, HR is not required to re-submit such documents prior to making an offer of employment in accordance with Section VII.

W. Offers of Employment. Offers of employment shall be extended in accordance with the following:

1. Extension of Offer. After the Grant of Authority has been completed, the Deputy Assessor of HR or Designee shall extend a written offer of employment to the selected Candidate, conditioned on verification of the Candidate's past employment. 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 Deputy Assessor of HR or Designee shall notify the Assessor, the Chief Deputy Assessor, the Deputy of the Hiring Department and the DOC whether or not the offer was accepted.

2. Unaccepted Offer. If the selected Candidate does not accept the offer of employment, the next highest ranked Candidate on the Interview Panel Ranking List, and if necessary, other Candidate(s) in ranked order, may be selected and screened in accordance with Sections VII.Q.4 and VII.R and Section VII.S. Any written or verbal communication from a Candidate declining an offer of employment shall be included on the Contact Log, included in the Posting File, and promptly communicated to the DOC.

3. No Additional Candidates. If no Candidate on the Interview Panel Ranking List is eligible and accepts the offer of employment, HR shall create a new Interview List made up of Candidates on the Validated Eligibility List in accordance with Section VII.N. Such Candidates shall be interviewed, scored, ranked, and considered pursuant to Sections VII.Q-R. If the Validated Eligibility List and Sorted Preliminary Eligibility List is exhausted and no Candidate accepted an offer, the Position may be reposted after the Deputy Assessor of HR and the Deputy of the Hiring Department have conferred about revisions to the Position Description. If the Position Description is updated after such consultation, HR shall send the updated Position Description to the DOC for comment pursuant to Section IV.K.

4. NPCC. The selected Candidate shall complete and sign an NPCC upon employment with the Assessor's Office.

VIII. ACTIVELY RECRUITED POSITION HIRING PROCESS

The Assessor's Office may use the following process for hiring individuals to fill Actively Recruited Positions. If the Assessor's Office elects not to follow these procedures, it 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. Hiring for Actively Recruited Positions shall be initiated by the submission of a RTH in accordance with Section VII.D.1.

C. Creation and Posting of Notice of Job Opportunity. Position Descriptions for Actively Recruited Positions shall be created or revised in accordance with Section VII.D.2. Notices of Job Opportunity for Actively Recruited Positions shall be created in accordance with Section VII.E.

D. Intake Meeting. An Intake Meeting may be used for Actively Recruited Positions in accordance with Section VII.D.3.

E. Job Postings. Job postings for Actively Recruited Positions shall be in accordance with Section VII.F.

F. Submission of Applications and Permitted Contacts. All applications must be submitted to HR through EAS. An Applicant who does not complete the online application for the Actively Recruited Position through EAS shall be ineligible for the Actively Recruited Position. Contacts from Applicants and Candidates shall be handled in accordance with Section VII.G.

G. Application Screening. Each Applicant shall be required to answer Disqualifying Questions and applicable Prescreening Questions in EAS.

Applicants whose answers indicate they do not have all of the Minimum Qualifications of the Actively Recruited Position shall be considered ineligible. The same Disqualifying Questions and Prescreening Questions shall be asked of all Applicants applying for the same Actively Recruited Position.

H. Creation of Preliminary Eligibility List. After the posting closing date, HR shall create a Preliminary Eligibility List containing the names of all Applicants who completed the application process in EAS and who indicated in EAS that they possess all Minimum Qualifications for the Position. If no Applicant is eligible for inclusion on the Preliminary Eligibility List, the Position may be reposted.

I. Creation of Validated Eligibility List. HR shall create a Validated Eligibility List to determine which Candidate(s) may be placed on the Interview List.

1. Validation of Experience/Education. HR shall validate the information in the employment application materials of all Applicants on the Preliminary Eligibility List 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, HR 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 on the Preliminary Eligibility 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; their name shall be not placed on the Validated Eligibility List; and the reason for ineligibility shall be noted on the Preliminary Eligibility List. If none of the Applicants possess all the Minimum Qualifications for the Position, the Position shall be reposted. HR, in consultation with the Deputy Assessor of HR and the Deputy of the Hiring Department, may review the Minimum Qualifications in the Position Description to determine if any changes are appropriate. Any changes or updates to the Position Description shall be provided to the DOC pursuant to Section IV.K.

2. Pre-Screening Testing for Minimum or Preferred Qualifications. Pre-employment tests may be administered to Candidates on the Preliminary Eligibility List. Pre-employment tests shall be based on the Minimum Qualifications or Preferred Qualifications of the Position for which the Candidates are applying and as described in the Notice of Job Opportunity. Pre-employment tests shall be administered, scored, considered, and weighted on a consistent basis for each Candidate. HR shall provide the results of the pre-employment test to the DOC within three business days of completing the testing. HR shall meet and confer with the DOC regarding the results of the pre-

employment test in accordance with the review and determination process set forth in Sec. VIII.I(1) above. The Validated Eligibility List shall be updated to reflect those Candidates who meet the required proficiency on the pre-employment test. In the event the pre-screening testing is administered at the time of application submittals, consideration of the test results will be conducted at the time of the initial Validation.

3. Validation of Disciplinary History for Internal Applicants or Former Employees. The Deputy Assessor of HR or Designee shall review the disciplinary history of Internal Applicants and Former Employees in accordance with Section VII.M.3.

4. Notification of Completion of Validation. HR shall provide the results of the validation process to the DOC for each posting within three business days of completion of the Validated Eligibility List.

5. Use of Validated Eligibility List. The Validated Eligibility List shall be valid and may be used for purposes of filling vacancies for a period of 18 months from the date created. If a Validated Eligibility List is used, HR shall proceed with the hiring process as set forth in this Section VIII.

J. Review of Determinations for DOC. The Deputy Assessor of HR or Designee shall send HR's proposed Validated Eligibility List to the DOC for review consistent with Section VII.M.5.

K. Appointment of an Application Review Panel. HR, in consultation with the Deputy Assessor of HR or Designee and the Deputy of the Hiring Department or Designee, shall appoint an Application Review Panel consisting of (a) the Deputy of the Hiring Department or Designee and b) at least two other Supervisors, at least one of whom has who has first-hand knowledge of the duties and responsibilities of the Position; and (c) at least one Employee meeting the qualifications set forth in subsection b) to serve as an alternate member of the Application Review Panel. The Supervisor(s) may come from outside the Hiring Department. HR shall schedule a meeting of the Application Review Panel and shall provide its members with the Validated Eligibility List, Position Description and the applications and resumes of the Candidates on the Validated Eligibility List. The Deputy Assessor or Designee shall notify the DOC of the Application Review Panel meeting at least one business days prior to the meeting. No Employee, including the Deputy of the Hiring Department, may serve on an Application Review Panel if a Conflict of Interest has been determined to exist pursuant to Section VII.Q.1.c.

L. Creation of Interview List. Upon receipt of the Validated Eligibility List and Position 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 Candidates for 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 proceed to interview or may request HR repost the Position.

M. Pre-Interview Testing for Skills that are not Minimum Qualifications or Preferred Qualifications in the Position Description. Pre-employment tests based on the specific requirements of the Position for which Applicants are applying and as described in the Notice of Job Opportunity – but not related to Minimum Qualifications or Preferred Qualifications in the Position Description - may be administered to all Applicants. Such pre-employment tests shall be administered, scored, and weighted on a consistent basis for each Applicant. HR shall provide the results of the pre-employment test to the DOC within one business day of completing the testing. HR shall provide the results of the pre-employment test to the Application Review Panel to consider in selecting Applicants to be interviewed. HR also shall provide the results of the pre-employment test to the Interview Panel to consider (along with other permitted submissions) at the Ranking Meeting.

N. Interview Preparation.

1. Appointment of an Interview Panel. HR, in consultation with the Deputy Assessor of HR and the Deputy of the Hiring Department, shall appoint an Interview Panel consisting of the (a) Deputy of the Hiring Department or Designee, (b) at least two Supervisors, at least one of whom has first-hand knowledge of the duties and responsibilities of the Position, and (c) at least one Employee with the qualifications set forth in clause (b) above to serve as an alternate panel member. The Supervisors may come from outside the Hiring Department. HR, in consultation with the Deputy Assessor of HR and the Deputy of the Hiring Department, may appoint the same panelists for the Interview Panel as appointed for the Application Review Panel. No Employee may be assigned to an Interview Panel without first receiving the interview training and certification described in Section IV.H., above. No Employee, including the Deputy of the Hiring Department, may interview a Candidate on the Interview List if a Conflict of Interest has been determined to exist pursuant to Section VII.Q.2.c.

2. Interview Scheduling. HR shall schedule interviews of all Candidates listed on the Interview List and the Interview Panel meeting and provide the schedule to the Interview Panel at least 2 business days prior to the date of the first interview. HR shall provide the list of Interview Panel members and interview schedule to the DOC at least one business days prior to the first scheduled interview.

3. Interview Questions. The Deputy of the Hiring Department or Designee shall create a minimum of 10 interview questions. The interview questions shall establish, at a minimum, the Candidate's: (a) willingness and

ability to do the job; (b) prior job performance; (c) knowledge and understanding of the responsibility of the Position; and (d) relative qualifications for the Position. The Deputy of the Hiring Department shall send the proposed interview questions to HR. HR, in conjunction with the Deputy of the Hiring Department or Designee, shall amend or approve the questions. The Chief Legal Officer or Designee shall verify that the proposed questions will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. The Deputy of the Hiring Department or Designee shall select five or more questions to be used for interviews and determine final scoring weights for each question. All interview questions shall be considered and treated as confidential. HR shall send the list of interview questions to the DOC at least 1 business days prior to the interview for review and comment. The interview questions developed for a particular Actively Recruited Position may be used for subsequent vacancies for the same Position, provided appropriate precautions are taken to prevent advance dissemination of the questions or preferred answers and provided the questions remain related to the duties of the Actively Recruited Position.

O. Pre-Interview License and Certification Verification. All Candidates shall be required to produce required documentation (*e.g.*, current driver's license, diploma, school transcript, certifications) listed on the Notice of Job Opportunity within the time period set forth in the Notice of Job Opportunity. Copies of such documents shall be included in the Interview File. Candidates who do not produce the required documentation within the time period set forth in the Notice of Job Opportunity shall be ineligible for further consideration.

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

1. Notification. The DOC may monitor any interview.
2. Conducting the Interview. The Interview Panel shall interview each Candidate on the Interview List in accordance with the procedures in Section VII.Q.2 after the Deputy Assessor of HR and the Deputy of the Hiring Department have conferred about revisions to the Position Description. An HR representative may be present.
3. Interviewer Evaluation Form. Each member of the Interview Panel shall independently and personally complete, sign, and score an Interviewer Evaluation Form consistent with Section VII.Q.3.

Q. Candidate Ranking Procedure. Following completion of interviews, the final Candidate shall be selected in accordance with the following:

1. Interview Panel Meeting. Within five business days following the last Candidate interview, all members of the Interview Panel shall meet and create an Interview Panel Ranking List. Each Candidate shall be discussed and

each member of the Interview Panel shall be given the opportunity to freely and without fear of retaliation express their opinion of each Candidate. An HR representative shall take handwritten or typed notes at the Interview Panel meeting and shall be available to the Interview Panel to provide advice and guidance. HR's notes shall include: (a) the title of the Position being discussed; (b) the date of the meeting; (c) the name of the HR representative facilitating the meeting; (d) the name of each member of the Interview Panel present at the meeting; (e) a description of why, how and by whom each Candidate was or was not ranked, including; (f) the order each Candidate was ranked by each member of the Interview Panel; and (g) the objective basis or bases on which each Candidate was or was not ranked by each member of the Interview Panel.

2. Notification. The DOC may monitor the Interview Panel meeting. HR shall provide the DOC with notice of the Interview Panel Meeting at least one business day in advance.

3. Interview Panel Ranking List. The Interview Panel shall create an Interview Panel Ranking List by ranking each Candidate by a majority vote of the members of the Interview Panel.

4. Review of the Interview File. The notes, Interview Evaluation Forms and Interview Panel Ranking List shall be included in the Interview File. HR and the DOC shall review the Interview File and verify that the Candidate(s) listed on the Interview Panel Ranking Form and recommended by the Interview Panel for selection complies with the requirements of this Employment Plan. If either HR or the DOC determines that the selection of a Candidate(s) listed on the Interview Panel Ranking Form did not comply with this Employment Plan, the process shall be suspended until the issue is resolved to the satisfaction of the Deputy Assessor of HR and the DOC.

5. Verification of Past Employment. HR shall attempt to confirm the employment history of the selected Candidate(s) pursuant to Section VII.R.5.

R. Candidate Selection Procedure. Candidates shall be selected pursuant to Sections VII.R-S.

S. Grant of Authority. HR shall prepare the Grant of Authority pursuant to Section VII.T.

T. Posting File. HR shall maintain the Posting File pursuant to Section VII.U.

U. Documentation Review. HR shall follow the Posting File review process prior to extending an offer of employment in accordance with Section VII.V.

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

1. Extension of Offer. After the DOC has completed their review of the Interview Panel Ranking List and the Justification to Hire and Grant of Authority, the Deputy Assessor of HR or Designee shall extend a written offer of employment to the selected Candidate. All offers of employment shall be included in the Posting File and each Candidate's Personnel File. The Deputy Assessor of HR or Designee shall notify the Assessor, the Chief Deputy Assessor, the Deputy of the Hiring Department and the DOC of the disposition of the offer. Within two business days after extending an offer to the selected Candidate, the Deputy Assessor of HR or Designee shall provide the DOC with the Contact Log and any other documents in the Posting File not previously provided. The Deputy Assessor of HR or Designee shall maintain an electronic copy of the Posting File, which shall be available for review by the DOC request.

2. Unaccepted Offer. If the selected Candidate does not accept the offer of employment, the Interview Panel Ranking List shall be screened and an offer of employment extended in accordance with Section VIII.P.4-5 and Q-U. Written or verbal Communication from a Candidate declining an offer of employment shall be included on the Contact Log, included in the Posting File, and timely communicated to the DOC.

3. No Additional Candidates. If no Candidate is eligible or accepts the offer of employment, the Position, may be reposted after the Deputy Assessor of HR and the Deputy of the Hiring Department confer about revisions to the Position Description. If the Position Description is updated after such consultation, HR shall send the updated Position Description to the DOC for review, comment and approval pursuant to Section IV.K.

W. NPCC. The selected Candidate shall complete and sign an NPCC upon employment with the Assessor's Office.

X. 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.B governing changes to Exempt Positions.

Y. 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.

IX. DOC HIRING PROCESS

A. The Assessor's Office shall hire the DOC in accordance with the following process:

1. A Vetting Panel shall be created consisting of one Employee and two Assessor's counsel (at least one of which shall be in-house counsel). The OIIG may monitor the Vetting Panel. The Vetting Panel shall evaluate and assess the applications and qualifications of Applicants for the DOC Position.

2. The Assessor's Office shall prepare the Notice of Job Opportunity, Position Description, rating and ranking criteria, and interview questions for the DOC Position. The documents shall be circulated for review, comment and approval by the Chief Deputy Assessor and/or Chief Legal Officer and finalized by the Deputy of HR. This process may begin once the DOC provides notice of their departure from that position. An Interim DOC shall be identified and begin their role within 5 business days of the departure of the DOC, and the website and intranet shall be updated to reflect the change.

3. The position shall be posted on EAS for a minimum of 14 calendar days in accordance with Section VII.F.3. The position also shall be publicized on the Assessor's Office's website via the Jobs page and (a) on Indeed.com or a similar platform; (b) with professional organizations such as the Society for Human Resources Management, Illinois State Bar Association Career Center, other local bar associations; and (c) websites focused on compliance positions.

4. All applications must be submitted to HR through EAS. Any Applicant who does not complete the online application for the DOC Position through EAS shall not be eligible for the Position, and the Vetting Panel shall not consider their application.

5. After the posting closing date, HR shall review all applications in EAS and eliminate the Applicants who did not complete the application process as specified in the Position Description, including providing all required documentation. HR shall document the eliminated applications and reasons for elimination in EAS.

6. The remaining applications shall be made available via EAS or distributed to each member of the Vetting Panel and treated as confidential. Each member of the Vetting Panel shall evaluate and rank each Candidate using whatever procedures and objective evaluation approaches the member deems advisable.

7. The employment application for the DOC Position shall include the following questions:

- (a) Whether, at the time of the application, the Applicant knows of any current Assessor Employee with whom the Applicant has or 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
- (b) 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.
- (c) 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.

8. The Vetting Panel shall meet at a mutually convenient time to discuss and rank Candidates using whatever procedures and objective evaluation approaches it deems advisable. The Candidates' numeric rankings shall be confidential.

9. The Vetting Panel shall forward the names of the four highest ranked Candidates (without designation of numeric ranking) to the Deputy Assessor of HR and OIIG. If there are fewer than four ranked Candidates, the Vetting Panel may advance the ranked Candidates to interview or recommend to the Assessor that the position be reposted.

10. HR shall invite Candidates referred by the Vetting Panel to interview with the Interview Panel. The Interview Panel shall be selected by the Assessor or Designee, and shall consist of the Chief Deputy Assessor, the Deputy Assessor of HR, at least one Assessor in-house counsel, and at least one alternate member. All members of the Interview Panel must have completed the interview training and certification described in Section IV.H.

11. The Interview Panel shall interview each Candidate referred by the Vetting Panel in accordance with the following:

- a. HR shall facilitate the conducting of interviews by informing the Interview Panel of the interview process; being available while interviews are being conducted to answer any questions from the Interview Panel and Candidates; requesting that applicable forms be completed; collecting completed forms at the completion of each interview; and reviewing completed forms for accuracy and completeness. An HR representative may be present while interviews are being conducted.
- b. At least 2 business days prior to the first interview, HR shall circulate to the Interview Panel and OIIG the list of interviewee names and application materials to determine whether a Conflict of Interest exists.
- c. In the event a Conflict of Interest is discovered prior to or during any interview, the Interview Panel member shall notify HR that a Conflict of Interest may exist and an alternate is needed. The Deputy Assessor of HR or Designee shall promptly notify the Ethics Officer in writing of the Conflict of Interest and replace the Interview Panel member. To the extent the Deputy Assessor of HR determines that a Conflict of Interest exists, the Interview Panel member shall not participate in the interview or the selection process for that Candidate and an alternate shall assume the panel member's duties. The Deputy Assessor of HR or Designee shall promptly notify the Ethics Officer of any Conflict of Interest and the selection of an alternate Interview Panel member. The nature of the Conflict of Interest must also consider the Nepotism provisions of the Handbook and County Ethics Code.
- d. If a Conflict of Interest is discovered after an interview, the Interview Panel member shall notify HR immediately after the interview and the Deputy Assessor of HR shall determine whether a second Interview Panel must be convened. HR shall promptly notify the Ethics Officer of the replacement. A Conflict of Interest discovered prior to, during or after an interview shall be documented by HR and included in the Interview File.
- e. If a member of the Interview Panel becomes unavailable to conduct an interview, the panel member shall notify HR as soon as possible prior to the interview. The Deputy Assessor of HR shall select an alternate member of the Interview Panel to conduct the interview. HR shall promptly notify the Ethics Officer of the replacement.

- f. All Candidates interviewed for the DOC Position shall be asked the same interview questions agreed to by the Deputy Assessor of HR or Designee and Chief Legal Officer or Designee. Additional and follow-up questions by the Interview Panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the DOC Position. All responses provided by a Candidate, including responses to follow-up questions, are to be considered by Interview Panel.

12. The Interview Panel shall evaluate the Candidates as instructed on the Interview Evaluation Forms using the approved interview questions, relevant follow-up questions, ranking criteria, and whatever further procedures and objective evaluation approaches the Interview Panel deems advisable. Copies of all Interview Evaluation Forms shall be maintained by HR for possible future audit.

13. The completed Interview Evaluation Forms shall be distributed to the Interview Panel during the Ranking Meeting to discuss the interviewed Candidates. The OIIG may monitor the meeting and shall be provided notice at least three business days in advance. The Interview Panel shall create an Interview Panel Ranking List by ranking the top four Candidates in order of preference, which shall be forwarded to the Assessor, Chief Legal Officer and the OIIG.

14. Any questions concerning the process shall be addressed jointly by conference call or email between the Chief Legal Officer or the OIIG.

15. The Interview Evaluation Forms, Interview Panel Ranking List, Ranking Meeting notes and other documents in the Interview File shall be provided to the Assessor for review. The Assessor shall determine the best qualified Candidate for the DOC Position based on their review of these documents. In the event the Assessor selects a Candidate other than the first-ranked Candidate on the final Interview Panel Ranking List, the Assessor shall provide to the OIIG a written explanation describing the reason(s) for the selection. The Assessor's written explanation shall be made part of the Interview File and shall be sent to HR, along with the Interview Panel meeting notes, the Interview Evaluation Forms, and any and all other documentation regarding the selection of the Candidate.

16. If none of the individuals on the list of Candidates provided by the Interview 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 the OIIG for interview, evaluation, and ranking. If no additional Candidates are deemed by the Vetting Panel as appropriate for interview, the DOC Position shall be reposted in accordance with Section IX.A.3.

17. The Assessor or Designee shall forward the name of the selected Candidate to the Deputy Assessor of HR.

18. HR shall conduct a final screening of the Candidate selected for the DOC Position in accordance with Section VII.R.5.

19. Notification of the selection shall be forwarded by the Deputy Assessor of HR to the Vetting Panel, Interview Panel members and the OIIG.

20. HR shall maintain a Posting File of all documents related to the DOC hiring process and provide a copy to the OIIG for review before extending an offer of employment.

21. After the OIIG confirms that the Posting File is complete, HR shall extend an offer of employment to the selected Candidate in accordance with Section VII.W.1.

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

X. INTERN/EXTERN HIRING PROCESS

The Assessor's Office shall use the following process for selecting Interns and Externs.

A. Request for Intern/Extern. 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 Deputy Assessor of HR or Designee shall determine the scope and number of Internships/Externships based on the operational needs of the Assessor's Office. The approved 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 shall 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 shall be made prior to the (1) onboarding of any Intern/Extern provided directly from an academic or non-political institution (Section X.B) or (2) review of any Intern/Extern application for direct placement (Section X.C). The nature of the Conflict of Interest must also consider the Nepotism provisions of the Handbook and County Ethics Code.

B. 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, the Assessor's Office has no discretion or input in recommending or selecting the Intern/Extern. HR shall send a Position Description of an Internship/Externship to the academic institutions and other non-political organizations, which shall

describe the position, the background/skills sought, term, expected duties, anticipated hourly/weekly time commitment, and other material aspects of the Internship/Externship. The Position Description shall include a statement that any political contact on behalf of a student shall result in the disqualification of the student from consideration for an Internship/Externship. The Assessor's Office shall follow the placement procedures of the academic institution or other non-political organization with an Internship/Externship program. The Assessor's Office shall obtain an NPCC from the academic institution or other non-political organization. The selected Intern/Extern also shall complete an NPCC prior to commencing the Internship/Externship. The Deputy Assessor of HR or Designee shall provide a Notice of Employment Action detailing the Intern/Extern retention and the completed NPCC to the DOC no later than two business days after the Intern/Extern's start date.

C. Direct Placement. When an Intern/Extern from an academic institution or other non-political organization is selected by the Assessor's Office, the following process shall be used:

1. Position Description. The Director of Learning and Development or the Deputy Assessor of HR or Designee shall send a Position Description detailing the Internship or Externship to academic institutions and other non-political organizations. The Position Description shall describe the position, the background/skills sought, term, expected duties, hourly/weekly time commitment, and other material aspects of the position. The Position Description shall include a statement that any political contact on behalf of a student shall result in the disqualification of the student from consideration for an Internship/Externship. The Position Description shall also include the deadline for applying, an application form, and the directions on how and where to apply. The Position Description shall be posted in compliance with Section VII.E. Applications must be submitted in EAS. A copy of the Position Description shall be provided to the DOC for review, comment and approval prior to sending to academic institutions and other non-political organizations.

2. Validation and Offers. HR shall review the Intern/Extern applications to determine whether the student's background and area of study match the scopes of the posted Internship/Externship. If the student's background and area of study do not match the Internship/Externships, the Applicant shall be removed from further consideration. HR shall document the results of the review in the Posting File and attach the notes to the application materials. If there are enough Internship/Externship opportunities for all qualified students, the Deputy Assessor of HR or Designee shall extend offers based on how students match the Internships/Externships. If there are more qualified Applicants than there are available Internship/Externships, HR shall rank the qualified students for each of the Internships/Externships. The Deputy Assessor of HR or Designee shall offer the Internships/Externships to qualified students in the order the students appear on the ranked lists for each Internship/Externship.

3. No Political Reasons or Factors. 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.

D. Intern/Extern NPCC. The selected Intern or Extern shall complete an NPCC prior to commencing the Internship or Externship

E. Hiring of Paid Interns. The Assessor's Office shall follow the General Hiring Process described in Section VII for all paid Interns not placed pursuant to Section X. B or C.

F. Review by the DOC. The Assessor's Office shall provide written notice to the DOC of all actions taken regarding the hiring of paid or unpaid Interns or Externs.

XI. EXECUTIVE ASSISTANT EMPLOYMENT HIRING PROCESS

In order to assist a Deputy in hiring and retaining an Executive Assistant that such Deputy knows possesses the experience, skills, competence, and confidentiality needed to perform the job effectively, each such Deputy must use the following process for hiring an individual to fill their Executive Assistant Position.

A. Posting the Executive Assistant List. The Assessor's Office shall post and maintain a current Executive Assistant List in HR and on the Assessor's Website. The posting shall include: (a) the Exempt Deputy to whom the Executive Assistant Position is assigned; and (b) 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 shall follow the procedures that apply to adding Positions to the Exempt List set forth in Section XII.B. The Deputy Assessor of HR or Designee shall send written notice of any proposed changes to the Executive Assistant List, along with supporting documentation, to the DOC. The Assessor's Office shall repost any amended Executive Assistant List on the Assessor's Website within 10 business days of any change being approved. The DOC shall 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. Request to Hire. All hiring for Executive Assistant Positions shall be initiated using the following process.

1. Submission of RTH. The hiring Deputy must submit a completed and signed RTH and current Position Description to HR. The hiring Deputy must receive written approval to fill the Executive Assistant Position on the RTH from the Deputy Assessor of HR. The Deputy Assessor of HR or Designee shall provide a copy of the RTH and the basis for approval or denial of the RTH to the hiring Deputy and the DOC.

2. Position Description. HR and the hiring Deputy shall create a new Position Description or review and update the current Position Description to ensure it is current and accurate for each Executive Assistant Position in accordance with the terms set forth in Section IV.K. A copy of the new or updated Position Description shall be provided to the DOC for review, comment and approval as set forth in Section IV.K.

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

1. Identification of Applicant. The Hiring Deputy shall send a completed and signed Justification to Hire with the RTH to the Deputy Assessor of HR or Designee that shall include: (a) the name of the person they selected to perform services as their Executive Assistant; (b) a description of the basis on which the Hiring Deputy selected the individual (*e.g.*, past knowledge of their employment history, past working relationship, etc.); (3) copies of any licenses or certifications required; and (4) a NPCC signed by the hiring Deputy.

2. Submission, Screening and Validation of Application. The person selected by the Hiring Deputy to fill an Executive Assistant Position shall complete an employment application on EAS, provided that such entry in EAS does not create a requirement to publicly post the Executive Assistant Position in the Assessor's Office or on the Assessor's Website. The Deputy Assessor of HR or Designee and the DOC shall validate the application and verify that the selected Applicant: (a) possesses the Minimum Qualifications of the Executive Assistant Position Description; (b) has provided any licenses and certifications required; and (c) if previously employed by the Assessor's Office, was not: (i) terminated for cause during the previous five years, or (ii) on the Ineligible For Rehire List. If HR and the DOC conclude that the selected Applicant does not meet any one of the three criteria, the Deputy Assessor of HR or Designee shall advise the Hiring Deputy that the selected Applicant is ineligible and they may not be offered employment as an Executive Assistant. If the DOC and the Deputy Assessor of HR or Designee do not agree that the Applicant meets the three criteria, the objector shall prepare a memorandum documenting the deficiency. If the Deputy Assessor of HR or Designee or the DOC (as applicable) still maintains that the Applicant meets the three criteria, the Deputy Assessor of HR or Designee or the DOC, as applicable, shall provide a written explanation explaining their

position. The original decision and each supplemental written explanation memorializing any disagreement between the Deputy Assessor of HR or Designee and the DOC regarding the selected Candidate's qualifications shall be provided to the DOC.

3. Final Screening. The Deputy Assessor of HR or Designee shall conduct a final screening of the Candidate selected for the Executive Assistant Position in accordance with Section VII. R.(5). The final screening must also consider the Nepotism provisions of the Handbook and County Ethics Code.

4. Offers of Employment. Upon completion of the verification process described in Section XI.E.2, the Deputy Assessor of HR or Designee shall extend a written offer of employment to the selected Candidate. A copy of the written offer of employment, including a copy of all the required documents, shall be made available to the DOC.

5. NPCC. The selected Candidate shall complete and sign a NPCC upon employment with the Assessor's Office.

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

G. Termination. Executive Assistants are at-will Employees and can be terminated at any time, with or without cause, and with or without notice. Because an Executive Assistant is hired to assist a specific Deputy, the primary duties of the Executive Assistant include the performance of executive-level administrative services to that Deputy. An Executive Assistant is not covered by a CBA, is an at-will employee, and may be terminated from employment when the Deputy for whom the Executive Assistant was hired is separated from employment. Such Termination of the Executive Assistant 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 for whom the Executive Assistant was hired to work. 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, shall not in and of itself be deemed an Employment Action based upon Political Reasons or Factors.

XII. EXEMPT POSITION HIRING PROCESS

To assist the Assessor in hiring and retaining staff in Exempt Positions who possess the Minimum Qualifications for the Exempt Position in which they are being placed, the Assessor's Office shall use the following process for hiring Candidates to fill Exempt Positions.

A. Posting of Exempt List. The Deputy Assessor of HR or Designee shall post and maintain the current Exempt List on the Assessor's Website. The posting shall include (1) the name of the Department to which the Exempt Position is assigned; (2) the job title and Position Identification Number; (3) the grade level; and (4) the date the Exempt List was approved. The Assessor shall post the Exempt List within five business days of any changes being made pursuant to Section XII.B.

B. Changes to Exempt List. The Assessor's Office may from time to time update the Exempt List by adding or deleting Exempt Positions or amending the titles or job duties of Exempt Positions, subject to the following:

1. Request to Change. A change to the Exempt List shall be initiated either: (a) by the Assessor or Designee sending written notice to the DOC; or (b) the DOC sending written notice to the Assessor of the proposed change, along with supporting documentation including: (a) a copy of the Position Description; and (b) an explanation of the basis on which the change is proposed. For a change proposed by the Assessor or Designee, the DOC shall provide a written approval or objection to the proposed change within five business days of receipt. For a change proposed by the DOC, the Assessor or Designee shall provide a written approval or objection to the proposed change within five business days of receipt. If the Assessor or Designee or DOC provides an objection to the proposed change, the Assessor or Designee and the DOC shall meet to discuss the matter within three business days from the objection. If the Assessor or Designee or DOC does not rescind the objection following such discussion, the proposed change shall not be implemented. If the Assessor proceeds with implementing their proposed change over the DOC's objection, such implementation shall be considered a violation of this Employment Plan. The DOC's objections to the Assessor's decision on the proposed change to the Exempt List shall be posted on the Assessor's website. 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. The Assessor's Office bears the burden of demonstrating that the Exempt Position that is the subject of such dispute is one for which an employer may take into account political considerations when deciding whom to hire or Transfer to fill the Exempt Position.

C. Request to Hire. All hiring for Exempt Positions shall be initiated using the following process.

1. Submission of RTH. To initiate the hiring of an Exempt Position, the Assessor or Designee must submit a completed and signed RTH and current Position Description to HR. The Deputy Assessor of HR or Designee shall provide a copy of the RTH to the hiring Deputy and the DOC.

2. Position Description. HR shall create, revise and maintain a current and accurate Position Description for each Exempt Position pursuant to Sections IV.K and VII.D.2. Exempt Position Descriptions must contain the Minimum Qualifications for the Position. HR shall also review the Position Description of a vacant Exempt Position prior to seeking to fill that Position and make changes, if applicable, in accordance with Sections IV.K and VII.D.2. HR shall maintain the Exempt List and shall post the Exempt List and all Position Descriptions for Exempt Positions on the Assessor's Website.

3. Review of Exempt Position Descriptions by DOC. If the Deputy or Designee proposes a new Exempt Position Description or a change to an existing Exempt Position Description in any way from the prior approved Exempt Position Description, the new or changed Exempt Position Description cannot be considered final until subject to review, comment and approval by the DOC.

4. Submission of Applications. Applications for Exempt Positions must be submitted to HR through EAS. Any Applicant who does not complete the online application for the Exempt Position through EAS shall not be considered eligible for the Position. HR shall enter the Notice of Job Opportunity for the Exempt Position in EAS; provided that such entry in EAS does not create a requirement to publicly post the Exempt Position in the Assessor's Office or on the Assessor's Website.

D. 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. Identification of Applicant. If the Assessor has identified an Applicant for the position, they shall direct the Applicant to complete the employment application for the Exempt Position in EAS. In addition, the Assessor shall prepare and send a completed RTH, which shall include the signed Justification to Hire, including that the person meets the Minimum Qualifications, to HR for review.

2. Screening and Verification of Application.
 - a. Screening by HR and the DOC. The Deputy of HR or Designee and the DOC shall review the application and conduct a validation to confirm that the selected Applicant possesses the Minimum Qualifications and any applicable required license or certifications for the Exempt Position. The Nepotism provisions of the Handbook and County Ethics Code must also be considered. If the DOC or Deputy of HR or Designee determines that the Applicant does not possess the Minimum Qualifications or any applicable required license or certification for the Exempt Position, the DOC and HR meet and confer. If after meeting, the DOC or HR still does not believe that the Applicant possesses the Minimum Qualifications or any applicable required license or certification, the objector shall state their objections in writing. If the DOC or Deputy of HR or Designee (as applicable) does not concur, the DOC or HR (as applicable) shall provide a written response to the Assessor. If the Assessor still maintains that the individual meets the Minimum Qualifications and, if applicable, any licenses or certifications, the Assessor shall provide a written explanation to the DOC or HR.
 - b. If the Assessor still believes that Applicant possesses the Minimum Qualifications and any applicable required license or certifications, the Assessor shall provide a written explanation to the DOC and Deputy of HR or Designee and commence with the hiring.
3. Confirmation of Exempt Position. Prior to the hiring of a Candidate into an Exempt Position, HR 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.
4. Filling of Deputy of HR Position. The duties generally assumed by the Deputy of HR or Designee in the Exempt Hiring Process pursuant to this Section shall be performed by the Chief Deputy Assessor or Designee.
5. Verification of Past Employment. HR shall attempt to confirm the employment history of the selected Candidate pursuant to Section VII.R.5.
6. Offers of Employment. Once the Deputy of HR or Designee has received confirmation from the DOC in accordance with Section XII.D.2.a and conducted the verification of past employment in accordance with Section XII.D.5, and any written explanations from the Assessor relevant to Section XII.D.2.a, the Deputy Assessor of HR or Designee shall extend a written offer of employment to the selected Candidate.

E. 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.

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

G. 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; his or her status as an Employee in an Exempt Position shall not change unless they are subsequently hired into a Non-Exempt Position that is filled through one of the hiring processes set forth in Sections VII, VIII, IX or XI, or as otherwise required by applicable federal, state, or local law.

XIII. EMPLOYMENT PLAN AMENDMENTS

The Deputy Assessor of HR shall send any proposed change(s) to the Employment Plan in writing to the DOC. If the DOC objects to the proposed change(s), the DOC must submit their written objection(s) to the Deputy Assessor of HR within ten business days of being given notice of the proposed change(s). The Deputy Assessor of HR or Designee and the DOC shall meet within five business days thereafter to discuss the DOC's objections in a good faith effort to reach agreement. If agreement cannot be reached, the Assessor's decision shall be final. The DOC may include the nature and outcome of any such disagreement in their semi-annual reports. Proposed change(s) to the Employment Plan shall not be implemented until at least ten business days after the date of the meeting to discuss the proposed changes or the date the Assessor makes his or her decision resolving any objections to the proposed changes, whichever is later.

XIV. CONCLUSION

The Assessor's Office 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. 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. The Assessor is prepared to comply with the spirit of the law to meet those situations in the future.