

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

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

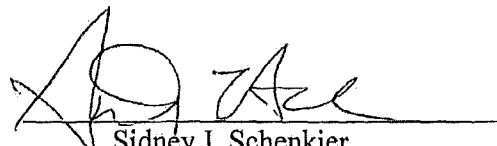
**AGREED ORDER APPROVING THE  
COOK COUNTY RECORDER OF DEEDS EMPLOYMENT PLAN**

This matter comes before the Court on the Agreed Motion for Approval of the Cook County Recorder of Deeds Employment Plan, the Court being fully advised:

**IT IS HEREBY ORDERED:**

The Cook County Recorder of Deeds Employment Plan attached as Exhibit A is approved.

Dated: August 14, 2013      ENTERED:

  
\_\_\_\_\_  
Sidney I. Schenkier  
Magistrate Judge

## Exhibit A

**COOK COUNTY RECORDER OF DEEDS**

**EMPLOYMENT PLAN**

Cook County Recorder of Deeds Employment Plan  
Effective August 7, 2013

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## I. INTRODUCTION

This is the new Employment Plan submitted by the Cook County Recorder of Deeds ("Recorder") and prepared with the assistance of the Recorder Compliance Administrator as required by the Supplemental Relief Order filed on September 14, 2010 ("SRO"). This Employment Plan sets forth the general principles that will govern the Recorder's hiring and employment policies and procedures. This Employment Plan applies to current employees of the Recorder as well as all Applicants and Candidates of the Recorder. Except as specifically provided herein, this Employment Plan does not apply to any Employment Action concerning employees holding Exempt Positions. The Recorder Compliance Administrator, while acting, has the right to monitor any and all aspects of the Employment Plan, in order to assess the Recorder's progress toward substantial compliance with the SRO. This shall include, but not be limited to, the right to monitor any and all Employment Actions involving both union and non-union Recorder employees. All undefined terms in this Section I shall have the meanings given such terms in Section II below.

## II. DEFINITIONS

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

Applicant: A person who has submitted an online application to the Division of Human Resources ("HRD") for a Position and whose name appears on the Preliminary Eligibility List.

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

ATAS: See Applicant Tracking and Application System.

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

CBA: See Collective Bargaining Agreement.

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

Compensatory Time: Time off earned by a Recorder employee pursuant to law and the Recorder's Personnel Policy and Procedures Manual.

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

Consent Decree: The "Judgment Entered Upon Consent of Cook County Recorder of Deeds" in 1992 between plaintiffs and the Recorder in *Shakman, et al. v. the Democratic Organization of Cook County, et al.*, Case No. 69 C 2145.



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Content Librarian: The HRD employee trained to prepare accurate Job Descriptions and develop and enter Notices of Job Opportunity in compliance with ATAS' protocols and guidelines.

Cross-Training: Teaching an employee assigned to perform the functions of one Position the skills required to perform a different Position.

Day or day: A calendar day unless otherwise indicated.

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

Designee: An employee in the same Division as and subordinate to the person designating him or her to perform duties as set forth in this Employment Plan.

Division: A unit of the Recorder's Office.

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

Division of Human Resources ("HRD"): The Division of Human Resources of the Recorder.

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

Discipline: An action taken by the Recorder in response to an employee's conduct or performance, including verbal or written reprimands, suspensions and Terminations, but not including counseling.

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

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

Employment Action: Any action (positive or negative) related to any aspect of employment, including, but not limited to, hiring, training, change in job assignment, cross-training, Promotion, Transfer, assignment of Overtime and Compensatory Time and other benefits of employment, Discipline, and/or Termination.

Employment Plan (or the "Plan"): This new Employment Plan required pursuant to Section II of the SRO.

Executive Assistant Position: A Position that reports directly to an Executive Assistant Supervisor and the primary duties of which include the performance of executive-level

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administrative services to the Executive Assistant Supervisor. Executive Assistant Positions are (1) not covered by any collective bargaining agreement, (2) exempt from career service under the Manual, (3) at-will, and (4) not Exempt Positions.

Executive Assistant Supervisor: A Division Lead, Director, Deputy Director, or the Director of Compliance.

Executive Order: Executive Order Political Discrimination signed by the Recorder on September 13, 2010.

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

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

Extern/Externship: A person who participates in a training program that is part of a course of study of an educational institution.

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

Flextime: A work schedule with variable assigned working hours.

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

Governmental Employment: Any employment (whether probationary, full-time or part-time, permanent or temporary, and regardless of whether the employment is paid for by federal funds) by or for the Recorder.

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

HRD Headquarters: The headquarters of HRD located at 118 N. Clark Street, Room 120, Chicago, IL 60602.

HRD: See Division of Human Resources.

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

Intern/Internship: A person who participates in a training program for the purpose of gaining supervised practical experience—that is for his or her benefit and whose activities do not displace the work of regular Recorder employees.

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

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

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

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

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

Job Code: A code assigned to each job title.

Job Description: A written document that describes the Minimum Qualifications and current responsibilities of a Position and the skills, education and abilities needed to perform those responsibilities. The Job Description will also include any Preferred Qualifications. A copy of the current Job Description form, which may be amended from time to time, is attached as Exhibit D.

Justification to Hire: The form completed by the Division Head or his or her designee upon completion of the Candidate selection process described in Section V.Q.

Layoff: The temporary or permanent removal of a Recorder employee from his or her job, usually because of cutbacks or Division reorganizations.

Manual: See Personnel Policy and Procedures Manual.

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

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

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

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

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NPCC: See No Political Consideration Certification.

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

OIIG: See Office of the Independent Inspector General.

Overtime: Hours worked by an employee in excess of forty (40) hours in a workweek, or as otherwise provided in an applicable CBA, for which the employee shall be paid one and one-half times the employee's regular rate of pay.

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

Personnel Policy and Procedures Manual (the "Manual"): Manual of Recorder's employment policies and procedures developed with input from and maintained by HRD, including any and all amendments and addendums thereto.

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

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

Political Contact Log: The log maintained by the OIIG, during the SRO Term and thereafter by the Director of Compliance, recording all Political Contacts from any Politically-Related Person or Organization or his, her or its representative regarding any Applicant, Candidate or any employee. A copy of the Political Contact Log Reporting Form is attached as Exhibit F.

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

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Applicant, potential Applicant or Recorder employee may express any views or beliefs on political matters.

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

Position Identification Number: The unique number assigned to a Position by Cook County.

Position: Any probationary, temporary, part-time, full-time, permanent, temporary or any other post of employment with the Recorder.

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

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

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

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

Ranked Validated Eligibility List: The list of Candidates who have been validated and ranked pursuant to Section V.O.3.

RCA: See Recorder Compliance Administrator.

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

Recall Candidate: An individual who has been laid off from a Position and is eligible to return to work in accordance with an applicable CBA.

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

Recorder: The Cook County Recorder of Deeds.

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

Recorder's Report: The report issued by the Recorder or his or her designee and the Head of HRD pursuant to Sections IV.M.3. and IV.N.2.

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

RTH: See Request to Hire.

Salary Review: A mechanism through which a Recorder employee who has assumed additional responsibilities in his or her Position may request an evaluation of his or her current salary to determine if an increase is warranted.

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 Case Number 69 C 2145.

SRO: See Supplemental Relief Order.

SRO Term. The period of the SRO until the effective date of termination. Pursuant to SRO Section III.F.6 the effective date of termination shall be the date upon which all judicial proceedings, and expiration of rights to appeal, have concluded following a final judicial decision that substantial compliance has been achieved. Termination of the SRO Term shall have no effect on any claim, complaint or written demand for arbitration under the terms of the SRO filed within one hundred eighty (180) days after termination of the SRO if based on alleged conduct occurring prior to termination of the SRO.

Summary Report: The report issued by the OIG or the Director of Compliance pursuant to Section IV.N.1.

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

Supplemental Relief Order ("SRO"): The Supplemental Relief Order for the Recorder agreed to by the Recorder, and approved on September 14, 2010, in the Shakman Case.

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

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

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

Unlawful Political Contact: Any contact of any kind whatsoever (oral or written, direct or indirect) from any Politically-Related Person or Organization that is intended to affect or influence, based on Political Reasons or Factors, any Employment Action involving an

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Applicant, Candidate or Recorder employee applying for, being considered for, or holding a Non-Exempt Position.

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

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

Validated Eligibility List: The list of Candidates who have been validated pursuant to Section V.J.

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

### III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO RECORDER HIRING

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

A. Commitment. The Recorder will implement pro-active and transparent employment-related policies, practices and procedures that will prevent and remedy the negative effects of Unlawful Political Contacts and Unlawful Political Discrimination. No CBA or other agreement between the Recorder and any other individual or entity shall provide otherwise.

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

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

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

1. Prohibited Contacts. No Recorder employee may contact any other Recorder employee involved in any Employment Action to influence any Employment Action based upon Political Reasons or Factors.

2. Permitted Recommendations. The prohibitions of Section III.D.1 do not limit the right of any citizen, including any Politically-Related Person or Organization or any Recorder employee, to submit a written recommendation not based on Political Reasons or Factors on behalf of any individual applying for any Position where such recommendation is based on such

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person's personal knowledge of the individual's work, skill, experience or other job-related qualifications.

a. All written recommendations for any Applicant, Candidate or employee shall be reviewed by the Head of HRD or his or her designee and the Director of Compliance for compliance with this Section III.D.2 and shall be included in the individual's employment file in the event the individual is selected for hire.

b. The Director of Compliance shall immediately forward copies of all written recommendations by any Politically-Related Person or Organization made during the SRO Term to the OIG, the Head of HRD and the Recorder Compliance Administrator, while acting. The Director of Compliance shall utilize a Contact Log Reporting Form to satisfy this duty.

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

d. Only recommendations that are determined by both the Head of HRD or his or her designee and the Director of Compliance to not be based on Political Reasons or Factors shall be included in the individual's application materials.

E. Unlawful Political Discrimination Reporting. Any employee of the Recorder who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring during the SRO Term, is required to report such matter to the OIG directly and without delay, on an anonymous or credited basis, in person, by phone or in writing. The OIG shall provide the Director of Compliance with a courtesy copy of the tri-annual report required under Section V.A.11 of the SRO. Any employee of the Recorder who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring after the SRO Term, is required to report such matter to the Director of Compliance directly and without delay, on an anonymous or credited basis, in person, by phone or in writing. All employees of the Recorder are required to cooperate fully in any investigation of such matter conducted by the OIG or the Director of Compliance. Any employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including Termination.

F. Political Contact Reporting. Any employee who receives or has reason to believe a Political Contact has occurred or is occurring is required to complete a Contact Log Reporting Form and submit it immediately to the OIG during SRO Term and thereafter to the Director of Compliance. All employees are required to cooperate fully in any investigation of such contact conducted by the OIG or the Director of Compliance. Any employee who fails to submit a Contact Log Reporting Form and/or cooperate as required will be subject to disciplinary action, up to and including Termination.



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

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

I. No Retaliation. The Recorder shall continue to prohibit retaliation, punishment or penalty for reporting a Political Contact, initiating a complaint related to any alleged Unlawful Political Contact or Unlawful Political Discrimination, or cooperating with or assisting the OIG, Recorder Compliance Administrator, the Director of Compliance, HRD, or any other person or authority in connection with any such report or complaint.

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

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

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

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

#### IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO HRD

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

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

B. Quarterly Report. HRD will post on the Recorder's website quarterly reports of the total number of hires, Promotions, Transfers and Terminations by Division during the preceding three month period, including: (1) the number and type of each such Employment Action; (2) the dates of each Employment Action; (3) the title of the Position; and (4) whether such Employment Action was pursuant to a posted or emergency hire.

C. Director of Compliance.

1. Responsibilities. The Recorder's Office will hire a Director of Compliance who will be an employee of the Recorder. The Director of Compliance's primary responsibilities will include, but not be limited to: (a) overseeing compliance with this Employment Plan; (b) maintaining and reviewing the Exempt List to ensure continued compliance; (c) accepting complaints related to Employment Actions and this Employment Plan; (d) assisting the OIIG during the SRO Term in matters concerning Unlawful Political Discrimination, as deemed necessary by the OIIG, (e) implementation of training programs and preparing training materials; (f) reviewing the Manual, and other duties as may be assigned from time to time; (g) working with HRD to train all employees on the Plan and Manual; and (h) providing the Recorder Compliance Administrator, while acting, with written notice of all Employment Actions as soon as practicable in order to provide the Recorder Compliance Administrator with a reasonable opportunity to monitor the Employment Action. After the SRO Term, the Recorder reserves the right to vest Recorder staff training with the Director of Compliance. The Director of Compliance will also issue semi-annual reports every June 15 and December 15 to the Recorder and the Recorder Compliance Administrator, while acting, describing his or her activities during the prior six months, including, but not limited to: (i) auditing activities as required by this Employment Plan; (ii) any violations of the Employment Plan discovered; (iii) any remedial actions recommended; and (iv) any corrective action taken by the Recorder or his or her designee to address the violations. The Director of Compliance's semi-annual reports shall be posted on the Recorder's website.

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2. Reporting. The Director of Compliance will be a Non-Exempt Position reporting to the Recorder and cooperating with the Recorder Compliance Administrator, while acting, including but not limited to providing the Recorder Compliance Administrator with weekly reports as deemed necessary by the Recorder Compliance Administrator, and will operate with the requisite independence and specific responsibilities set forth in the Job Description and in accordance with this Employment Plan. While acting, the Recorder Compliance Administrator may monitor any and all aspects of the Director of Compliance's job performance.

3. Termination. The Recorder shall have the right to terminate the employment of the Director of Compliance at any time for Cause or other than for Cause as follows:

a. Termination by the Recorder for Cause: Termination for Cause means the Recorder's discharge of the Director of Compliance from employment for knowingly, willfully and/or in bad faith (i) engaging in fraud, misappropriation or embezzlement, (ii) failing to perform his or her job responsibilities set forth in the Director of Compliance Job Description and in this Employment Plan, (iii) repeatedly failing to adhere to policies and procedures set forth in the Manual, and/or (iv) incapacity. The Recorder may discharge the Director of Compliance for Cause only upon (i) providing the Recorder Compliance Administrator, while acting, with written advance notice of the termination, describing the reasons for the termination and (ii) obtaining written advance approval from the Recorder Compliance Administrator, while acting, to terminate the employment of the Director of Compliance.

b. Termination by the Recorder other than for Cause: The Recorder may discharge the Director of Compliance from his or her employment other than for Cause upon: (i) ninety days' prior written notice to the Director of Compliance or ninety days' salary continuation; (ii) the Recorder sending written advance notice to the Director of Compliance and the Recorder Compliance Administrator, while acting, describing the reasons for Termination, providing the Recorder Compliance Administrator, while acting, sufficient time to determine if the termination is based upon Political Reasons or Factors; and (iii) the Recorder obtaining written advance approval from the Recorder Compliance Administrator, while acting, to terminate the employment of the Director of Compliance.

D. HRD Personnel Training. HRD, in conjunction with the Director of Compliance and OIIG (during the SRO Term), will provide comprehensive mandatory training programs for all personnel within HRD to ensure that they are aware of and knowledgeable about this Employment Plan and the Manual and will be able to administer relevant portions of this Employment Plan and the Manual and answer questions they may receive. Such training will be conducted no less frequently than once a year to all HRD personnel and no later than 30 days after any individual becomes an employee in HRD.

E. Supervisor Training. HRD, in conjunction with the Director of Compliance and OIIG (during the SRO Term), will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Manual. All

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Supervisors will receive such training no later than 90 days following their appointment as a Supervisor and no less frequently than annually thereafter.

F. Employee Training. HRD, in conjunction with the Director of Compliance and OIIG (during the SRO Term), will conduct comprehensive mandatory training of all Recorder employees to ensure they are aware of and knowledgeable about this Employment Plan, the Manual and Unlawful Political Discrimination. All employees will receive such training no later than 90 days following the beginning of employment and no less frequently than annually thereafter. HRD will continue to provide training regarding changes to the Employment Plan and the Manual as necessary. Amendments to the Plan and/or Manual need not require immediate re-training of employees, but HRD or the Director of Compliance must provide written notice to all affected employees of the amendment(s) and allow a reasonable period of time to address any questions prior to implementing and enforcing any such amendment.

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

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

I. Review of Job Descriptions. All Job Descriptions must include a list of all Minimum Qualifications and testing protocols, if applicable, as well as any Preferred Qualifications, and they must be accurate and readily available to the public. Accordingly, the Head of HRD, in conjunction with the Director of Compliance and outside consultants as needed, shall: (1) consult with the Division Head of the Hiring Division and appropriate staff, if necessary, and review the Job Description for each Position for which the Recorder receives a RTH to ensure that it is accurate and reflects the current duties and Minimum Qualifications necessary to perform the job; (2) conduct an evaluation of Job Descriptions as vacancies are posted to ensure they accurately describe all Minimum Qualifications, Preferred Qualifications, and testing protocols and reflect the actual duties of the Positions; (3) update and revise any such Job Description that is not accurate; (4) post the accompanying Job Descriptions for Positions on ATAS as a Position is posted; and (5) conduct a desk audit whenever a RTH is received containing a material change

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in any Minimum or Preferred Qualification, testing protocol, screening criteria or hiring criteria from the existing Job Description for the Position, unless such change constitutes a mandatory certification or license requirement for such Position. Nothing in this Section IV.I will prevent HRD from reviewing and updating Job Descriptions independent of whether there is an anticipated posting.

J. Cooperation with the Director of Compliance. All HRD staff will cooperate fully and at all times with the Director of Compliance by assisting the Director of Compliance in carrying out his or her duties under this Employment Plan including, but not limited to, providing documents and information regarding any allegation or investigation and assisting in any investigation, unless specifically prohibited by applicable law.

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

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

M. Violations of the Employment Plan Not Involving Unlawful Political Discrimination or Political Contacts. If any employee becomes aware of or receives a complaint that involves an allegation of a violation of this Employment Plan or the Manual, the employee shall refer the complaint to the Director of Compliance. The Director of Compliance shall do the following:

1. Director of Compliance Investigation. The Director of Compliance shall investigate the matter. Such investigation shall include, but not be limited to, a review of all relevant documents and interviews with witnesses. If at any time during an investigation of conduct that occurred during the SRO Term, the Director of Compliance determines that there is reason to believe a Political Contact or Unlawful Political Discrimination may have occurred, he or she shall refer the matter to the OIG pursuant to the procedures set forth in Section IV.N below. The Director of Compliance may coordinate with the Recorder Compliance Administrator (while acting) or with the Head of HRD or his or her designee on further investigation of any aspect of the violation.

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

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

3. Review of Incident Report and Preparation of Recorder's Report. The Director of Compliance shall submit a copy of the Incident Report to the Head of HRD, the Recorder, Plaintiffs' Counsel and the Recorder Compliance Administrator, while acting. If the Incident Report finds that no violation occurred, HRD shall file the Incident Report and no Recorder's Report will be required. If the Incident Report contains a finding of violation of or non-compliance with this Employment Plan or includes a recommendation of corrective action, the Recorder or his or her designee and the Head of HRD shall review the Incident Report with the Division Head of the Division involved in the complaint and prepare a Recorder's Report (a) confirming implementation of the Director of Compliance's recommended action, or (b) explaining why the recommended action was not implemented and describing the alternative action the Recorder has elected to take and the specific reasons for such alternative action. The Head of HRD shall submit a copy of the Recorder's Report to the Recorder, Plaintiffs' Counsel and the Recorder Compliance Administrator, while acting. The Head of HRD may suspend or terminate the hiring process (if applicable) and impose other remedial actions pending receipt of the Incident Report and the Recorder's Report.

4. Availability of Reports. The Incident Report and the Recorder's Report (both redacted as explained in this Section IV.M.4) shall be made available to the public upon request to the Director of Compliance made in person, via e-mail, or by mail. The Director of Compliance will promptly notify the Recorder Compliance Administrator of any such requests. The Director of Compliance will provide the requested Incident Report and/or the Recorder's Report in the same manner as requested within 10 days of the request. The Recorder will place notice of such availability and procedure for requesting reports on its website. Redacted Incident Reports and Recorder's Reports that are available to the public shall not include any names or other personally identifiable information. The Director of Compliance shall redact from the Incident Report and the Recorder's Report the names of any informants, complainants, witnesses and persons investigated prior to releasing the Recorder's Report to the public. The Director of Compliance may also redact from the Incident Report and Recorder's Report all information that

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is protected by statute or other applicable law or privilege (e.g. Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.).

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

1. Referral to the OIIG or Director of Compliance. The Recorder employee shall refer allegations of Political Contacts and Unlawful Political Discrimination occurring during the SRO Term to the OIIG. After the SRO Term, Recorder employees shall refer allegations of Political Contacts and Unlawful Political Discrimination to the Director of Compliance. The OIIG shall provide notice of all complaints received to the Director of Compliance on a quarterly basis. At the conclusion of any investigation conducted following such referral, the OIIG or the Director of Compliance will submit a Summary Report containing his or her findings, if any, as to the merit of the allegations and recommended actions to the Recorder, with a copy to the Head of HRD, the Director of Compliance, Plaintiffs' Counsel and the Recorder Compliance Administrator, while acting.

2. Review and Recorder's Report. The Recorder or his or her designee and the Head of HRD shall review the Summary Report with the Division Head of the Division involved in the complaint. If the Summary Report contains a finding that an Unlawful Political Contact or Unlawful Political Discrimination has occurred or includes a recommendation of corrective action, within 30 days of receipt of the Summary Report, the Recorder or his or her designee shall prepare a Recorder's Report and provide the same to the OIIG (for Reports addressing conduct alleged to have occurred during the SRO Term), the Head of HRD, Director of Compliance, and Recorder Compliance Administrator, while acting. The deadline for the Recorder's Report will be extended by 30 days at the Recorder's request. The Recorder's Report shall include the following:

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

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3. Availability of Reports. The Recorder's Reports shall be made available to the public upon request to the Director of Compliance. Such requests shall be made in person, via e-mail, or by mail. The Director of Compliance will promptly notify the Recorder Compliance Administrator, while acting, of any such requests. The Director of Compliance will provide the requested Recorder's Report in the same manner as requested within 10 days of the request. The Recorder's Office will place notice of such availability and procedure for requesting reports on its website. Redacted Recorder's Reports that are available to the public shall not include any names or other personally identifiable information. The Director of Compliance shall redact from the Recorder's Report the names of any informants, complainants, witnesses and persons investigated prior to releasing the Recorder's Report to the public, as well as all information that is protected by statute or applicable law or privilege (e.g. Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.).

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

P. General Principles and Responsibilities Related to ATAS. The implementation and use of ATAS shall be in compliance with the Recorder's commitments and obligations under this Employment Plan, as well as the Executive Order, the Consent Decree and the SRO, while in effect, and as follows:

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

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

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

Q. Do Not Rehire Without Further Consideration List. The Head of HRD or his or her designee shall maintain a list of individuals who are disqualified or ineligible for employment with the Recorder because of their dishonesty, deception, fraud, lack of cooperation or lack of candor including, but not limited to, engaging in such disqualifying actions in connection with investigations into unlawful conduct or violation of court orders, written policies or applicable law (the "Do Not Rehire Without Further Consideration List"). Individuals added to the Do Not Rehire Without Further Consideration List will be given notice prior to being added. Such individuals may appeal the decision to the Disciplinary Hearing Officer within 30 days of the



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date the notice is sent. Unless reversed upon appeal pursuant to applicable Personnel Rules a copy of which shall accompany such notice, a name added to the List shall stay on the List for five (5) years. The Do Not Rehire Without Further Consideration List shall include the following: name of the Applicant, Candidate or former employee; title of last position (if applicable); reason for placement on the Do Not Rehire Without Further Consideration List; and date for removal from list. A current copy of the Do Not Rehire Without Further Consideration List shall be available for internal Recorder's office use upon request to the Director of Compliance and, while acting, the Recorder Compliance Administrator. HRD shall use the Do Not Rehire Without Further Consideration List during the validation process described in Section V below; provided, however, that any Applicant who is ineligible for inclusion on the Validated Eligibility List due to placement on the Do Not Rehire Without Further Consideration List shall have such ineligibility confirmed by the Head of HRD before being excluded from the Validated Eligibility List. The basis for such ineligibility shall be documented on the ATAS. The Director of Compliance shall be notified in writing within five (5) business days of an individual being removed from or added to the Do Not Rehire Without Further Consideration List.

## V. GENERAL HIRING PROCESS

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

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

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

2. Recruiter Training. All Recorder employees who engage in any recruitment activity will receive training in proper recruitment practices that comply with this Employment Plan prior to engaging in any recruitment activity. Such training will be certified in writing by the Head of HRD and included in their personnel records. All training materials used must be approved in writing by the Director of Compliance prior to use. Employees who send notifications of postings to schools and community organizations shall not be considered as engaging in recruitment activities for purposes of this Employment Plan.

3. Recruitment Event Participation. Recorder employees involved in recruiting may participate in a variety of recruiting events, including, but not limited to, job fairs, school sponsored campus recruitment events and community based employment programs. The Recorder shall provide prominent written notice at such events to attendees that the Recorder

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does not hire or accept recommendations for Non-Exempt Positions based on Political Reasons or Factors,

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

1. Submission of RTH. The RTH, including written justifications for filling or creating the Position, must be submitted to HRD and signed by the Division Head of the Division to which the person selected for the Position will be assigned and in which he or she will work. On the RTH, the Division Head must receive written approval to fill the Position from the Deputy Recorder and Head of HRD. A copy of the RTH and written justification will be provided to the Director of Compliance and Recorder Compliance Administrator, while acting.

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

3. Distribution of Completed RTH Forms. The Head of HRD or his or her designee will provide written copies of all completed RTH forms to the Director of Compliance and the Recorder Compliance Administrator, while acting, within five days of receipt.

C. Preparation of Notice of Job Opportunity. The Content Librarian and the Head of HRD or his or her designee will prepare the Notice of Job Opportunity in accordance with the following:

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

2. Confirmation of Accuracy. The Content Librarian will complete a Notice of Job Opportunity based on information contained in the RTH and the current Job Description. The Content Librarian shall consult with the Head of HRD or his or her designee to ensure that the Job Description and the Notice of Job Opportunity are accurate. The Content Librarian and the Head of HRD or his or her designee shall take steps to ensure that all information, including, but

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not limited to, all Disqualifying Questions and Prescreening Questions, if applicable, are accurate and relate to the duties of the Position described in the Job Description.

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

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

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

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

3. Posting Period. All Notices of Job Opportunity will be posted on ATAS and on bulletin boards in conspicuous locations at HRD Headquarters and Recorder satellite offices for a minimum of 14 calendar days. If HRD decides to extend the final date for posting, a notice of such extension and a revised posting closing date shall be added to the Notice of Job Opportunity posted on ATAS. Notice of the extension will immediately be given to the Director of Compliance.

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

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

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

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H. Creation of Preliminary Eligibility List. After the final posting closing date, HRD will create a Preliminary Eligibility List for each Position posted containing the names of all Applicants who complete the application process on ATAS and who indicate on ATAS that they possess all Minimum Qualifications for the Position. If no Applicant is eligible for inclusion on the Preliminary Eligibility List, the position shall be reposted. If the Job Description includes Preferred Qualifications, HRD will sort the Applicants into groups based on the number of Preferred Qualifications the Applicant possesses (e.g. 4 of 4 Preferred Qualifications, 3 of 4, etc.).

I. Forming Smaller Pools Through Pre-Validation Randomization. HRD may form a smaller pool from the names on the Preliminary Eligibility List prior to the validation process described in Section V.J, provided there is a sufficient number of Applicants.

1. If the Preliminary Eligibility List contains the names of 25 or fewer Applicants, HRD will validate all Applicants.

2. If the Preliminary Eligibility List contains the names of more than 25 Applicants, HRD will form a pool of 25 Candidates from the names on the Preliminary Eligibility List through the use of a computer-based randomization function (which is part of ATAS or another computer program) and then validate these 25 Applicants.

3. If the Job Description includes Preferred Qualifications, prior to randomization, the names of all Applicants who indicated that they possess all Preferred Qualifications will remain on the Preliminary Eligibility List and will not be subject to removal using the computerized randomization process. In the event the number of Applicants with all Preferred Qualifications is greater than required to form a smaller pool, HRD will form the smaller pool from Applicants with all Preferred Qualifications using a computerized randomization process. If the number of Applicants possessing all Preferred Qualifications is insufficient to completely form a smaller pool, HRD shall add the names of Applicants in the next group who possessed some, but not all of, the Preferred Qualifications. If the number of Applicants in a group is greater than required to complete a smaller pool, HRD will complete the smaller pool of 25 Applicants using the computerized randomization process.

4. The Director of Compliance and the Recorder Compliance Administrator, while acting, shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section V.I, and he or she may be present during any such randomization process.

J. Creation of a Validated Eligibility List. HRD shall create a Validated Eligibility List in accordance with this Section V.J in order to determine which Candidate(s) may be referred to the Hiring Division for interviews. HRD will validate the Preliminary Eligibility List created in Sections V.H and V.I by reviewing the information submitted on ATAS for that posting (e.g. applications and resumes) by all Applicants listed on the Preliminary Eligibility List as follows:

1. Validation of Experience/Education. As part of the validation process, HRD will review the background information concerning the Applicant's work experience, education and skills contained on the online application and, if applicable, resume, and compare it with the

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Applicant's responses to the Disqualifying Questions. In the event there is a material conflict or inconsistency between the information provided by the Applicant and the Applicant's response to any Disqualifying Question, or if the information does not support the Applicant's claim to possess the Minimum Qualifications of the Position, the Applicant will be considered ineligible for the Position and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Validated Eligibility List.

2. Validation of Disciplinary History for Internal Candidates or Former Recorder Employees. Following the validation procedure described in Section V.J.1, HRD will conduct the following review for Applicants whose names were not removed from the Preliminary Eligibility List pursuant to Section V.J.1, unless a smaller pool was formed pursuant to Section V.I, in which case the review will be confined to such smaller pool. For (a) Internal Applicants or (b) External Applicants who indicated on their application that they were employed by the Recorder at any time in the 12 months preceding the Applicant's application for hire, HRD will review those Applicants' personnel files.

a. Internal Candidates' Disciplinary History Validation. Any Internal Applicant who was subject to a suspension while working for the Recorder during the 18 month period prior to his or her application for a Position will not be considered eligible for the Position, and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Validated Eligibility List, subject to the terms of any applicable CBA.

b. Former Recorder Employees' Disciplinary History Validation. Any External Applicant employed by the Recorder within the 12 months preceding his or her application who was subject to a suspension during the last 36 months of the External Applicant's most recent employment with the Recorder will not be considered eligible for the Position, and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Validated Eligibility List. Prior to making an offer of employment to an External Applicant who was employed by the Recorder within the 12 months preceding his or her application, HRD will provide the Director of Compliance with a copy of the successful External Applicant's disciplinary record.

3. Finalization of Validated Eligibility List. If HRD concludes that an Applicant meets the minimum qualifications pursuant to Section V.J.1 and has no disqualifying disciplinary history pursuant to Section V.J.2, HRD will place that Applicant's name on the Validated Eligibility List.

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

5. Review by Director of Compliance. The Director of Compliance along with the Head of HRD or his or her designee will have access to the validation process for each posting

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and may review them on an ongoing basis. If the Director of Compliance concludes during the validation process that a validation decision was erroneous, the Director of Compliance shall make a written request to the Head of HRD or his or her designee to revise the Validated Eligibility List including the reason(s) why such a revision is necessary. The Head of HRD or his or her designee shall revise the Validated Eligibility List in accordance with the Director of Compliance's request.

K. Creation of an Interview List.

1. Interview List for Single Vacancy. For a single Vacancy, if the Validated Eligibility List contains the names of more than 10 Candidates, the Head of HRD or his or her designee shall form a smaller pool of 10 Candidates through the use of a computer-based randomization function (which is part of ATAS or another computer program).

2. Interview List for Multiple Vacancies. For multiple Vacancies, if the Validated Eligibility List contains the names of more than 10 Candidates, the Head of HRD or his or her designee may form a smaller pool through the use of a computer-based randomization function (which is part of ATAS or another computer program) as long as the smaller pool contains the names of 5 Candidates per Vacancy.

3. Screening for Interviewees with Preferred Qualifications. If the Job Description includes Preferred Qualifications, prior to randomization, the names of all Candidates on the Validated Eligibility List who possess all Preferred Qualifications will be included on the Interview List and will not be subject to removal using the computerized randomization process. In the event the number of Candidates with all Preferred Qualifications is greater than required to form a smaller pool, HRD will form the smaller pool from Candidates with all Preferred Qualifications using a computerized randomization process. If the number of Candidates possessing all Preferred Qualifications is insufficient to completely form a smaller pool, HRD shall add the names of Candidates in the next group who possessed some, but not all of, the Preferred Qualifications. If the number of Candidates in a group is greater than required to complete a smaller pool, HRD will complete the smaller pool of Candidates using the computerized randomization process.

4. Notice of Randomization Process. The Director of Compliance and the Recorder Compliance Administrator, while acting, shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section V.K., and he or she may be present during any such randomization process.

5. Submission of Interview List. The Head of HRD or his or her designee will submit the Interview List, along with the Interview File, to the Division Head for scheduling pursuant to Section V.M.

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

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M. Interview Preparation.

1. Interview Scheduling. The Head of HRD or his or her designee will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the Director of Compliance, and the Recorder Compliance Administrator, while acting, at least 48 hours prior to the date of the first interview.

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

3. Interview Questions. The Division Head will prepare a list of a minimum of 10 interview questions relating to each Position with an assigned weight for each question totaling 100 points. The Division Head will send the list of interview questions with assigned weights to the Head of HRD or his or her designee, who will review and amend or approve the questions, select five or more questions to be used for interviews for that posting, and will include final scoring weights for each question. All questions shall be considered and treated as confidential, and they may not be disclosed to anyone other than the Head of HRD or his or her designee prior to the interviews. The questions must be based on the specific job duties of the Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The interview questions developed for a particular Position may be used for subsequent vacancies for that Position, provided appropriate precautions are taken to prevent advance dissemination of questions and answers to Candidates and provided the questions remain related to the duties of the Position.

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

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

1. Notification. At least 48 hours prior to any interview, the Head of HRD or his or her designee will notify the Recorder Compliance Administrator, while acting, and the Director of Compliance in writing of the time and place of each interview. The Recorder Compliance Administrator, while acting, the Head of HRD or his or her designee and the Director of Compliance may be present to monitor any interview.

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

a. The Head of HRD, his or her designee or the employee in charge of personnel matters for the Division, if applicable, will facilitate the conducting of interviews by informing the interview panel and the Division Head of the Hiring Division of the interview process, being available while interviews are being conducted, requesting that any applicable forms be completed, and picking up completed forms at the conclusion of each interview.

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

c. The interview questions selected in accordance with Sections V.M.3 and V.O.2.e will be used to evaluate Candidates and complete the Interviewer Evaluation Form.

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

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

3. Interviewer Evaluation Form and Preparation of Ranked Validated Eligibility List. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview and will score each



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Candidate as 1 (unacceptable), 2 (marginally acceptable), 3 (acceptable), 4 (very good) or 5 (excellent) in each category listed on the Interviewer Evaluation Form. The basis of any score of 5 or 1 must be explained by the interviewer on his or her Interviewer Evaluation Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers will submit the original completed Interviewer Evaluation Forms to the Head of HRD or his or her designee and a copy to the employee in charge of personnel matters for the Hiring Division, if applicable. The Division Head or his or her designee will tabulate the scores of the Candidates and rank them in order from the highest to lowest score on the Ranked Validated Eligibility List. Any Candidate who receives a combined overall average score of less than 3 will not be eligible for further consideration, and his or her name shall not be included on the Ranked Validated Eligibility List.

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

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

1. Selection Meeting. Within three (3) business days following the last Candidate interview, the interviewers will conduct a selection meeting at which all of the interviewers are present and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. The interview panel will discuss the Candidates interviewed in the order they appear on the Ranked Validated Eligibility List. The Head of HRD or his or her designee will be available to the panel to provide advice and expertise. The Director of Compliance may also attend selection meetings.

2. Interview Panel Ranking Form. The interview panel will select and rank at least the top three Candidates from the Ranked Validated Eligibility List in order of preference on the Interview Panel Ranking Form. If there is more than one vacancy, the Interview Panel will select and rank at least the top three Candidates plus the number of Candidates equal to the number of vacancies to be filled on the Interview Panel Ranking Form, provided there is a sufficient number of Candidates deemed eligible for ranking by the Interview Panel. If there is not, the interview panel will rank only those Candidates recommended for employment and deemed eligible for ranking.

3. Documentation of Selection Meeting. An interview panel member designated by HRD shall take notes at the selection meeting. The notes will include a description of why, how and by whom each Candidate was ranked. The notes will also indicate the objective basis or

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bases on which any Candidate was recommended for selection by the panel, as well as the basis or bases on which any Candidate was not recommended for employment and deemed ineligible for ranking. The notes and the Interview Evaluation Forms and the Interview Panel Ranking Form will be included in the Interview File.

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

5. Justification to Hire. The Recorder or his or her designee shall prepare the Justification to Hire Form, which will be sent to the Head of HRD or his or her designee along with the Interview Panel Ranking Form, the Interview Evaluation Forms, notes from the selection meeting, and any other documentation regarding the selection and ranking of the Candidates.

R. Final Screening. HRD will conduct a final screening of the Candidate or Candidates selected by the Recorder or his or her designee pursuant to Section V.Q.4 as follows:

1. Review of Final Selection. The Head of HRD or his or her designee will review the material forwarded pursuant to Section V.Q., provide a copy of the same to the Director of Compliance and Recorder Compliance Administrator, while acting, and verify the selection is in compliance with the requirements of this Employment Plan. In the event the Recorder or his or her designee's final selection is a Candidate or Candidates other than the one(s) described in Section V.Q.3, the Director of Compliance must review and verify that the selection is in compliance with the requirements of this Employment Plan as well. If either the Head of HRD or his or her designee or the Director of Compliance determines that the selection was not in compliance, the selected Candidate(s) will not be offered employment.

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

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

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designee will document for the file the basis of his or her finding of ineligibility and notify the Division Head and the Director of Compliance that the selected Candidate is not eligible.

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

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

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

3. No Acceptance. If no Candidate on the Interview List prepared in accordance with Section V.K is eligible or accepts the offer of employment, the Recorder may prepare another Interview List pursuant to Section V.K, and so on until the Candidates on the Validated Eligibility List are exhausted. Once that List of Candidates is exhausted, the Recorder may select another pool of Candidates from the pre-randomized Validated Eligibility List who were not yet on an Interview List, and interview such Candidates pursuant to Section V.O. If none is eligible or accepts the offer of employment or if the Validated Eligibility List was not randomized, the Recorder may select another pool of Candidates from the pre-randomized Preliminary Eligibility List, if applicable, and validate such Applicants pursuant to Section V.J. If none is eligible or accepts the offer of employment, or if the Preliminary Eligibility List was not randomized, the Position will be reposted. This Section V.S.3 is subject to the provisions of Section V.L.

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

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

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

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

#### **VI. EMPLOYEE CERTIFICATION.**

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

#### **VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS**

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

A. Emergencies. The Recorder is not required to comply with the General Hiring Process in the event of an Emergency and upon the prior written certification of the Recorder. Such certification will include, but not be limited to, statements to the effect that (1) there is a need for such hiring based on an Emergency (including a description of the specific emergency), (2) the approximate number of individuals required to be hired during the Emergency, and (3) the estimated duration of the Emergency (which may be no longer than 120 days). The Recorder must file such certification with the Director of Compliance and the Recorder Compliance Administrator, while acting. Upon receipt of such certification, the Recorder may hire employees to deal with the Emergency in a number which, when added to the number of other hires by the Recorder based on an Emergency during the calendar year, at no time exceeds 10. No person may be hired on an emergency basis for more than 120 days in any calendar year. No

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individual hired as the result of an Emergency may be hired based on any Political Reasons or Factors, and a NPCC shall be completed as otherwise required by the General Hiring Process.

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

C. Layoffs. The Recorder shall follow any applicable CBA and the Manual with respect to Layoffs.

D. Recall and Reemployment. The Recorder shall follow any applicable CBA with respect to Recalls and Reemployment.

E. Promotion and Demotion. The Recorder shall follow any applicable CBA and the Manual with respect to Promotions and Demotions.

F. Reclassifications and Upgrades. The Recorder shall follow any applicable CBA and the Manual with respect to Reclassifications and Upgrades.

G. Transfers. The Recorder shall follow any applicable CBA and the Manual with respect to Transfers.

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

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

2. Request for Transitional Assignment. The Division Head shall submit a written request to the Head of HRD that a Transitional Assignment be made. Such request must include (a) a description of the reason for such Transitional Assignment, (b) a copy of the written confirmation that there is an available appropriation for a Transitional Assignment from the Deputy Recorder, (c) a RTH or Personnel Action Form, (d) a copy of the Job Description, and (e) confirmation of the dates and the duration of the Transitional Assignment (which may not exceed thirty (30) days).

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

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

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VIII. <RESERVED>

IX. EXECUTIVE ASSISTANT HIRING PROCESS

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

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

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

C. Submission of RTH. The Executive Assistant Supervisor must submit a RTH to the Head of HRD or his/her designee. The RTH must be signed by the Executive Assistant Supervisor. If the Executive Assistant Supervisor is not a Division Head, the Division Head of the Division in which the Executive Assistant Supervisor works must also sign the RTH. The Executive Assistant Supervisor or Division Head must receive written approval to fill the Position from the Deputy Recorder and Head of HRD. The Head of HRD or his/her designee shall provide a copy of the RTH to the Director of Compliance and the Recorder Compliance Administrator, while acting, pursuant to Section V.B.1.

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

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

1. Job Description. The Head of HRD or his or her designee and the Executive Assistant Supervisor shall create a current and accurate Job Description for each Executive Assistant Position as described in Section V.B.2. Each such Job Description shall meet the

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definition of Executive Assistant contained in this Employment Plan and be approved by the Head of HRD. A copy of the Job Description shall be provided to the Director of Compliance.

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

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

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

## X. INTERN/EXTERN HIRING PROCESS

A. Long-Term Interns/Externs. The Recorder will follow the General Hiring process for all Internships/Externships regardless of whether the Intern/Extern will receive compensation (monetary or otherwise) from the Recorder for his/her employment except when the Intern/Extern is provided directly by an academic institution and the Recorder has no discretion or input in recommending or selecting the Intern/Extern; in which case, the Recorder will follow the placement procedures of the academic institution. In situations where the Recorder receives an Intern/Extern from an academic institution prior to the hiring, the Recorder will obtain an NPCC from the academic institution.

The Recorder shall not require as a basis for employment that any Applicant has, at any point, performed an Internship/Externship with the Recorder.

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B. 30-Day Internships. In an effort to expose high-school students to government service, the Recorder may provide 30-day, unpaid Internships to high-school students. Notice of 30-Day Internships will be posted on ATAS and on bulletin boards in conspicuous locations at HRD Headquarters and Recorder satellite offices for a minimum of 14 calendar days. HRD may extend the final date for posting by (1) adding, as soon as practicable, a revised posting closing date to the notice posted on ATAS and the bulletin boards and (2) immediately providing a copy of the revised notice to the Director of Compliance and the Recorder Compliance Administrator, while acting. The notice must include a list of any agencies with whom the Recorder is working to identify potential Interns. An Applicant shall apply by timely submitting a 30-Day Internship Application to the Head of HRD. HRD will review the Internship Applications to ensure that the Applicants meet the requirements for the 30-Day Internship. If there are more qualified Applicants than there are Internship Positions available, Applicants will be selected using a computerized randomization process. The Director of Compliance and the Recorder Compliance Administrator, while acting, shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section X.B, and they may be present during any such randomization process. HRD will provide the name(s) of the successful Applicant(s) along with a copy of the applications with start and end dates to the Director of Compliance and the Recorder Compliance Administrator, while acting. Those students selected for Internships shall not be employed in political activities and shall only engage in assisting in the operation of the Recorder's Office, subject to any limitations provided in any applicable collective bargaining agreements.

The Recorder shall not require as a basis for employment that any Applicant has, at any point, performed a 30-Day Internship with the Recorder.

## XI. EXEMPT POSITION HIRING PROCESS

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

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

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

3. Submission and Screening of Application. The individual selected to fill the Exempt Position shall complete an employment application on ATAS when feasible, but until then, in paper form. The Head of HRD shall review the application and confirm that the individual possesses the Minimum Qualifications and, if applicable, any licenses or



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certifications, required for the Exempt Position. If the individual does not possess the Minimum Qualifications or any applicable required license of certification, he or she shall not be placed in the Exempt Position.

4. Certification. After screening pursuant to Section XI.A.3, the Head of HRD shall certify in writing that any individual selected to fill an Exempt Position meets the Minimum Qualifications and, if applicable, possesses any licenses or certifications required for the Exempt Position. Such certifications shall be completed within five (5) business days of an individual becoming a Recorder employee in an Exempt Position and a copy of such certifications shall be provided to the Director of Compliance, the Head of HRD, and the Recorder Compliance Administrator, while acting.

5. Confirmation of Exempt Position. Prior to the hiring of an Exempt Applicant, the Head of HRD shall obtain written confirmation from the Director of Compliance that the Position Identification Number and the Position Title for the Exempt Position is contained on the Exempt List.

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

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

1. Request to Change. The Recorder or his or her designee shall send written notice of any proposed change to a Position on the Exempt List, along with supporting documentation, including but not limited to (a) the identity, Job Code and Position Identification Number of the Exempt Position (including a copy of the current Job Description) and (b) a description of the basis on which the change is proposed to the Director of Compliance. Until the effective date of a court order terminating the SRO, a copy will also be sent to Plaintiffs' Counsel and the Recorder Compliance Administrator, while acting. The Director of Compliance shall provide a written approval or objection to the proposed change within five (5) days of receipt. If the Director of Compliance provides an objection to the change, the Recorder or his or her designee and the Director of Compliance will then meet to discuss the matter within three (3) business days from the objection. If the Director of Compliance does not rescind his or her objection following such discussion, the proposed change will not be implemented unless otherwise approved by a court of competent jurisdiction. If the Recorder proceeds with implementing the proposed change over the Director of Compliance's objection and without court approval such, implementation will be considered a violation of this Employment Plan. In addition to any available remedies under this Employment Plan, the Director of Compliance's objection will be posted on the Recorder's website. It is expressly acknowledged and understood that the Director of Compliance 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; or any

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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 Recorder to the Director of Compliance.

2. Notice to Plaintiffs' Counsel. Until the effective date of a court order terminating the SRO, if the Director of Compliance approves the proposed change, the Recorder shall send confirmation of the Director of Compliance approval to the Plaintiffs' Counsel. Proposed changes to the Exempt List will not be implemented until after ten (10) business days of providing confirmation of the Director of Compliance approval to the Plaintiffs' Counsel. If Plaintiffs' Counsel sends a written objection of the proposed change to the Exempt List to the Head of HRD, Recorder and Director of Compliance within (10) business days of the Recorder providing written notice of the Director of Compliance's approval of the Exempt change, the Position will not be placed on the Exempt List and the matter shall be referred to the Recorder Compliance Administrator, while acting, for a recommendation and then to the court having jurisdiction in the Shakman Case for final resolution. Upon objection by the Plaintiffs' Counsel, the Exempt List will not be changed until final resolution by the court.

D. Posting of Exempt List. The Recorder or his or her designee will post the then-current Exempt List at HRD Headquarters, at Recorder satellite offices and on the Recorder website. The postings will include (i) the name of the Division to which the Exempt Position is assigned, (ii) the job title and Position Identification Number, (iii) the name of the incumbent, and (iv) the grade level. The Recorder will repost and update the Exempt List within ten (10) days of the occurrence of any applicable change made pursuant to Section XI.C. The current year's Cook County Annual Appropriations Ordinance will be linked to the Recorder's website.

E. Removal. A Recorder employee holding an Exempt Position may be terminated or subject to any action covered by this Plan for any reason or without reason, so long as it is not an illegal reason.

F. Maintenance of Exempt Position Status. Any Recorder employee who is appointed to an Exempt Position shall continue to be considered exempt, even if subsequently placed into a Non-Exempt Position, and his or her exempt status shall not change unless he or she is subsequently hired into a Non-Exempt Position that is filled through the General Hiring Process.

## **XII. MISCELLANEOUS POLICIES**

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

B. Temporary Assignments. Temporary Assignments shall be decided based on the operational and business needs and goals of the Recorder in accordance with any applicable CBA and the Manual. A Temporary Assignment may not exceed 120 days in a calendar year. Changes in assignments and work locations of employees will not be made based on Political Reasons or Factors. At the commencement of a Temporary Assignment, the individual serving

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in that role shall be provided with written expectations – separate and apart from a Job Description – of the duties to be performed during the term of the Temporary Assignment. A copy of the same shall be provided to the Director of Compliance and Recorder Compliance Administrator, while acting. The Recorder shall not use an individual's service in a Temporary Assignment in any Position as a factor in considering that individual for such Position, unless the individual received notice of poor work performance in accordance with the above written expectations and/or the Manual while the individual was in the Temporary Assignment. Such notice must also be provided to the Director of Compliance and Recorder Compliance Administrator, while acting. If the individual's poor work performance during a Temporary Assignment is considered when the individual later applies for that same Position, DHR will provide notice and a copy of the evaluations to the Director of Compliance and the Recorder Compliance Administrator, while acting. The Director of Compliance will review the evaluation and conduct any additional investigation he or she deems necessary to ensure that the evaluation complies with this Section XII.B.

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

D. Inter-Jurisdictional Transfers Incident to Shared Services Initiatives. Transfers or sharing of employees with another governmental unit shall be done in accordance with any applicable inter-governmental agreement or shared services agreement and may be done without complying with the hiring provisions provided for in Section V of this Plan provided such transfers are not based on Political Reasons or Factors.

E. Training. Training of employees shall be conducted in accordance with any applicable CBA and the Manual, and applicable law. No training will be provided or denied to employees based on Political Reasons or Factors.

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

G. Discipline. Discipline will be administered in accordance with any applicable CBA, the Manual and applicable law. Discipline for employees will not be issued or avoided based on Political Reasons or Factors.

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

I. Layoffs/Recall. Layoffs and Recall of employees shall be conducted in accordance with any applicable CBA and applicable law. Layoffs and Recall of employees will not be based on Political Reasons or Factors.

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J. Flextime. Flextime will be granted or denied in accordance with any applicable CBA, the Manual and applicable law. Flextime will be granted or denied in a uniform manner and will not be based on Political Reasons or Factors.

K. Cross-Training. Cross-Training shall be conducted in accordance with any applicable CBA, the Manual and applicable law. Cross-Training assignments will not be based on Political Reasons or Factors.

L. Performance Evaluations and Salary Reviews. Performance Evaluations and Salary Reviews shall be conducted in accordance with any applicable CBA, the Manual and applicable law. Performance Evaluations and Salary Reviews shall not be based on Political Reasons or Factors.

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

### **XIII. EMPLOYMENT PLAN AMENDMENTS**

A. The Head of HRD may from time to time amend the Employment Plan following written notice of any proposed changes to the Employment Plan to the Director of Compliance. The Director of Compliance shall be given an opportunity to review and comment on the proposed amendment prior to implementation. If the Director of Compliance objects to the change, he or she must do so in writing within five (5) business days and submit the same to the Head of HRD. The Recorder or his or her designee, the Head of HRD, and the Director of Compliance will then meet to discuss the matter within three (3) business days thereafter. The decision of the Recorder on any proposed change to the Employment Plan will be final. Proposed changes to the Employment Plan will not be implemented until after 10 business days from either the date the Director of Compliance was provided notice of the proposed changes or the date the Recorder makes his or her decision resolving any objections to the proposed changes, whichever is later.

B. Until the effective date of a court order terminating the SRO, after following the procedures described above, the Head of HRD will send any proposed changes to the Employment Plan to the Recorder Compliance Administrator and Plaintiffs' Counsel. If the Recorder Compliance Administrator or Plaintiffs' Counsel sends a written objection to the proposed change to the Employment Plan to the Head of HRD within five (5) business days of the providing notice of the change, the Recorder, the Recorder Compliance Administrator and Plaintiffs' Counsel will meet to discuss the proposed change in a good faith effort to reach agreement within three (3) business days thereafter. If the Recorder and Plaintiffs' Counsel are unable to reach agreement, the Recorder may file a motion to amend the Employment Plan with the court in the Shakman Case. Until the effective date of a court order terminating the SRO, all changes to the Employment Plan must be filed and approved by the court in the Shakman Case prior to being implemented by the Recorder.

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#### **XIV. CONCLUSION**

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

## Exhibit A

Exhibit A  
Positions deemed *Shakman* Exempt for Recorder

The following employment positions listed herein are deemed Exempt<sup>1</sup> in accordance with the *Shakman* Consent Decree. Exempt Positions may be added, deleted or modified subject to the procedures of paragraph II. G of the September 14, 2010 Supplemental Relief Order or as otherwise agreed by the parties.

The following employment positions are deemed Exempt:

- |   |                  |
|---|------------------|
| 1. Chief Deputy Recorder                                  | Post Id. 9501858 |
| 2. Deputy Recorder  | Post Id. 9501907 |
| 3. Deputy Recorder  | Post Id. 9501859 |
| 4. Special Assistant to the Recorder – Government Affairs | Post Id. 9501863 |
| 5. Special Assistant to the Recorder – Civil Affairs      | Post Id. 9501887 |
| 6. Labor Counsel  | Post Id. 9501866 |
| 7. Counsel for Recorder's Office                          | Post Id. 9501885 |

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<sup>1</sup> A position deemed Exempt is a Cook County Recorder of Deeds employment position that is included on this Exempt List and meets the criteria for exempt status as provided in the *Shakman* Consent Decree, i.e., it is a job that “involves policy making to an extent or is confidential in such a way that political affiliation is an appropriate consideration for the effective performance of the job and that therefore hiring for or discharge from the job should be exempt from inquiry...”

## Exhibit B



COOK COUNTY RECORDER OF DEEDS - INTERVIEW PANEL RANKING FORM

JOB TITLE: \_\_\_\_\_ PID. # \_\_\_\_\_ DATE: \_\_\_\_\_ REQ. # (where applicable) \_\_\_\_\_

Candidate Name	Interviewer Name	Score	Interviewer Name	Score	Interviewer Name	Score	Interviewer Name	Score	Avg Total	Final Ranking

**NOTE: ALL CANDIDATES SHOULD BE RANKED HIGHEST TO LOWEST WITH #1 = HIGHEST AND 10 = LOWEST**  
 With respect to all jobs under the jurisdiction of the Cook County Recorder of Deeds (CCRD) that are not exempt under the Shakman Decree, while effective, I certify that I am aware that I am strictly prohibited from conditioning, basing or knowingly prejudicing or affecting any term or aspect of CCRD employment or hiring upon or because of any political reason or factor or knowingly inducing, aiding, abetting, participating in, cooperating with or threatening any act which is proscribed above. I certify, under penalty of perjury, as provided by the law that, to the best of my knowledge, political reasons or factors did not enter into any CCRD employment actions taken with respect to the above Applicant/Employee or the employment or hiring process. I understand that failure to comply with the above prohibitions may result in sanctions, including disciplinary action up to and including termination and may subject me to criminal prosecution.

HRD SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_  
 LEAD INTERVIEWER SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

Exhibit C

**COOK COUNTY RECORDER OF DEEDS  
INTERVIEWER EVALUATION FORM**

*DOCUMENT COLLECTION NOTICE - Please collect all required documents from the Candidate prior to the interview. Make copies of documents: one copy for file and one for RCA, while acting. RETURN ORIGINALS TO CANDIDATE.*

Job Title: \_\_\_\_\_ Requisition #: \_\_\_\_\_  
 Name of Candidate: \_\_\_\_\_  
 Date of Interview: \_\_\_\_\_ Time: \_\_\_\_\_  
 Interviewed by: \_\_\_\_\_ Title: \_\_\_\_\_

<b>Scoring Legend</b>
1 = Unacceptable
2 = Marginally Acceptable
3 = Acceptable
4 = Very Good
5 = Excellent

<b>Weighted Value:</b> Determine the relative importance of knowledge, experience, education and training, and assign a percentage to each question based on the level of importance. The total value cannot exceed 100%.
<b>Example:</b>
Question 1 value of 25%
Question 2 value of 15%
Question 3 value of 20%
Question 4 value of 10%
Question 5 value of 30%
<b>TOTAL VALUE OF 100%</b>

-----  
**\*\* HAVE ALL REQUIRED DOCUMENTS BEEN COLLECTED FROM THE CANDIDATE? (diplomas, certificates, transcripts, degree, licenses) YES \_\_\_ NO \_\_\_**  
 -----

**Question 1:** \_\_\_\_\_ **Value:** \_\_\_\_\_ **%**

**Comments:**

**Interviewer Score:**      1                  2                  3                  4                  5

Candidate Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

**Question 2:** **Value:**      %

**Comments:**

Interviewer Score:      1              2              3              4              5

---

**Question 3:** **Value:**      %

**Comments:**

Interviewer Score:      1              2              3              4              5

---

**Question 4:** **Value:**      %

**Comments:**



## Exhibit D

## OFFICE OF THE COOK COUNTY RECORDER OF DEEDS

Human Resources  
118 N. Clark Street, Room 230  
Chicago, IL 60602  
(312) 603-5095

### STANDARD JOB DESCRIPTION

#### JOB TITLE

Job Code:  
Job Title:  
Salary Grade:  
Division:

Department Budget No.:  
Position I.D. No.:  
Compliance Status:

#### Job Summary

#### Essential Job Duties

#### Minimum Qualifications

#### Preferred Qualifications (if applicable)

#### Knowledge, Skills, Abilities and other Characteristics

Any offer of employment will be contingent on the applicant passing a drug screening test, background check and any required pre-employment testing.

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

## Exhibit E



**NO POLITICAL CONSIDERATION CERTIFICATION (NPCC)**

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

## Exhibit F

**CONFIDENTIAL**  
**Office of the Independent Inspector General**  
 69 West Washington Street, Suite 1160  
 Chicago, Illinois 60602

POLITICAL CONTACT LOG

NOTICE	
<p>It is prohibited by law and the policies of the Office of the Cook County Recorder of Deeds to take any employment action for any position (such as hiring, promoting, demoting, transferring, terminating, imposing discipline or awarding overtime) based on political factors or considerations <i>unless</i> the position is considered by court order to be "exempt."</p> <p>In order to ensure that the law and policies are followed, <i>all</i> employees, regardless of whether they hold exempt or non-exempt positions, have a duty to report <i>any</i> contact they have with any politically-related person or organization, or with any individual acting on behalf of such person or organization, if that contact involves an attempt to inquire about or affect an employment action involving an applicant or employee who is applying for or holds a non-exempt position.</p> <p>This form serves as notification and an official record of any contact you may have received from a politically related person or organization. If you are contacted or know about such a contact, you are required to immediately complete this form and return it directly to the Office of the Independent Inspector General (the "OIG") by hand delivery or mail to 69 W. Washington Street, Suite 1160, Chicago, IL 60602-3007, or by facsimile at (312) 603-9948 and to the Compliance Administrator by hand delivery or mail to 69 W. Washington Street, Suite 840, Chicago, IL 60602-3007, or by facsimile at (312) 603-9505. You are not required to assess whether the contact is illegal; rather, you are <i>only</i> required to report its occurrence. Please provide all the information requested by this form. If you have any questions, please contact the OIG at (312) 603-0350 and/or your supervisor.</p>	
Name of Person Making Contact:	Title/Assignment/Affiliation:
Address:	Phone:
Method of Contact: <input type="checkbox"/> Written <input type="checkbox"/> Phone <input type="checkbox"/> Personal <input type="checkbox"/> Other:	
Name of Political/Other Organization (See note 1 below):	
Name of Employee or Applicant Referenced:	
Position Applied for and Department Referenced:	
Employment Action Referenced (See note 2 below):	
Please describe contact in detail (all information received and given). Attach a copy of letter, memo, e-mail, etc.	
(Please use another sheet if necessary)	
Date of Log Entry:	
Print Your Name:	Title:
Sign Your Name:	Telephone:

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

## Exhibit G



**COOK COUNTY RECORDER OF DEEDS REQUEST TO HIRE**

This form must be completed in its entirety. All information must be typed.

DATE: \_\_\_\_\_ Section Name: \_\_\_\_\_

Business Unit #: \_\_\_\_\_ Division: \_\_\_\_\_

Budgeted Job Title: \_\_\_\_\_ Job Code#: \_\_\_\_\_

PID #: \_\_\_\_\_ Fund# 130  527  570  Grade: \_\_\_\_\_ Step: \_\_\_\_\_

Hourly Rate \$ \_\_\_\_\_ Annual Salary \$ \_\_\_\_\_ (FT) \_\_\_\_\_ (PT) \_\_\_\_\_

Work Days: \_\_\_\_\_ Work Hours: \_\_\_\_\_ Hours Per Week: \_\_\_\_\_

HRD Approval: \_\_\_\_\_ (Signature) On-Call Requirements? (Y)  (N)

Deputy Recorder Approval: \_\_\_\_\_ (Signature)

**\*\*\*PLEASE Attach the approved Budget Request for Hire Form\*\*\***

Is this Position approved by the Budget Department? (Y)  (N)

Is this a Collective Bargaining Agreement Position? (Y)  \_\_\_\_\_ (N)

If yes, which CBA & Local

Is this a Grant position? (Y)  (N)  \_\_\_\_\_ / \_\_\_\_\_

If yes, Grant Name

Grant #

Unpaid Intern / Extern (Y)  (N)  Paid Intern (Y)  (N)  SHAKMAN Exempt? (Y)  (N)

**\*\*\*Please note: A Job Description must be attached for the position that includes all relevant duties.\*\*\***

Date of Last Job Description \_\_\_\_/\_\_\_\_/\_\_\_\_ Does the Job Description need to be updated? (Y)  (N)

How will this position be filled? Promotional/ Internal Recruitment  External Recruitment  Recall

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

Section Head Name: \_\_\_\_\_ Phone # \_\_\_\_\_

Section Head Signature: \_\_\_\_\_ Date \_\_\_\_\_

Deputy Recorder's Signature: \_\_\_\_\_ Date \_\_\_\_\_

HR Director's Signature: \_\_\_\_\_ Date \_\_\_\_\_

Please attach ALL necessary documents and submit to the Human Resources upon completion.

**\*\*\* Human Resources use only \*\*\***

HR Director or Designee Approval: \_\_\_\_\_ / \_\_\_\_\_ Date: \_\_\_\_\_  
Signature Print Name

HR Analyst or Designee: \_\_\_\_\_ Date: \_\_\_\_\_

If Applicable, Dept.'s Repost Request Date: \_\_\_\_\_

Repost Date From: \_\_\_\_\_ Posting Date: \_\_\_\_\_  
 Repost Date To: \_\_\_\_\_ From: \_\_\_\_\_ To: \_\_\_\_\_