

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

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

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

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

IT IS HEREBY ORDERED:

The amended Cook County Recorder of Deeds Employment Plan attached as Exhibit 1 is approved.

Dated: December 21, 2017 ENTERED:



Sidney I. Schenkier
Magistrate Judge

EXHIBIT

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Cook County Recorder of Deeds Employment Plan
Effective 8/7/13; rev. 12/19/17

**COOK COUNTY RECORDER OF DEEDS
EMPLOYMENT PLAN**

Cook County Recorder of Deeds Employment Plan
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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 ("RCA") 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 RCA, 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 Employees will cooperate fully and at all times with the RCA by assisting the RCA in carrying out her duties under the SRO, this Plan and the Policy and Procedures Manual (the "Manual") including, but not limited to, providing documents and information relating to any Employment Action covered by the Plan or Manual, unless specifically prohibited by applicable law. 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.

CBA: See Collective Bargaining Agreement.

CCRD: The Office of the Cook County Recorder of Deeds.

Classification: A Position or group of Positions as defined by Job Code.

Collective Bargaining Agreement ("CBA"): Any current collective bargaining agreement between the Recorder and any legally recognized collective bargaining representative of Employees of the Recorder. Any reference to "the applicable CBA" means pursuant and subject to the then current collective bargaining agreement.

Compensatory Time: Time off earned as a result of an Employee working in excess of forty (40) hours in a work week pursuant to law and the Manual, or as otherwise provided for in an applicable CBA. Compensatory Time must be pre-approved prior to being earned except in

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emergency situations or if extenuating circumstances exist that make it impracticable to obtain pre-approval. Employees classified as “exempt” under the Fair Labor Standards Act (“FLSA”) are not eligible for Compensatory Time.

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

Consent Decree: The “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.

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

Day or day: A calendar day unless otherwise indicated.

Demotion: Movement of an Employee from one Position to another lower-level Position within the Employee’s current chain of command/Division 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.

Desk Audit: The procedure used to determine whether a particular Position’s qualifications, duties and responsibilities match its job classification and salary grade.

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 (“DOC”): 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 or his or her Designee 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.

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

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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).

Employee: A person holding a full-time or part-time Position within CCRD.

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 secretarial 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 Head, Director, Deputy Recorder, the Chief Deputy Recorder, the DOC, Labor Counsel, or Chief Legal Counsel.

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 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 flexible hours schedule that allows management to alter workday start and finish times.

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

Governmental Employment: Any employment relationship, excluding independent contractors, (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.

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Head of HRD: The Chief of Human Resources at CCRD.

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 230, Chicago, IL 60602.

HRD: See Division of Human Resources.

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.

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.Q.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 numeric code assigned to each job title.

Job Description: A written document that describes the Minimum Qualifications and current responsibilities of a Position and the knowledge, skills, 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 involuntary, temporary or permanent separation of a Recorder Employee from employment with the Recorder's Office for reasons other than job performance, usually because of cutbacks or Division reorganizations.

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Manual: See Personnel Policy and Procedures Manual.

Minimum Qualifications: The objectively ascertainable minimum requirements, including education and experience, that an Applicant 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.

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 work week, or as otherwise provided in an applicable CBA or in accordance with the Recorder's Personnel Policy and Procedures Manual, for which the Employee either will be paid or provided Compensatory Time at one and one-half times the Employee's regular rate of pay. These provisions do not apply to Employees classified as "exempt" under the Fair Labor Standards Act ("FLSA").

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 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

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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 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, any person acting as an agent of or representing any elected or appointed public official, any political organization or politically-affiliated group, or any person employed by or acting as an agent of or representing 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.

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

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 within the Employee's current chain of command/division. An Employee making an application for a Position pursuant to the General Hiring Process is not considered a Promotion.

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Ranked Validated Eligibility List: The list of Candidates who have been validated, interviewed 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 changed from one Classification to another 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 pursuant to Sections IV.M.4 and IV.N.2.

Recruiting Event: An event, such as job fairs, school sponsored campus recruitment events and community based employment programs that are hosted, sponsored, or attended by Recorder's office staff, where, among other things, announcements of job opportunities at the Recorder's office are made.

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 H.

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

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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 OIIG 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.

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

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

Transfer: The movement of a Recorder Employee from one Position to another Position without changing the Employee's pay.

UPC: See Unlawful Political Contact.

UPD: See Unlawful Political Discrimination.

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

Unlawful Political Discrimination ("UPD"): 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.

Vacancy: An unfilled Position.

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

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

Veterans' Preference: The Recorder's preference to interview eligible Veteran Applicants and exclude Veterans who are Applicants for Positions subject to the General Hiring Process from any computerized randomization process under this Employment Plan.

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

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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 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 DOC for compliance with this Section III.D.2 and shall be included in the Posting File if the individual is selected for hire.

b. The DOC will review the recommendation from the Politically-Related Person or Organization and conduct any investigation he or she deems necessary to ensure that the recommendation complies with this Section III.D. The DOC will document the reasons for his or her determination of whether the Political Contact complies with this Section III.D. A copy of the DOC's determination will be provided within three (3) days to the Head of HRD, OIIG and RCA, while acting. The DOC shall utilize a Contact Log Reporting Form to satisfy this duty.

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c. Recommendations that are determined by both the Head of HRD or his or her Designee and the DOC to not be based on Political Reasons or Factors shall be included in the Posting File.

d. Recommendations are not considered in making employment decisions. Only HRD Employees, the DOC and RCA while acting are permitted to see any recommendation.

E. Cooperation with the OIIG under the OIIG Enabling Ordinance. All Employees are required to comply with the provisions of the Cook County Independent Inspector General's Enabling Ordinance. Accordingly, all Employees are required to report any suspected instances of UPD to the OIIG. Nothing in this Employment Plan shall be construed to limit an Employee's responsibilities under the OIIG Enabling Ordinance, including the duty to report suspected UPD to the OIIG.

F. Unlawful Political Discrimination Reporting. Pursuant to the OIIG Enabling Ordinance, any Employee of the Recorder who learns of or has a reasonable belief that UPD has occurred or is occurring is required to report such matter to the OIIG directly and without delay, on an anonymous or credited basis, in person, by phone or in writing. In addition, Employees may report the alleged UPD to the DOC. The DOC will forward all complaints to the OIIG. All Employees of the Recorder are required to cooperate fully in any investigation of such matter conducted by the OIIG. Any Employee who fails to report and/or cooperate as required will be subject to Discipline, up to and including Termination, provided that such reporting and cooperation are not required if either would violate the Employee's constitutional rights. The OIIG shall provide the DOC with a courtesy copy of the tri-annual report required under Section V.A.11 of the SRO.

G. 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 OIIG. In addition, Employees may report the Political Contact to the DOC. All Employees are required to cooperate fully in any investigation of such contact conducted by the OIIG. Any Employee who fails to submit a Contact Log Reporting Form and/or cooperate as required will be subject to Discipline, up to and including Termination.

H. 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.

I. 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.I will affect any Recorder Employee's obligation to report Unlawful Political Discrimination.

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J. No Retaliation. The Recorder shall continue to prohibit retaliation, punishment or penalty for reporting or investigating a Political Contact, initiating a complaint related to any alleged UPC or UPD or violation of this Employment Plan, the Manual or any other policy, or cooperating with or assisting the OIG, RCA, the DOC, HRD, or any other person or authority in connection with any such report or complaint.

K. 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 and the Manual.

L. 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. 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 for union Employees provided it does not permit or involve the use of any UPC or UPD. 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.

M. 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.

N. 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 AND THE DOC

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 DOC is charged with, among other things, overseeing the ROD's compliance with this Employment Plan and the Manual. The following will apply to activities of HRD and the DOC:

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 DOC, and RCA, while acting, for comment. The Head of HRD or his or her Designee will provide a written response to the DOC and the RCA, while acting, accepting the DOC's and/or RCA's comments or recommendations or explaining why the

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comment or recommendation was not accepted and describing any alternative revision and the specific reasons for the alternative revisions. If the DOC or RCA, while acting, continues to object to the proposed change, the DOC or RCA, while acting, shall notify the Head of HRD of the objection in writing within five (5) days. The Recorder, the Head of HRD, the DOC and the RCA while acting will meet to discuss the matter. The decision of the Recorder will be final. If the Manual is amended despite an objection by the DOC or RCA, while acting, the Head of HRD or Designee will post the DOC's or RCA's objection on the Recorder's website. 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 (3) 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 DOC who will be an Employee of the Recorder. The DOC's primary responsibilities will include, but not be limited to: (a) overseeing compliance with this Employment Plan and the Manual; (b) maintaining and reviewing the Exempt List to ensure continued compliance; (c) accepting complaints related to Employment Actions, this Employment Plan and the Manual; (d) cooperating with the OIG in OIG investigations, (e) implementation of training programs and preparing training materials; (f) reviewing the Manual, and other duties as may be assigned from time to time; and (g) working with HRD to train all Employees on the Plan and Manual. The DOC will also issue semi-annual reports every June 15 and December 15 to the Recorder and the RCA, 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 DOC's semi-annual reports shall be posted on the Recorder's website.

2. Notification of Employment Actions. Except as expressly provided in this Employment Plan, the Recorder's Office will provide the DOC and the RCA with written, electronic notice, or notice by telephone, of all Employment Actions at least 48 hours before the Employment Action is taken, except where circumstances outside the control of Recorder Employees precludes advanced notice to allow reasonable opportunity to monitor the Employment Action.

3. Reporting. The DOC will be a Non-Exempt Position reporting to the Recorder and cooperating with the RCA, while acting, including but not limited to providing the RCA with weekly reports as deemed necessary by the RCA, 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 RCA may monitor any and all aspects of the DOC's job performance.

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4. Termination. The DOC shall serve at the pleasure of the Recorder and the Recorder shall have the right to terminate the employment of the DOC at any time subject to 90 days prior written notice of Termination in the event of involuntary Termination for other than Cause which is defined as “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 DOC 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.” Any termination of the DOC is subject further to the Recorder sending written notice to the RCA while acting and OIIG describing the reasons for the termination or proposed termination, as applicable, providing the RCA and OIIG sufficient time to determine whether the termination is based upon Political Reasons or Factors before the 90-day period expires or the Termination becomes effective.

D. HRD Personnel Training. HRD, in conjunction with the DOC, 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 45 days after any individual becomes an Employee in HRD. Receipt of such training must be reduced to writing and placed in such Employees’ personnel files.

E. Supervisor Training. HRD, in conjunction with the DOC, will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Manual. All Supervisors will receive such training no later than 90 days following their appointment as a Supervisor and no less frequently than annually thereafter. Receipt of such training must be reduced to writing and placed in such Employees’ personnel files. HRD will continue to provide training to Supervisors regarding interim changes to this Employment Plan and the Manual as necessary between annual training sessions.

F. Employee Training. HRD, in conjunction with the DOC and OIIG, will conduct comprehensive mandatory training of all Recorder Employees to ensure they are aware of and knowledgeable about this Employment Plan, the Manual, and UPD, and their obligations under the OIIG Enabling Ordinance. All Employees will receive such training no later than 90 days following the beginning of employment and no less frequently than annually thereafter. Receipt of such training must be reduced to writing and placed in such Employees’ personnel files. HRD, in conjunction with the DOC, 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 DOC 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 DOC, 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 UPD. Receipt of such training must be certified in writing and the certification placed in such Employees’ personnel files. The Head of HRD or his or her Designee 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

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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 DOC, 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. Job Descriptions must be accurate and kept up-to-date. All Job Descriptions must include the duties and responsibilities performed by the Position, 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. The Head of HRD or his or her Designee must provide Employees with a copy of their current Job Description on their first day in the Position. The Head of HRD or his or her Designee, in conjunction with the DOC and, as needed, outside consultants 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 or when there is a material change to the duties, responsibilities, Minimum Qualifications or Preferred Qualifications of a Position to ensure that the Job Description is accurate and reflects the actual duties of the Position. The Head of HRD or his or her Designee may conduct a Desk Audit, if necessary. HRD shall post the accompanying Job Descriptions for Positions on ATAS as a Position is posted. Nothing in this Section IV.I will prevent HRD from reviewing and updating Job Descriptions independent of whether there is an anticipated posting. Division Heads shall report promptly to the Head of HRD any changes to the duties, responsibilities, Minimum Qualifications or Preferred Qualifications of a Position. The Head of HRD shall report the same to the DOC and RCA, while acting, within 48 hours of learning of the changes consistent with Section IV.B.2.

J. Cooperation with the DOC. All Employees will cooperate fully and at all times with the DOC by assisting the DOC 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 DOC 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 DOC's hotline on its website. The hotline will allow individuals to call the DOC on an anonymous or credited basis.

L. Forwarding of Complaints. HRD shall forward all calls and information alleging that an Employment Action involves UPD or reporting a Political Contact (or a written transcript of the message) to the OIIG 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 UPCs or UPD, HRD shall forward the calls and information to the DOC who shall address the same in accordance with Section IV.M below.

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M. Violations of the Employment Plan and Manual 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 in connection with an Employment Action which does not include an alleged Political Contact or UPD, the Employee shall refer the complaint to the DOC. The DOC shall do the following:

1. Evaluation of Complaints. Upon receiving a complaint from an Employee, the DOC will evaluate the complaint to determine whether there are any potential violations of the Employment Plan or the Manual. If a complaint involves a potential violation of the Employment Plan, the DOC shall investigate the complaint pursuant to Section IV.M.2 below. If the complaint involves certain provisions of the Manual, the DOC may refer the complaint to another qualified Employee for investigation pursuant to Section IV.M.4 below.

2. DOC Investigation. DOC Investigations pursuant to Section IV.M.1 above shall be conducted as follows: the investigations will include, but not be limited to, a review of all relevant documents and interviews with witnesses. If at any time during an investigation the DOC determines that there is reason to believe a Political Contact or UPD may have occurred, he or she shall refer the matter to the OIIG pursuant to the procedures set forth in Section IV.N below. The DOC may coordinate with the RCA (while acting) or with the Head of HRD or his or her Designee on further investigation of any aspect of an alleged violation. If the subject matter of an investigation involves potential disciplinary action, any period of limitation relating to such disciplinary action shall be tolled until the completion of the investigation. For investigations concerning union Employees, the DOC will ensure that any deadlines in the relevant CBA concerning the issuing of an Incident Report and any hearings concerning the same are met. Nothing in this section shall prevent the DOC from exercising his or her discretion to issue a brief memorandum notifying an Employee of a technical violation (e.g. improper number of Candidates scheduled for interview (Section V.K), insufficient notice provided to DOC for interviews (Section V.M.1), failure to include detailed Selection Meeting notes in the Interview File (Section V.Q.3)) of the Plan or Manual in lieu of preparing a DOC Investigative Report. Such memoranda will be provided to the Employee, Head of HRD, and RCA, while acting, and will be kept in the Employee's personnel file. For more substantial alleged violations of the Plan (e.g. interview panelist failed to disclose a Conflict of Interest (Section V.O.2), interview questions were allegedly shared with a Candidate in advance of interview (Section V.M.3), an Executive Assistant Supervisor allegedly made material misrepresentations in hiring paperwork for an Executive Assistant (Section IX.E)), the DOC must investigate and issue a DOC Investigative Report consistent with Section IV.M.3 below.

3. Preparation of DOC Investigative Report. The DOC will complete his or her investigation within 90 days of receiving or learning of the complaint. Upon conclusion of his or her investigation and within the 90-day period, the DOC shall prepare and issue a DOC Investigative Report, which shall include the following:

a. A detailed description of the complaint and any other information pertinent to the investigation;

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- b. A detailed 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 DOC may deem relevant to the investigation or resulting recommendations.

4. DOC Referral of Certain Investigations. If an alleged violation does not involve a potential violation of the Employment Plan, but involves a potential violation of the Manual, the DOC may investigate the complaint or refer the complaint to a qualified and appropriate ROD Employee. The DOC may not refer any complaints that concern the Employment Actions specified in Section VII of this Plan. If the DOC refers an alleged violation, the Employee will conduct any necessary investigation consistent with Sections IV.M.2-3 above. For any alleged violations of the Manual that the DOC refers to another ROD Employee, the DOC will log the complaint, and continue to oversee completion of an investigation into the complaint, to ensure the investigation is completed in a timely, impartial and thorough manner. The DOC will only refer complaints of alleged violations of the Manual to supervisory-level or above Employees who have received CCRD-arranged training on how to conduct an investigation and write an investigation report. Certification of such training will be placed in the Employee's personnel file by HRD. Should the DOC refer any alleged violation of the Manual to another Recorder Employee, the DOC will ensure that the Employee complies with all relevant sections of the Disciplinary Policy in the Manual and the CBA (if applicable). If the Employee determines that no Incident Report should be issued, the Employee will provide the DOC with notice of this decision (with a copy to the RCA, while acting). If the Employee determines that a violation occurred, the Employee will follow the Recorder's disciplinary process in the Manual (and CBA if applicable) to initiate Discipline.

5. Review of DOC Investigative Report and Preparation of Recorder's Report. The DOC shall submit a copy of the DOC Investigative Report to the Head of HRD, the Recorder, Plaintiffs' Counsel and the RCA, while acting. Regardless of whether the DOC Investigative Report finds a violation of the Plan or Manual occurred, the DOC will redact the DOC Investigative Report pursuant to Section IV.N.3 and will provide the complainant with a copy of the same. Nothing in this section shall prohibit the DOC from meeting with the complainant to discuss the findings of his or her investigation. If the DOC Investigative Report finds that no violation occurred, HRD shall file the DOC Investigative Report and no Recorder's Report will be required. If the DOC Investigative 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 shall review the DOC Investigative Report and, if necessary, may conduct a reasonable follow-up with the DOC in order to determine whether to accept, reject or offer alternative proposals to the DOC's recommendations. In addition, the Recorder or his or her Designee shall prepare a Recorder's Report (a) confirming implementation of the DOC'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 Recorder or his or her Designee shall submit a

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copy of the Recorder's Report within 30 days of receipt of the DOC Investigative Report to the Recorder, DOC, Plaintiffs' Counsel and the RCA, while acting. Alternatively, within 30 days of receiving the DOC Investigative Report, the Recorder or his or her Designee may issue a written request to the DOC for an extension of up to 30 days to issue the Recorder's Report according to the process above in this Section IV.N.5. The DOC shall approve such a request for an extension and will notify the complainant, Plaintiffs' Counsel (during the SRO Term) and RCA, while acting, of the same. If the DOC recommends Discipline, and CCRD agrees that Discipline should be issued pursuant to the DOC's recommendation, CCRD will fully comply with any deadlines to issue Discipline or Incident Reports to Employees based on the DOC's findings and recommendations. The Head of IIRD may suspend or terminate the hiring process (if applicable) and impose other remedial actions pending receipt of the Recorder's Report.

6. Availability of Reports. The DOC Investigative Report and the Recorder's Report (both redacted as explained in Section IV.N.6) shall be made available to the public upon request to the DOC made in person, via e-mail, or by mail. The DOC will promptly notify the RCA, while acting, of any such requests. The DOC will provide the requested DOC Investigative 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 DOC Investigative Reports and Recorder's Reports that are available to the public shall not include any names or other personally identifiable information. The DOC shall redact from the DOC Investigative 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 DOC may also redact from the DOC Investigative Report and Recorder's Report all information that is protected by statute or other applicable law or privilege (e.g. Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.).

N. Violations of the Plan and Manual Involving Unlawful Political Discrimination or Unlawful Political Contacts. If any Recorder Employee becomes aware of or receives a complaint of a violation of the Plan or Manual that involves an allegation of a Political Contact or UPD, he or she shall refer the complaint to the OIIG. The OIIG shall provide the DOC with a copy of all its quarterly reports required under the OIIG Enabling Ordinance. The OIIG shall investigate complaints of UPD consistent with the OIIG Enabling Ordinance.

1. Summary Report. At the conclusion of any investigation conducted concerning UPD or UPC, the OIIG will submit a Summary Report containing his or her findings, if any, as to the merit of the allegations and recommended actions to the complainant and Recorder, with a copy to the Head of HRD, the DOC, Plaintiffs' Counsel (during the SRO Term) and the RCA, while acting.

2. Review and Recorder's Report. The Recorder or his or her Designee shall review the Summary Report. If the Summary Report contains a finding that an UPC or UPD has occurred or includes a recommendation of corrective action, the Recorder or his or her Designee may conduct a reasonable follow-up with the OIIG in order to determine whether to accept, reject or offer alternative proposals to the OIIG's recommendations. To assist the Recorder's office in considering the OIIG's findings and recommendations in the Summary Report, the OIIG shall provide the Recorder's office with a copy of the OIIG's investigative file upon

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request, pursuant to the Agreed Order Allowing Limited Disclosure of OIIG Investigative Files (Dkt. 4727 (entered September 19, 2016)). In addition, 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, the Head of HRD, DOC, Plaintiffs' Counsel (during the SRO Term), and RCA, while acting. The OIIG will provide a copy of the Recorder's Report to the complainant, if the complainant has alleged that he or she was the victim of UPD. The deadline for the Recorder's Report will be 30 days from receipt of the Summary Report and shall be extended by 30 days at the Recorder's request. If the OIIG recommends Discipline, and CCRD agrees that Discipline should be issued pursuant to the recommendation, CCRD will fully comply with any deadlines to issue Discipline or Incident Reports to Employees based on the OIIG's findings and recommendations. The Recorder's Report shall include the following:

- a. A detailed description of the complaint and any other information received pertinent to the investigation;
- b. A detailed description of the findings discovered in the course of the investigation and a detailed explanation of the basis for disputing any findings in the Summary Report;
- c. Recommendations of the OIIG for correction of the UPC or UPD, 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 recommended action or (ii) providing a detailed explanation of 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.

3. Availability of Reports. The Summary and Recorder's Reports (redacted as explained in this Section IV.N.3) shall be made available to the public upon request to the DOC. Such requests shall be made in person, via e-mail, or by mail. The DOC will promptly notify the RCA, while acting, of any such requests. The DOC will provide the requested redacted 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 Summary and Recorder's Reports that are available to the public shall not include any names or other personally identifiable information. The DOC 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.

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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 NPCC when taking any Employment Action using ATAS.

3. Monitoring of ATAS Activities. The DOC will have full and continual access to review all Employment Action-related 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 Hire Without Further Consideration List. The Head of HRD, or his or her Designee, shall maintain a list of individuals (the "Do Not Hire List") who were previously employed by the Recorder or who applied for employment with the Recorder and who shall be ineligible for employment with the Recorder for five (5) years if the individual was terminated, has resigned or retired in lieu of Termination, or was disqualified from consideration for employment as a result of:

1. a finding by the OIIG that the individual engaged in UPD or engaged in a prohibited Political Activity (as described in the CCRD Ethics Policy); or

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

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

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

5. a finding by the OIIG or the DOC that the individual falsified a Recorder document concerning any Recorder Employment Action.

Further, individuals that were Applicants or Candidates for employment at the Recorder's office who are found to have provided false information to the DOC, RCA and/or OIIG in connection with their application for employment and/or in connection with an investigation into a hiring process at the Recorder's office shall be placed on the Do Not Hire List for a period of five (5) years.

Individuals who are to be added to the Do Not Hire List will be given notice by the Head of HRD, or his or her Designee, prior to being added to the Do Not Hire List. Notice shall include a

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copy of the applicable grounds for seeking the individual's inclusion on the Do Not Hire List (the "Notice of Listing"). All individuals who are subject to being included on the Do Not Hire List may request a hearing in writing to the Head of HRD within thirty (30) days of the Notice of Listing being issued by the Head of HRD. Any hearings conducted for the purpose of determining whether an individual should be included on the Do Not Hire List shall be conducted by the DOC. If the hearing is scheduled as a result of a finding by the OIIG or the DOC, the Head of HRD will provide the OIIG or the DOC, as applicable, written notice of the hearing at least five (5) days before the hearing. The OIIG or the DOC shall be allowed to participate in the hearing.

The Do Not Hire List shall include the following information: the name of the former Employee; job title of former Employee; reason for placement on the list (termination, resignation in lieu of Termination, or retirement in lieu of Termination); date of placement on the list; and date from removal from the list (if removed).

The Head of HRD or his or her Designee shall provide copies of the current, up-to-date Do Not Hire List to the DOC, the RCA, while acting, and the OIIG within ten (10) days of any changes. The Do Not Hire List shall be available to the public upon written request to the Head of HRD or the DOC. The Do Not Hire List shall be provided to the requesting party within 10 days of the request.

The Do Not Hire List shall be used by HRD during the validation and hiring processes described in this Employment Plan. Any Applicant who is deemed ineligible for inclusion on the Validated Eligibility List due to their placement on the Do Not Hire List shall have their ineligibility confirmed by the Head of HRD and the DOC prior to being excluded from the Validated Eligibility List. The basis for such ineligibility shall be documented on ATAS. Failure of the Head of HRD or the DOC to confirm or document ineligibility shall not bar later action to remove an ineligible individual if hired in violation of this section.

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, IX, 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 UPD, including, but not limited to, the following:

1. Job Postings. HRD will ensure all Positions which the Recorder is seeking to fill are posted in highly visible areas at HRD Headquarters, Recorder satellite offices, on the Recorder's website, and on ATAS. HRD may also post openings at locations required by any CBA and at schools, professional organizations, labor organizations, professional publications, online job posting sites, and other appropriate locations (excluding Politically-Related Organizations) in order to generate a large pool of qualified Applicants. HRD shall provide the DOC and the RCA, while acting, a list of all posting locations prior to posting. The methods of posting as well as posting locations will be included in the Posting File.

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2. Recruiter Training. HRD will train all Recorder Employees who engage in any official Recorder's office recruitment activity in proper recruitment practices that comply with this Employment Plan prior to engaging in any recruitment activity. The Head of HRD will certify any such training in writing and place a copy of the same in the Employee's personnel record. All training materials used must be approved in writing by the DOC prior to use. HRD 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. Trained 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 does not hire or accept recommendations for Non-Exempt Positions based on Political Reasons or Factors. HRD shall provide the DOC and the RCA, while acting, with advance notice of any recruiting events.

4. No Recruiting at Politically-Related Organizations. No Recorder Employee or anyone acting as an agent of the CCRD shall post job openings or engage in any recruitment activity at any Politically-Related Organizations. Any inquiries regarding Recorder Positions shall be directed to HRD or the Recorder's website.

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 DOC and RCA, while acting.

2. Current Job Description. The RTH must be accompanied by a copy of the current Job Description that has all the information required in Section IV.I. The Head of HRD or his or her Designee will confirm the Job Description is current and accurate. If no Job Description exists, or if the existing job description is inaccurate, the Head of HRD or his or her Designee, with notice to the DOC and the RCA, while acting, will meet with the Head of the Hiring Division to discuss the job duties and responsibilities for the Position and will draft a 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 DOC and the RCA, while acting. All updates to any Job Description must be done 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 DOC and the RCA, while acting, within five days of receipt.

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

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1. Mandatory Training. The Head of HRD or his or her Designee shall receive advanced training on the proper use and operation of ATAS.

2. Confirmation of Accuracy. The Head of HRD or his or her Designee will complete a Notice of Job Opportunity based on information contained in the RTH and the current Job Description. The Head of HRD or his or her Designee shall take steps to ensure that all information, including, but not limited to, all Disqualifying Questions and Prescreening Questions, if applicable, are accurate and relate to the duties of the Position described in the Job Description.

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

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 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 and a copy maintained in the Posting File. Notice of the extension will immediately be given to the DOC and RCA, while acting.

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. Contacts about Hiring Process.

1. HRD. 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

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accommodation during the application process. HRD Employees must complete a Contact Form for each contact.

2. Employees Involved in the Hiring Process. Employees involved in the hiring process who have or have had any communication(s), either directly or indirectly, with (a) an Applicant or Candidate about his or her application for a Recorder Position or (b) an Employee not otherwise involved in the hiring process about a current or prospective hiring process must complete a Contact Form. Employees involved in a hiring process who make contacts with Applicants or Candidates that are explicitly permitted in this Section V (e.g. HRD Employees scheduling interviews with Candidates) need not complete Contact Forms for such contacts.

3. Other Employees. Employees who have or have had any communication(s), either directly or indirectly, with an Employee involved in the hiring process about a current or prospective hiring process must complete a Contact Form. The Recorder may request from the Chief of HRD general updates on hiring processes and these contacts need not be included on a Contact Form.

4. Contact Form. The Contact Form must describe in detail the communication(s) and any known relationship the Applicant or Candidate has with any Employee and must be provided to the Head of HRD or his or her Designee immediately. The Head of HRD or Designee will provide all Contact Forms to the DOC and RCA, while acting, but will not permit anyone else involved with a hiring process to review the Contact Forms. All completed Contact Forms will be included in the Posting File for the job posting.

G. Conflicts of Interest. If at any time an Employee who is involved in any way with a hiring process discovers that any Employee has had, or currently has, a personal or professional relationship with an Applicant or Candidate, that Employee must disclose immediately in writing the details of the relationship to the Head of HRD or his or her Designee and the DOC. The Head of HRD or Designee will determine whether the relationship rises to the level of a Conflict of Interest and what restrictions (if any) shall be placed on the Employee's continued involvement with the hiring process.

H. 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.

I. 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.).

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1. 25 or Fewer Applicants. If the Preliminary Eligibility List contains the names of 25 or fewer Applicants, HRD will validate all Applicants pursuant to Section V.J.

2. Veterans Preference. If there are more than 25 Applicants, HRD will first review all Applicants eligible for the Veterans' Preference. To be considered for the Veterans' Preference, Applicants must (i) be a Veteran, (ii) submit a copy of the DD Form 214 on ATAS at the time of application and (iii) meet the Minimum Qualifications of the Position. HRD will review all DD Forms 214 submitted on ATAS. If the DD Form 214 confirms the Applicant is a Veteran as defined in this Plan, HRD will validate the application pursuant to Section V.J. without any computer-based randomization.

3. Preferred Qualifications. If the Job Description includes Preferred Qualifications, prior to randomization, HRD will sort the names of Applicants who indicated that they possess one or more Preferred Qualifications into groups based on the number of Preferred Qualifications (e.g. 4 of 4 Preferred Qualifications, 3 of 4, etc.). The names in each group will be added to the Preliminary Eligibility List using the computerized randomization process.

4. All Other Applicants. HRD will add all other Applicants to the Preliminary Eligibility List using the computerized randomization process.

5. Notice of Randomization Process. The DOC and the RCA, 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. to determine which Candidate(s) may be referred to the Hiring Division for interviews. HRD will validate the Preliminary Eligibility List created in Section 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. Order of Validation. HRD will validate the Applicants in the order they appear on the Preliminary Eligibility List.

a. Veterans. All Eligible Veterans will be validated and those meeting the Minimum Qualifications for the Position will be added to the Validated Eligibility List.

b. Non-Veteran Applicants. HRD will continue to validate Applicants in the order they appear on the Preliminary Eligibility List, starting with Applicants with all of the Preferred Qualifications until there are 10 valid non-Veteran Applicants for a single vacancy or 5 valid non-Veteran Applicants per vacancy for multiple vacancies on the Validated Eligibility List. If HRD determines that an Applicant does not meet as many Preferred Qualifications as purported on his or her application, HRD will put that Applicant's name in the appropriate pool.

2. 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 Applicant's responses to the Disqualifying Questions. If there is a material conflict or

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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.

3. 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 DOC with a copy of the successful External Applicant's disciplinary record.

4. Finalization of Validated Eligibility List. If HRD concludes that an Applicant meets the Minimum Qualifications pursuant to Section V.J.2 and has no disqualifying disciplinary history pursuant to Section V.J.3, HRD will place that Applicant's name on the Validated Eligibility List. If HRD concludes that an Applicant possesses fewer Preferred Qualifications than indicated on the Application, HRD will put the Applicant into the appropriate group pursuant to Section V.I.

5. 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 DOC when the validation process has been completed for each posting within 48 hours of completion.

6. Review by DOC. The DOC along with the Head of HRD or his or her Designee will have access to the validation process for each posting and may review them on an ongoing basis. If the DOC concludes during the validation process that a validation decision was

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erroneous, the DOC 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 meet with the DOC as soon as practicable to discuss the disagreement regarding any validation decision(s). If the Head of HRD or his or her designee and the DOC cannot come to an agreement regarding a validation decision(s), the Applicant will not be included on the Validated Eligibility List. A copy of the DOC's written request and the ultimate decision will be maintained in the Posting File.

K. Creation of an Interview List.

1. Eligible Veterans. The Head of HRD or his or her Designee shall add the names of all validated Eligible Veterans to the Interview List.

2. Applicants with All 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.

3. All Other Applicants. If, after adding all Eligible Veterans and all Applicants with all Preferred Qualifications to the Interview List, there are fewer than 10 Candidates for a single vacancy or 5 Candidates per vacancy for multiple vacancies on the Interview List, 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 an Interview list of 10 Candidates, HRD will randomize the names in that group using the computerized randomization process. HRD will continue this process as necessary until the Interview List contains the names of 10 Candidates for a single vacancy or 5 Candidates per vacancy for multiple vacancies or the Validated Eligibility List has been exhausted, whichever comes first.

4. Notice of Randomization Process. The DOC and the RCA, while acting, shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section V.K., and they may be present during any such randomization process.

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 12 months from the date created. The Head of HRD, in consultation with the Deputy Recorder of the Hiring Division will decide if an existing Preliminary or Validated Eligibility List will be used to fill a Vacancy or if the Vacancy will be posted. Written notice and an explanation of the decision will be maintained in the Posting File and will be provided to the DOC and the RCA, while acting, before a List is used or the Position is posted.

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 DOC, and the RCA, while acting, at least 48 hours prior to the date of the first interview. If one or more Candidates on the Interview List is unavailable or declines to be interviewed, the next

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Candidate on the Validated Eligibility List will be moved to the Interview List and will be contacted for an interview.

2. Interview Panel Selection. The Head of HRD or the Director of HRD will select the interview panel consisting of three management and supervisor level Employees 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. All panelists must have a general understanding of the job duties and Minimum Qualifications of the Position such that they can effectively serve as a panelist. The Head of HRD or the Director of HRD will also identify a substitute who can fill in for an interview in the event of a Conflict of Interest or absence. No person involved in the screening or validation processes described in Sections V.H-L above may also serve on the Interview Panel for that same Position. HRD will send a list with the names of the Employees who will make up the interview panel to the DOC 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, in consultation with HRD, 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 Head of HRD will send the list of interview questions with assigned weights to the Division Head, the Director of HRD, the DOC and the RCA, while acting. The Head of HRD or the Director of HRD 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. The Head of HRD or his or her Designee will send the final list of questions to the DOC and the RCA, while acting, at least three (3) days before the interviews for review and comment. The DOC and RCA will provide any comments within 48 hours of receipt. All questions shall be considered and treated as confidential, and they may not be disclosed to anyone other than the Head of HRD or the Director of HRD, the DOC, and RCA, while acting, 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 provided written notice that they are required to produce required documents (e.g. current driver's license, diploma, official school transcript, certifications, etc.) listed on the Notice of Job Opportunity immediately 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 RCA, while acting, and the DOC in writing of the time and place of each interview. The RCA, while acting, the Head of HRD or his or her Designee and the DOC 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 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. Prior to the first interview, the Head of IIRD or his or her Designee will provide to the members of the interview panel the list of interviewee names and Candidate materials to review and to determine whether a Conflict of Interest exists. Prior to each Candidate's interview, the Head of HRD or his or her Designee will require each Candidate to detail in writing whether and how they know any Recorder Employee Grade 16 or above. Candidates will be provided a list of names of relevant Employees to review. The written responses of the Candidates will only be provided to the Head of HRD or Designee, the DOC and the RCA, while acting. The Head of HRD or Designee and the DOC will not permit anyone else involved with a hiring process to review the responses.

c. Panel members are required to disclose to the Head of HRD or his or her Designee and the DOC immediately if they know any Candidates in any way as this may constitute a Conflict of Interest. If a potential Conflict of Interest is reported prior to or during any interview, the DOC will determine if there should be a panel substitution because of a Conflict of Interest. For the sake of clarity, no Conflict of Interest exists if the interviewer knows the Candidate only through the interviewer's professional work at the Recorder's Office and has not been in contact with the Candidate outside of the workplace. If the DOC so determines that a Conflict of Interest exists, 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 IIRD or his or her Designee shall be contacted to replace the panel member. If no substitute is available, the interview will be rescheduled with a substitute panelist. 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 DOC will make the determination of whether a second interview panel must be convened and if any completed interviews must be rescheduled.

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

e. All Candidates interviewed for the same Position will be asked to respond to the same pre-approved interview questions. 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.

f. 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

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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 Candidate as 1 (unacceptable), 2 (marginally acceptable), 3 (acceptable), 4 (very good) or 5 (excellent) in each category listed on the Interviewer Evaluation Form. All scores 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. The Head of HRD 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, provided that all Candidates are tested at the same point in the hiring process, *e.g.* all Candidates are tested before their respective 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 five (5) days following the last Candidate interview, the interviewers will conduct a selection meeting at which all of the interviewers are present (either in person or telephonically) 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 all of the Candidates interviewed in the order they appear on the Ranked Validated Eligibility List. The Head of HRD or his or her Designee and the DOC will be available to the panel if the panel has any additional questions about the process.

2. Interview Panel Ranking Form. The interview panel will select and rank at least the top three Candidates in order of preference on the Interview Panel Ranking Form based on

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the Candidate's answers to the interview questions and qualifications. 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 bases on which any Candidate was recommended for selection by the panel, as well as the basis or bases on which any Candidate was not recommended for employment and deemed ineligible for ranking. If the final Candidate rankings differ from the rankings on the Ranked Validated Eligibility List, the selection meeting notes shall explain the basis or bases upon which the rankings were changed. 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's 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's 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's 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's 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.5, provide a copy of the same to the DOC and RCA, while acting, and verify the selection complies with the requirements of this Employment Plan. If the Recorder's Designee's final selection is a Candidate or Candidates other than the one(s) described in Section V.Q.3, the DOC must review and verify that the selection complies with the requirements of this Employment Plan as well. If either the Head of HRD or his or her Designee or the DOC 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 Recorder's Designee.

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3. Verification of Past Employment. The Head of HRD or his or her Designee shall attempt to confirm that the selected Candidate meets the Minimum Qualifications for the Position by contacting professional references provided by the Candidate until HRD can confirm that the Candidate meets the minimum qualifications or until such a reference list is exhausted. 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 Designee will document for the file the basis of his or her finding of ineligibility and notify the Division Head and the DOC 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 and copies will be included in the Posting File. 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. Any communication from a Candidate declining an offer of employment, whether written or verbal, shall be included on the Contact Log, included in the Posting File and timely communicated to the DOC and the RCA, while acting.

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's Designee 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's Designee 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.Q. If none is eligible or accepts the offer of employment or if the Validated Eligibility List was not randomized, the Recorder's Designee may select another pool of Candidates from the 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, 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:

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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.

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 a determination on whether the Employee is still eligible for employment based on the result of the background check. The Head of HRD or the Director of HRD shall review the results of the criminal background check, 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 DOC, and the RCA, 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 Sections III, IV and Section VI 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

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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 DOC and the RCA, 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 single calendar year or spanning two consecutive calendar years. No individual hired as the result of an Emergency may be hired based on any Political Reasons or Factors, and a NPCC shall be completed as otherwise required by the General Hiring Process.

B. Settlements and Awards. The 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 and the Manual with respect to Recalls and Reemployment.

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

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

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

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

I. Inter-Jurisdictional Transfers Incident to Shared Services Initiatives. The Recorder shall follow any applicable CBA and the Manual with respect to Inter-Jurisdictional Transfers Incident to Shared Services Initiatives.

J. Training. The Recorder shall follow any applicable CBA and the Manual with respect to Training.

K. Compensatory Time and Overtime. The Recorder shall follow any applicable CBA and the Manual with respect to Compensatory Time and Overtime.

L. Discipline. The Recorder shall follow any applicable CBA and the Manual with respect to Discipline.

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M. Flextime. The Recorder shall follow any applicable CBA and the Manual with respect to Flextime.

N. Cross-Training. The Recorder shall follow any applicable CBA and the Manual with respect to Cross-Training.

O. Performance Evaluations and Salary Reviews. The Recorder shall follow any applicable CBA and the Manual with respect to Performance Evaluations and Salary Reviews.

P. Third Party Providers. The Recorder shall follow any applicable CBA and the Manual with respect to Third Party Providers.

Q. Assignment or Change in Job Duties Not Involving a Transfer. The Recorder shall follow any applicable CBA and the Manual with respect to Assignment or Change in Job Duties Not Involving a Transfer.

VIII. <RESERVED>

IX. EXECUTIVE ASSISTANT HIRING PROCESS

In order to assist certain members of the Recorder's senior management team in retaining direct-report clerical and secretarial assistants who the Executive Assistant Supervisor knows possess the experience, skills and competence needed by them to perform their jobs effectively, each Executive Assistant Supervisor 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. If the OIIG issues a Summary Report finding that an Employee engaged in UPD in filing an Executive Assistant Position, the Executive Assistant Hiring Process will be stricken from this Employment Plan and all Executive Assistant Positions will be filled using the General Hiring Process. Except as provided here, the OIIG and Recorder will follow the procedures set forth in Section IV.N. For investigations that result in a finding of UPD in connection with filling an Executive Assistant Position, the OIIG will issue a Preliminary Summary Report. Within 14 days of receiving the Preliminary Summary Report, the Recorder may submit a Recorder's Report addressing the preliminary findings and presenting any additional information the Recorder believes is relevant to the investigation. Within 30 Days of receiving the Recorder's Report, the OIIG will issue its Final Summary Report. The Recorder will submit a Recorder's Report responding to the Final Summary Report pursuant to Section IV.N.2.

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 or her Designee. The RTH must be signed by the Executive Assistant Supervisor. If the Executive Assistant Supervisor is not a Deputy Recorder, the Deputy Recorder of the Division in which the Executive Assistant Supervisor works must also sign the

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RTH. The Executive Assistant Supervisor must receive written approval to fill the Position from the Chief Deputy Recorder and Head of HRD. The Head of HRD or his or her Designee shall provide a copy of the RTH to the DOC and the RCA, 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 or her Designee. The Head of HRD or his or her Designee shall submit a copy of the written notification with the RTH to the DOC and the RCA, 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 detailed 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 personal or 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 Sections V.B.2 and IV.1. Each such Job Description shall meet the 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 DOC.

2. Entry of Job Description on ATAS. HRD shall enter the Executive Assistant Job Description on ATAS and the Head of HRD or his or her Designee 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 HRD 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 provide the hiring documents to the DOC for review.

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4. DOC Verification Process. The DOC will review the documentation provided by the Head of HRD and may conduct whatever follow-up inquiry necessary to ensure that the information provided in the hiring packet is accurate. Should the DOC have any concerns with the accuracy of the information provided, he or she shall draft a memorandum outlining the concerns and will recommend whether the selected Candidate should be hired. The DOC will provide the same to the Executive Assistant Supervisor, Head of HRD and RCA, while acting. If the DOC has any reason to believe that Political Reasons or Factors affected the Executive Assistant Hiring Process, the DOC will refer the matter to the OIIG. If the DOC does not have any concerns with the hiring process, he or she shall include a brief statement of the same in the hiring packet, sign and NPCC, and return the same to the Head of HRD for final review.

5. HRD Certification. Upon receipt of the hiring packet from the DOC, the Head of HRD shall review the materials and determine whether the selected Candidate should be hired. If the hire is approved, the Head of HRD shall record such determination on ATAS, execute a NPCC and submit a copy of all information and the determination to the DOC and the RCA, while acting.

F. Termination. Executive Assistants are at-will Employees, and can be terminated at any time, with or without cause, and with or without notice. Because an Executive Assistant is hired to work with a specific Executive Assistant Supervisor, the primary duties of the Executive Assistant include the performance of executive-level clerical or secretarial services to that Executive Assistant Supervisor. An Executive Assistant is not covered by a CBA, is an at-will Employee, and may be terminated from employment with the Recorder's Office when the respective Executive Assistant Supervisor that the Executive Assistant was hired to work with is separated from employment with the Recorder's Office. Such Termination of the Executive Assistant does not give rise to a claim of political discrimination unless the Termination was based on Political Reasons or Factors directed at the Executive Assistant separate and apart from the Executive Assistant Supervisor that the Executive Assistant was hired to work with. For purposes of this Section, however, the Termination of an Executive Assistant in connection with, or as a result of, the departure or Termination of the Executive Assistant Supervisor that the Executive Assistant was hired to work with shall not, in and of itself, be deemed to constitute an Employment Action based upon Political Reasons or Factors.

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 or 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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13. 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 DOC and the RCA, 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 DOC and the RCA, 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 DOC and the RCA, 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 CBAs.

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 or his or her Designee shall create, revise, and maintain a current and accurate Job Description containing Minimum Qualifications for each Exempt Position as described in Sections IV.I and V.B. The Recorder or his or her Designee and the Head of HRD will also review the Job Description of a vacant Exempt Position prior to seeking to fill that Position pursuant to Sections IV.I and V.B.2. HRD shall post all Exempt Position Job Descriptions on the Recorder's website. Prior to the hiring of an Exempt Applicant, the Head of HRD shall obtain written confirmation from the DOC that the Position Identification Number and the Position Title for the Exempt Position is contained on the Exempt List.

2. Submission and Screening of Application. The individual selected to fill the Exempt Position shall complete an employment application. The Head of HRD shall review the application and confirm that the individual possesses the Minimum Qualifications and, if applicable, any licenses or certifications, required for the Exempt Position. If the individual does not possess the Minimum Qualifications or any applicable required license or certification, he or she shall not be placed in the Exempt Position.

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3. Certification. After screening pursuant to Section XI.A.2, 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 prior to offering the Position to the selected Candidate and a copy of such certifications shall be provided to the DOC, and the RCA, while acting.

4. Verification of Past Employment. The Head of HRD or his or her Designee shall follow the process in Section V.R.3 to verify the selected Candidate's past employment and that he or she meets the Minimum Qualifications for the Position.

5. Filling Head of HRD Position. If the Exempt Position that is subject to this hiring process is the Chief of HRD Position, the duties generally assigned to the Head of HRD pursuant to this Section XI.A shall be performed by the Chief Deputy Recorder or his or her Designee.

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 Positions. The Recorder may from time to time change Exempt Positions by adding, deleting, amending the titles of Exempt Positions contained on the Exempt List or amending Job Descriptions to Exempt Positions. 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 DOC. Until the effective date of a court order terminating the SRO, a copy will also be sent to Plaintiffs' Counsel and the RCA, while acting. The DOC shall provide a written approval or objection to the proposed change within five (5) days of receipt. If the DOC provides an objection to the change, the Recorder or his or her Designee and the DOC will then meet to discuss the matter within five (5) days from the objection. If the DOC 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 DOC'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 DOC's objection will be posted on the Recorder's website. It is expressly acknowledged and understood that the DOC is being provided authority to opine on any and all proposed additions or deletions to the Exempt List; any change to any of the duties, skills or abilities of an Exempt Position; or any change to the Minimum Qualifications of an Exempt Position. Nothing herein shall be deemed to be an abdication or transfer of authority from the Recorder to the DOC.

2. Notice to Plaintiffs' Counsel. Until the effective date of a court order terminating the SRO, if the DOC approves the proposed change, the Recorder shall send confirmation of the DOC approval to the Plaintiffs' Counsel. Proposed changes to the Exempt List will not be

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implemented until after ten (10) days of providing confirmation of the DOC 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 DOC within (10) days of the Recorder providing written notice of the DOC's approval of the Exempt change, the Position will not be placed on the Exempt List and the matter shall be referred to the RCA, 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. If Plaintiffs' Counsel does not send a written objection to the proposed change to the Exempt List to the Head of HRD, Recorder and DOC within ten days of the Recorder providing written notice of the Exempt change, the change will be implemented and notice of such action will be filed with the court having jurisdiction in the Shakman case.

D. Posting of Exempt List. The 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 Employment 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. 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 DOC. The DOC shall be given an opportunity to review and comment on the proposed amendment prior to implementation. If the DOC objects to the change, he or she must do so in writing within ten (10) days and submit the same to the Head of HRD. The Recorder or his or her Designee, the Head of HRD, and the DOC will then meet to discuss the matter within seven (7) 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 days from either the date the DOC 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 RCA and Plaintiffs' Counsel. If the RCA or Plaintiffs' Counsel sends a written objection to the proposed change to the Employment Plan to the Head of HRD within ten (10) days of the providing notice of the change, the Recorder, the RCA and Plaintiffs' Counsel

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will meet to discuss the proposed change in a good faith effort to reach agreement within seven (7) 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.

XIII. 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 and this Employment Plan 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 Exempt¹ 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	Position ID 9501858
2. Deputy Recorder – Finance	Position ID 9501907
3. Deputy Recorder – Operations	Position ID 9501859
4. Special Assistant to the Recorder – Government Affairs	Position ID 9501863
5. Deputy Recorder – Communications	Position ID 9501887
6. Labor Counsel	Position ID 9501866
7. Chief Legal Counsel	Position ID 9501885
8. Chief of Human Resources	Position ID 9501876
9. Special Assistant to the Recorder – Community Affairs	Position ID 0903543

¹ 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) _____

[illegible]

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: _____

Scoring Legend

1 = Unacceptable
2 = Marginally Acceptable
3 = Acceptable
4 = Very Good
5 = Excellent

Weighted Value: 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%.

Example:

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%

TOTAL VALUE OF 100%

**** 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:

Candidate Name: _____

Job Title: _____

Interviewer Score: 1 2 3 4 5

Question 5: Value: %

Comments:

Interviewer Score: 1 2 3 4 5

INTERVIEW SUMMARY:

With respect to all jobs under the jurisdiction of the Cook County Recorder of Deeds (CCRD) that are not exempt under the Shakman Decree, 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 (including the interview of the above candidate) 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.

INTERVIEWER SIGNATURE: _____ DATE: _____

FOR HUMAN RESOURCES ONLY:

TOTAL SCORE: _____ HRD ANALYST/DESIGNEE NAME: _____

HRD ANALYST/DESIGNEE SIGNATURE: _____

DATE: _____

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

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 *unless* the position is considered by court order to be "exempt."

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

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

Name of Person Making Contact:	Title/Assignment/Affiliation:
Address:	Phone:
Method of Contact: ☐ Written ☐ Phone ☐ Personal ☐ 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

Exhibit G

Posting File Checklist

1. Request to Hire
2. Current Position Job Description
3. Notice of Job Opportunity
4. Applicant List
5. Validated Eligibility List
6. Interview File
7. Testing protocols (if any)
8. Documented Conflicts of Interest (if any)
9. Grant of Authority
10. Justification to Hire
11. Additional No Political Consideration Certifications (if any)
12. Any other posting-related documents (if any)