

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

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

**JOINT MOTION FOR SETTING A HEARING DATE FOR
SUBSTANTIAL COMPLIANCE AND DISMISSAL OF THE COUNTY OF COOK**

Plaintiffs, MICHAEL L. SHAKMAN, PAUL M. LURIE, et al. (“Plaintiffs”), and Defendant, COUNTY OF COOK (the “County”), (collectively, the “Parties”) by and through their respective attorneys, respectfully request that the Court enter the accompanying Agreed Order Setting a Hearing Date for the Joint Motion for a Finding of Substantial Compliance and dismissal of the County of Cook in the form attached as Exhibit 1. In support, the Parties state as follows:

1. On November 30, 2006, the Parties entered into a settlement agreement in this case entitled the Agreed Supplemental Relief Order (“SRO”) (DKT. 531).
2. The SRO lists the standards for a finding of substantial compliance by the County.

Included are the following factors:

- (1) The County has implemented a new Employment Plan, including procedures to ensure compliance with the new Employment Plan and identify instances of non-compliance;
- (2) the County has acted in good faith to remedy instances of non-compliance that have been identified, and prevent a recurrence;
- (3) the County does not have a policy, custom or practice of making employment decisions based on political factors except for Exempt Positions;
- (4) the absence of material noncompliance;
- (5) County has implemented procedures that will effect long-term prevention of the use of impermissible political considerations in connection with employment with the County. (DKT No. 531)

3. Over the past several years, the County along with representatives of the County Board President's Office, the Office of the Public Defender, the Cook County Health and Hospitals System ("CCHHS"), and the Office of the Independent Inspector General ("OIIG") has developed and implemented policies and procedures to help ensure that unlawful political reasons and factors are not and will not be considered in the County's employment actions. The Court has approved the Cook County Employment Plan of the Offices under the Jurisdiction of the President and the Public Defender, the Employment Plan for CCHHS, and the Employment Plan for the OIIG. The County has further revised these Employment Plans and the proposed amended Employment Plans for the County, CCHHS and OIIG are attached hereto respectively as Exhibits 2, 3 and 4 for the Court's review and approval.

4. To facilitate monitoring of the County's compliance with the Employment Plans and investigating alleged violations of those Employment Plans, the County, the various Compliance Officers and the OIIG have agreed to a protocol for addressing claims; said protocol is included in the Employment Plans.

5. The County submits the Employment Plans as evidence that it has implemented procedures that will continue after the SRO is terminated to effect long-term prevention of unlawful political discrimination.

6. The SRO provides that prior to a finding of Substantial Compliance and dissolving the 1994 Consent Decree and this SRO, the Chief of the Bureau of Human Resources and the President will sign a Certification of Substantial Compliance stating that, after appropriate review and inquiry, the Chief of the Bureau of Human Resources and the President believe the County is in Substantial Compliance with the 1994 Consent Decree and the SRO. Copies of such certifications are attached hereto as Exhibits 5 and 6.

7. Based upon reports by the CA, Compliance Officers and the OIIG, a review of the Employment Plans, and the County's conduct in the last several years, Plaintiffs agree that the Employment Plans can reasonably be expected to satisfy the objectives of the 1994 Consent Decree

and SRO, and that the County has met the requirements of the 1994 Consent Decree and SRO for a finding of substantial compliance with the 1994 Consent Decree and the SRO.

8. The Parties and the Compliance Administrator agree that the County is in substantial compliance with the 1994 Consent Decree and the SRO.

9. The Parties agree that the Court should terminate the 1994 Consent Decree and SRO for the County as it applies to the Offices under the Jurisdiction of the President, the Public Defender, CCHHS, and the OIIG, with the Court retaining jurisdiction regarding a final fee petition, which the Plaintiffs shall submit within 60 days after the Court rules on this motion. Consistent with their past practice, the Parties will confer and attempt to reach agreement regarding fees prior to the submission of the petition.

10. The Parties have agreed to provide a Notice of Hearing in the form attached as Exhibit 1.A. The Notice will be provided to current County employees in the Offices under the Jurisdiction of the President, the Public Defender, the OIIG and CCHHS by email and posting on the County's website on September 21, 2018. On or before September 21, 2018, the Notice shall be published as a display advertisement in one daily edition in each of the Chicago Tribune and the Chicago Sun-Times.

11. Class members who wish to object to a finding of Substantial Compliance or who wish to be heard at the hearing must file any objection or request with the Clerk of the Court by 3:00 p.m. on October 12, 2018, with copies sent to the Cook County State's Attorney and Plaintiffs' Class Counsel, as more fully stated in the Notice of Hearing.

WHEREFORE, the Parties respectfully request that the Court (i) enter the attached Agreed Order Setting a Hearing Date for the Joint Motion for a Finding of Substantial Compliance and Dismissal of the County of Cook, providing for such hearing to occur on October 31, 2018 at 10:00 a.m., and (ii) following such hearing, grant the motion for substantial compliance with the SRO, dissolve the SRO and 1994 Consent Decree and dismiss the County as a defendant.

Respectfully submitted,

<p>MICHAEL L. SHAKMAN, et al.: By: <u>/s/Brian I. Hays</u> Roger R. Fross Brian I. Hays LOCKE LORD, LLP 111 S. Wacker Dr. Chicago, IL 60606 312.443.1707</p> <p>Michael L. Shakman Edward W. Feldman MILLER, SHAKMAN & BEEM, LLP 180 N. LaSalle Street, Suite 3600 Chicago, Illinois 60601 Phone: 312.263.3700</p>	<p>COUNTY OF COOK By: <u>/s/Daniel H. Brennan, Jr.</u> Cathy McNeil Stein Daniel Brennan Assistant State's Attorneys Cook County State's Attorney's Office 500 Richard J. Daley Center Chicago, IL 60602</p>
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CERTIFICATE OF SERVICE

I, Daniel Brennan, Jr., hereby certify that I have caused a true and correct copy of the foregoing to be served upon:

Roger R. Fross
Brian I. Hays
Katherine H. Harris
LOCKE LORD, LLP
111 S. Wacker Dr.
Chicago, IL 60606

via E-Filing and by causing the same to be deposited in the U.S. Mail, first-class, postage prepaid on the 31st day of August, 2018

/s/ Daniel Brennan
One of the Attorneys for Defendants

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ILLINOIS
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)	No. 69 C 2145
Plaintiffs,)	
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)	Hon. Sidney Schenkier
COUNTY OF COOK,)	
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Defendants.)	

**THE COUNTY OF COOK'S MEMORANDUM IN SUPPORT OF THE
JOINT MOTION FOR SETTING A HEARING FOR SUBSTANTIAL COMPLIANCE AND
DISMISSAL OF THE COUNTY OF COOK**

In 1972, Defendant, the County of Cook (“County”) entered a Consent Decree (“1972 Consent Decree”) which, among other things, prohibited the County from conditioning, basing or knowingly prejudicing or affecting any term or aspect of governmental employment, with respect to one who is at the time already a governmental employee, upon or because of any political reason or factor. On January 7, 1994, the County entered a second Consent Decree which incorporated the 1972 Consent Decree’s prohibitions and extended those prohibitions to include the County’s hiring practices, with certain exclusions. The 1972 and 1994 Consent Decrees are collectively referred to as the “Consent Decrees.”

In 2006, the Plaintiffs filed an Application to Hold Cook County and Certain Individuals in Civil Contempt for alleged past violations of the Consent Decrees. On November 30, 2006, the County and the Plaintiffs on behalf of classes of past, present, and future (i) candidates, (ii) voters, (iii) applicants for employment with the County, and (iv) employees of the County (the “Class Members”) (collectively “the Parties”) agreed to enter a Supplemental Relief Order (“SRO”). The SRO provided that the County would create a new, revised hiring plan to be filed with and approved by the Court. This new plan would also include a new list of proposed exempt positions that would be presented to

the Plaintiffs for comment and discussion in a good faith effort to reach an agreement on the list. The SRO also contained a provision stating that the remaining applicable parts of the 1994 Consent Decree would remain in full force and effect. The SRO was ultimately approved by the Court on February 2, 2007 and resulted in the appointment of a Federal Compliance Administrator (the "CA") to oversee the County's compliance.

While the SRO imposed direct federal court oversight upon the County by the CA, the County was permitted to work with the parties to develop a framework for substantial compliance. Achieving the various elements of substantial compliance would result in the development of plans, policies and procedures that would allow for self-compliance. In addition, achieving SRO compliance would allow the County to demonstrate through its action and commitment an ability to independently eradicate unlawful political discrimination from its employment processes, to deter and punish wrongdoing, and to ensure that previous mistakes of non-compliance would not be repeated. A thorough demonstration of substantial compliance by the County would eliminate the need for future Court supervision.

Because of the dedicated efforts undertaken by County President Toni Preckwinkle and her administration, the County¹ is pleased to seek a finding of substantial compliance from the Court. Since taking office in December of 2010, President Preckwinkle advocated to implement major reforms and reshape County government through fiscal responsibility, innovative leadership, transparency and accountability, and improved services.² President Preckwinkle understood that achieving substantial compliance was an important endeavor and this joint motion for substantial compliance represents her commitment to and execution of transparency, accountability and

¹ Reference to the "County" include the Offices under the jurisdiction of the County Board President, the Office of the Cook County Inspector General ("OIIG"), the Cook County Health and Hospitals System ("CCHHS"), and Public Defender in all cases except where the OIIG, CCHHS or Public Defender are specifically noted.

² See "Cook County Board President Toni Preckwinkle Releases Transition Report," Press Release (January 13, 2011) available at:

<https://www.cookcountyil.gov/news/cook-county-board-president-toni-preckwinkle-releases-transition-report>

improved services. Because of President Preckwinkle's as well as the County Board's commitment to compliance, the County has been at the forefront in implementing plans, policies and procedures that not only will deter unlawful political discrimination but will also account for ongoing compliance and punishment for misconduct. President Preckwinkle supported the County's efforts to work with the CA, the Plaintiffs, Plaintiffs' Counsel and other stakeholders to implement policies that would support compliance. Employment Plans and policies have been executed for the Offices under the jurisdiction of the President, including the Office of the Public Defender; CCHHS, and the OIIG. The President has advocated and implemented annual training for employees and has been at the forefront in developing and instituting reporting logs to both encourage the reporting of and deter unlawful political discrimination and unlawful political contacts. As we note below, the County is confident that it has achieved substantial compliance with all aspects of the SRO and the Consent Decrees.

Among other things, the County has accomplished the following:

- Adopting and implementing a comprehensive Employment Plan for County offices under the jurisdiction of the President, including the Office of the Public Defender, which sets forth the general principles that will govern hiring and employment policies and procedures for employees, applicants and candidates for employment in offices under the jurisdiction of the President;
- Adopting and implementing a comprehensive Employment Plan for CCHHS which sets forth the general principles that will govern hiring and employment policies and procedures for employees, applicants and candidates for employment at CCHHS;
- Adopting and implementing a comprehensive Employment Plan for the OIIG which sets forth the general principles that will govern hiring and employment policies and procedures for employees, applicants and candidates for employment at the OIIG;

- Implementation of proactive and transparent employment-related policies, practices and procedures that will prevent and remedy the negative effects of unlawful political contacts and unlawful political discrimination as required by Executive Order, Ordinances, and applicable law;
- Implementation of employment-related policies, practices and procedures that prohibit the influence of political reasons and factors for employment actions involving non-exempt positions;
- Required reporting for every employee of the County who learns of or has a reasonable belief that unlawful political discrimination has occurred or is occurring, to the OIIG directly and without delay, on an anonymous or credited basis, in person, by phone or in writing;
- Required reporting to the OIIG for every employee who receives or has reason to believe a political contact has occurred or is occurring;
- Mandated cooperation with the OIIG in Employment Plan and unlawful political discrimination investigations;
- Required reporting of contacts by County employees to the President who are seeking an employment action or are seeking to influence an employment action involving a non-exempt position;
- Prohibited retaliation, punishment or penalty for reporting a political contact, initiating a complaint related to any alleged unlawful political contact or unlawful political discrimination, or cooperating with or assisting, the Compliance Officer (“CO”), Bureau of Human Resources (“BHR”), OIIG or any other person or authority in connection with any such report or complaint;
- Commitment to maintain a BHR staff of experienced and knowledgeable professionals who meet the minimum qualifications contained in the job descriptions and who can fulfill the County’s obligations under the employment plans;

- Commitment to ensuring fair and equitable employment practices and procedures that will require vigilance and cooperation with the OIIG and Compliance Officers when it conducts investigations and reviews regarding the Employment Plan and Supplemental Policies developed under the various employment plans;
- Implementation of a No Political Consideration Certification (“NPCC”) which all County employees will be required to sign, in hard copy or electronically, as applicable, whenever they initiate or are involved in any employment action covered under the Employment Plan;
- Empowered the various CO’s to independently monitor and investigate County and CCHHS Employment Plans and Supplemental Policies for substantial compliance;
- Empowered the OIIG to independently monitor and investigate County and CCHHS Employment Plans for substantial compliance and unlawful political discrimination and unlawful political contact;
- Passed ordinances and protocols to increase the scope of the OIIG’s independent authority and require that County employees cooperate with OIG investigations;
- Implementation of regular reporting and auditing requirements related to various elements of the Employment Plans and Supplemental Policies in order to increase public transparency and accountability with respect to all of these areas;
- Eliminating material noncompliance with the SRO by working collaboratively with the OIIG, CA and CO’s to identify problems, implement procedural corrections, and punish violators;
- Cooperating with investigations into historical misconduct and punishing those responsible for pre-SRO and post-SRO violations of the Consent Decrees;
- Developing and conducting extensive training programs to educate employees on their duties and obligations under the various Employment Plans, Supplemental

Policies, procedures and protocols;

- Created a complaint hotline, formal reporting procedures, and whistleblower protections that support the investigative and disciplinary process and effectively detect and deter wrongdoing; and
- Fostering a culture of professionalism and accountability that extends to all levels of County government.

In consideration of these important accomplishments and the accomplishments noted in more detail below, the Plaintiffs, Plaintiffs' Counsel and the County agree that the County is now fully capable of ensuring the integrity of its own employment processes. In accord with the CA's recommendation and the Plaintiffs' support of the joint motion for substantial compliance, we respectfully request that this Court declare that the County has achieved substantial compliance with the SRO.

I. BACKGROUND

Following execution of the SRO, and prior to President Preckwinkle's administration the County undertook efforts to engage in substantial compliance. Compliance initiatives have been complicated at times and multiple initiatives to foster independence were necessary. As noted by the CA in her Fifth Report to the Court, the County engaged in various compliance efforts - the Board of Commissioners adopted an ordinance, and an executive order was issued, prohibiting illegal political considerations in hiring and other employment actions, requiring county workers to report violations, and prohibiting retaliation against any employee who makes a claim or report; an independent and experienced Chief for the BHR was retained; control of CCHHS had been delegated to an independent nonpolitical Board, including full authority for employment decisions for all CCHHS positions; creation of the OIIG, appointment of an Independent Inspector General ("IIG"), and funding for

retention of a capable OIIG staff took place.³ The County resolved all but two claims alleging political discrimination in employment actions prior to adoption of the SRO; some of the practices that once gave politically connected candidates advantages in applying for non-exempt employment were eliminated; training on *Shakman* requirements and procedures for employees involved in employment decisions had been conducted; certifications were implemented; an on-line application system had been procured and the County had made progress on developing a new employment plan.⁴

Upon taking Office in December of 2010, President Preckwinkle committed to continue the County's efforts towards substantial compliance. Although compliance reform has been slow at times due to staffing availability and the need to balance multiple projects with limited staff, time and resources, the President, County, CCHHS, OIIG and Public Defender have remained dedicated to achieving compliance and adopting the CA's recommendations. Significant planning and efforts have been undertaken and supported by the President; the Board of Cook County Commissioners; County Employees; Department Heads; CCHHS Employees and Officials; CCHHS Board of Directors; the Office of Public Defender; the Bureau of Human Resources ("BHR"); CCHHS Human Resources Department ("DHR"); the CA; the OIIG; the Office of the Cook County State's Attorney ("SAO"); *Shakman* Plaintiffs and Plaintiffs' Counsel in order for the County to be successful as well as implement and sustain the necessary elements to certify substantial compliance. The County's success in implementing the necessary plans, policies, procedures, and reforms has come from the dedication and effort of many employees from across the President's Office; BHR; DHR; CCHHS; the Office of the Public Defender; the OIIG; the SAO and the ongoing guidance from the CA and CA staff.

A major component in achieving substantial compliance and ensuring ongoing compliance is securing the support of the Chief Elected Official. President Preckwinkle has been at the forefront of

³ See "Fifth Report of the Compliance Administrator", pages 3- 4; (September 9, 2009) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport05.pdf

⁴ See "Fifth Report of the Compliance Administrator", pages 3- 4; (September 9, 2009) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport05.pdf

numerous initiatives that promote fair and equitable employment practices and policies; has mandated annual Employment Plan training; has implemented various reporting requirements and contact logs; encouraged reform and cooperation with the OIIG and has supported policies and procedures that prohibit unlawful political consideration and unlawful political contacts. To stress the importance of compliance and ethical behavior, in her first month in office, President Preckwinkle mandated annual ethics training for County employees.⁵ Shortly thereafter, to further the goal of eliminating unlawful political discrimination in government and to foster a transparent, honest and fair employment process, in April of 2011, President Preckwinkle mandated the implementation of a political contact log which required employees to report to the OIIG any contact they have with any political person or organization for non-exempt positions.⁶ President Preckwinkle committed to upholding the prohibition against politically-related persons and organizations influencing or attempting to influence employment actions involving employees deemed “non-exempt” for purposes of this prohibition. Implementation of the political contact log was applauded by the CA and showed President Preckwinkle’s personal commitment towards compliance.⁷

The County filed its new Employment Plan on March 19, 2012 bringing the County closer to achieving substantial compliance. (See Dkt. No. 2717) The Employment Plan set forth the general principles that will govern the County’s hiring and employment policies under the jurisdiction of the President and it applies to current employees of the County as well as all applicants and candidates for employment. Thereafter, Employment Plans were also filed for the OIIG and CCHHS. The Employment Plans call for the implementation of pro-active and transparent policies, practices and procedures and include elements that address the prohibition and influence of political reasons and

⁵ Executive Order 2010-2 Issued by Toni Preckwinkle, County Board President on December 20, 2010

⁶ See https://www.cookcountyil.gov/sites/default/files/political-contact-log_0.pdf

⁷ See “Cook County Cook County requires employees to log political contacts” Press Release (April 18, 2011) available at: <https://www.cookcountyil.gov/news/cook-county-requires-employees-log-political-contacts>

factors in the employment process. In addition, the Employment Plans address an employee's duty to report unlawful political discrimination as well as the reporting of political contacts from politically-related persons or organizations to the OIIG. As these Employment Plans were implemented, the County, CCHHS and the OIIG revised procedures to improve the Employment Plans and the protections they afford against unlawful political considerations creeping in to employment decisions.

In March of 2013, the President supported various amendments to the County's Human Resources Ordinance and the OIIG Ordinance. Amendments to the Human Resources Ordinance were made to prohibit unlawful political contacts, unlawful political discrimination, and the use of political reasons or factors in any employment actions affecting positions unless such positions are legally exempt from such prohibitions; to reference requirements under the County's new Employment Plan and to further clarify and classify the status of County Employees.⁸ The OIIG enabling ordinance was also amended to strengthen the power of the OIIG by providing the OIIG with subpoena power.⁹

Essential to the County's progress towards substantial compliance has been the President's Legal Counsel, Laura Lechowicz Felicione. Ms. Lechowicz Felicione has helped direct and execute the County's substantial compliance efforts and has served as the President's and County's point person on compliance efforts. Ms. Lechowicz Felicione has assisted in drafting the various plans, policies, procedures, and motions for the Offices under the President and has been crucial in addressing the President's exempt and actively recruited position needs. Ms. Lechowicz Felicione has been a valued liaison to the President and Board of Commissioners in the County's compliance efforts.

Compliance efforts were further strengthened by the strong and independent leadership

⁸ Chapter 44 - Human Resources, Article II., Personnel Policies; Cook County Code of Ordinances - Ord. No. 13-O-22, 3-20-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH44HURE_ARTIIPEPO

⁹ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

appointed by President Preckwinkle in the Bureau of Human Resources. Former Bureau Chief, Maureen O'Donnell and Deputy Bureau Chief, Theresa Larkin were vital in the County's initial efforts towards compliance. Their work along with Ms. Lechowicz Felicione, the CA, OIIG, SAO and Plaintiff's Counsel resulted in a new Employment Plan ("County Plan") and supplemental policies for the Offices under the jurisdiction of the President; the County Plan and these policies served as a model for CCHHS' and the OIIG's Employment Plans and other policies. Current Human Resources Bureau Chief, Velisha Haddox and her team of capable and independent minded employees in the Bureau of Human Resources ("BHR") have strengthened the County's overall compliance. Under Chief Haddox's leadership, BHR has dramatically expanded training, compliance and oversight; she has made certain through reorganization efforts that BHR's operations are consistent, professional and dependable.

Another major factor and contributor to the County's compliance has been Compliance Officer Letitia Dominici. Ms. Dominici has worked diligently to oversee compliance with the County's Plan and has independently and objectively accepted, investigated and reported on complaints related to employment actions and compliance with the County's Plan and supplemental policies. Ms. Dominici worked closely with BHR to develop the County's Plan and supplemental policy training. Furthermore, Ms. Dominici meets monthly with the President's Chief of Staff and Legal Counsel to highlight overall compliance efforts and identify any compliance issues. Ms. Dominici continues to audit the County's compliance and works closely with the OIIG to monitor the County's compliance.

To achieve and ensure compliance, the County recognized early on the importance of having an investigatory agency that was independent. Unlike other units of local government, the County's Inspector General is not a political appointee of the Chief Elected Official. The County's Independent Inspector General is selected through an independent recruitment process and the position is *Shakman* protected. Patrick Blanchard was appointed to serve as the first Independent Inspector General for the County following a selection and screening process administered by the Chicago and Cook County

Bar Associations and bipartisan committee of the Board of Commissioners of Cook County. Mr. Blanchard was confirmed by the Board of Commissioners in October 2008. Mr. Blanchard was appointed to serve a second term by President Periwinkle in October 2014. The mission of the OIIG is to detect, deter and prevent corruption, fraud, waste, mismanagement, unlawful political discrimination and misconduct in the operation of Cook County government with integrity, independence, and professionalism.¹⁰ The OIIG conducts investigations and issues findings and recommendations to Cook County government officials. All *Shakman* related investigative and oversight authority vests in the OIIG providing confidence to complainants that their claim will be independently investigated and addressed. County employees are required to cooperate in OIIG investigations and employees who fail to cooperate in OIIG investigations are subject to discipline. As part of this Joint Motion, the County has committed to providing employees who report potential violations of the County Plan or unlawful political discrimination with a redacted copy of the BHR report to add more transparency to investigations.

In addition to the efforts undertaken by the President, the efforts and work undertaken at CCHHS under the leadership of Chief Executive Officer, Dr. John Jay Shannon, must also be commended. Dr. Shannon; former CCHHS Human Resources Director, Gladys Lopez; Deputy CCHHS Human Resources Director, Barbara Pryor; Employment Plan Officer, Carrie Pramuk-Volk; and former General Counsel, Elizabeth Reidy; General Counsel, Jeffrey McCutchan; and CCHHS Assistant General Counsel, Kent Ray have been crucial to CCHHS's compliance. CCHHS has worked to implement its Employment Plan and supplemental policies that work within the County's health care setting and highlights CCHHS' independence and its separation from political influence.

Most importantly, the County and CCHHS has appreciated the guidance and oversight brought forward by former CA, Julia Nowicki and her Legal Counsel, Peter Monahan as well as

¹⁰ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

current CA, Mary Robinson and her Legal Counsel, Matthew Pryor. While the County may have had a slow start in its compliance endeavors, the County and CCHHS ultimately worked with the CAs in a collaborative fashion and sought guidance from the CAs on various matters. It is especially important to highlight the work of CA Robinson and Mr. Pryor as they have worked closely with all Parties to ensure that the processes, procedures and plans implemented by the County, the OIIG, Public Defender and CCHHS are pro-active and transparent and include elements that address the prohibition of political reasons and factors in the employment process. The oversight provided under CA Robinson has set the stage for the County's ongoing compliance and implementation of processes, policies and reporting that will highlight compliance and any future non-compliance which will require transparency and corrective action by the County and other policy stakeholders. The policies and plans implemented and approved by the CA provide a clear framework that unlawful political discrimination will not be tolerated in the County.

II. STANDARDS FOR SUBSTANTIAL COMPLIANCE

The SRO anticipates that its provisions will terminate once the County has certified, and the CA and the Court have determined, that the County has achieved "substantial compliance." Under the SRO, substantial compliance means: (1) the County has implemented a new Employment Plan, including procedures to ensure compliance with the new Employment Plan and identify instances of non-compliance; (2) the County has acted in good faith to remedy instances of non-compliance that have been identified, and prevent a recurrence; (3) the County does not have a policy, custom or practice of making employment decisions based on political factors except for Exempt Positions; (4) the absence of material noncompliance; and (5) County has implemented procedures that will effect long-term prevention of the use of impermissible

political considerations in connection with employment with the County.¹¹ When these five conditions are met, the County shall be found to have achieved substantial compliance.

III. THE COUNTY HAS ACHIEVED SUBSTANTIAL COMPLIANCE

All the requirements for substantial compliance have been fully satisfied. The County has implemented its comprehensive new hiring plans. It has cooperated in good faith with investigations by the CA and the OIIG, and it has acted to remedy past instances of noncompliance and prevent their recurrence. The County does not have a policy, custom, or practice of allowing political factors or other improper considerations to influence promotion or hiring for *Shakman-covered* positions, and it is not in material noncompliance with the SRO in any way. Safeguards exist to detect and punish any isolated violations of the employment plans that may occur in the future. These procedures have been shown to work and the County has taken corrective action to address violations when they have occurred. Furthermore, the County has implemented effective procedural mechanisms that will ensure the future long-term prevention of unlawful political discrimination. The County's success in each of these areas demonstrates its commitment to maintaining fair, open, and honest employment processes both now and in the future.

A. The County has successfully implemented new Employment Plans, including procedures to ensure compliance with the new Employment Plans and identify instances of non-compliance.

New Employment Plans, including procedures to ensure compliance and identify instances of non-compliance have been implemented in the County. As the Parties began to work on and develop a new employment plan it was essential to consider the needs of the County but to also consider the independence of the OIIG, Public Defender and CCHHS. It was determined that the County, its

¹¹ See *Shakman v. County of Cook*, 69 C 2145 (N.D. IL) (Supplemental Relief Order, pages 11-12, November 30, 2006.) (Dkt No. 531)

employees and applicants would best be served by having separate employment plans and policies for the County, the OIIG and CCHHS. The County, OIIG and CCHHS separately worked with the CA and Plaintiff's Counsel to develop plans, policies and procedures to meet the needs of the differing agencies. Not only do the new employment plans provide a more modern approach on employment practices, but the employment plans account for appropriate monitoring and oversight to promote ongoing compliance.

After several years of negotiation, the County completed a new employment plan ("County Plan") which was approved by the Court in March of 2012. (See Dkt. No. 2712) Under President Preckwinkle's direction, the County worked with the CA, the Plaintiffs, the OIIG, and the SAO to negotiate, draft and implement a new employment plan that would provide objective employment processes and would also prevent unlawful political discrimination. The parties have worked to improve the County Plan in response to lessons learned through the implementation process and have amended the County's Plan eight times since its filing on March 19, 2012, including providing amendments that address various hiring processes in the Office of the Public Defender; the ninth amendment to the County Plan will accompany the joint motion for substantial compliance.

On May 8, 2013, the Federal District Court for the Northern District of Illinois approved the OIIG's employment plan ("OIIG Plan") The OIIG Plan delineates the application and employment process for positions in the OIIG. Pursuant to the OIIG Plan, the OIIG Employment Plan Officer issues semi-annual reports every March 15 and September 15 to the President, the IIG, and the CA, while acting, describing his or her activities during the prior six months, including, but not limited to: (i) auditing activities as required by the OIIG Plan; (ii) any violations of the OIIG Plan discovered; (iii) any remedial actions recommended; and (iv) any corrective action taken by the IIG to address the violations.¹²

The CCHHS employment plan ("CCHHS Plan") wasn't filed until October 23, 2014. (See Dkt. No. 3977) The CCHHS Plan sets forth the general principles that will govern CCHHS's hiring and

¹² See <https://www.cookcountyil.gov/service/oiig-employment>

employment policies under the jurisdiction of the CCHHS Chief Executive Officer and it applies to current employees of CCHHS as well as all applicants and candidates for employment at CCHHS. The CCHHS Plan has been amended on multiple occasions and an amended CCHHS Plan will accompany the joint motion for substantial compliance.

The detailed employment plans for the County, OIIG and CCHHS (hereinafter “the Plans”) cover the general principles and commitments applicable to hiring; general principles related to human resources; dictates the general hiring process; provides for required certification; and notes exceptions. The Plans provide for the implementation of pro-active and transparent policies, practices and procedures and includes elements that address the prohibition and influence of political reasons and factors in the employment process. In addition, the Plans address an employee’s duty to report unlawful political discrimination as well as the reporting of political contacts from politically-related persons or organizations to the OIIG.

Each of the Plans account for the employment process related to various levels of employees.¹³ The County Plan delineates the employment for *Shakman* exempt, general hire, actively recruited, executive assistants, Assistant Public Defenders and interns/volunteers. The County Plan requires current and accurate position descriptions and minimum qualifications for every position, including *Shakman* exempt positions. The County Plan includes a process to amend the exempt list and actively recruited list which will require the ongoing review and approval of the County’s Compliance Officer and OIIG. The CCHHS Plan takes into consideration the unique employment needs of a health care system and provides for a separate employment process for physician hires and direct appointments for the Chief Executive Officer of CCHHS. Each of the Plans also address policy development, job descriptions, modification of position lists for employment and addresses the process for Plan

¹³ Copies of the various Plan are available at:
https://www.cookcountyil.gov/sites/default/files/cook-county-employment-plan-42418_0_5.pdf,
<https://www.cookcountyil.gov/sites/default/files/oiig-employment-plan-8-26-13.pdf> and
<http://www.cookcountyhhs.org/wp-content/uploads/2017/03/CCHHS-Amended-Plan-Filed-03-02-17.pdf>

amendments. The County's ongoing commitment to eliminate unlawful political influence is accounted for in the general hiring process noted in the Plans but it is also accounted for in the various reporting and certification elements included in each of the Plans. The Plans provide for equal employment, the prohibition of retaliation, and build in various protections for employees and applicants for employment.

The Plans include regulations to preserve the independence and authority of the applicable human resource departments. Any contacts or recommendations by an elected official are required to be formally logged and reported to the OIIG. Employment process oversight is governed by the various compliance and employment compliance officers and additional oversight and unlawful political discrimination compliance is provided by the OIIG. The OIIG and Plan compliance officers provide employment plan and policy oversight, monitoring, and auditing to ensure ongoing substantial compliance.

In addition to the oversight provided by the OIIG and compliance officers, the CA has monitored the Plans' compliance for several years. Because of the extensive monitoring by the CA, Plan amendments have been implemented to account for additional improvements in the various Plans. On January 6, 2017, the CA submitted her Fifteenth Report to the Court wherein she provided updates on the County's progress in addressing the list of outstanding compliance-related matters that the CA believed the County, Public Defender, CCHHS, and OIIG needed to address prior to achieving Substantial Compliance.¹⁴ For example, the CA identified a need for the County to develop specific job descriptions for the Cook County Commissioner exempt staff; develop, implement and monitor procedures for conducting disciplinary hearings to foster predictability in process and consistency in outcomes; and develop, implement and monitor procedures to ensure accurate and consistent reporting of discipline were implemented by the County and assisted in remedying any future non-compliance. As a result of CCHHS Plan monitoring by the CA, CCHHS modified its CCHHS Plan and policies and implemented a process for internal candidate preference and employment verification procedures for non-

¹⁴ See "Fifteenth Report of the Compliance Administrator" (January 6, 2017) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport15.pdf

credentialed positions; implemented a process to check employee disciplinary history for hires and conducted applicable training for managers and supervisors; accounted for a hiring process for clinical positions and addressed compensation mechanisms for direct appointments.¹⁵

Implementation of the Plans has been highly successful and all aspects of the Plans have become fully integrated into the County's operations for the Offices under the jurisdiction of the President, Public Defender, CCHHS and the OIIG. All issues associated with Plan compliance were addressed by the County as of March 2, 2017¹⁶ and the majority of the CCHHS Plan revisions were accomplished as of January, 18, 2018.¹⁷ The Plans are adhered to by all levels of employees and the Plans have provided a necessary framework and outline for compliance.

The most recent amendments that will accompany the joint motion for substantial compliance provide further protections for employees, applicants and candidates for employment by increasing the OIIG and Compliance Officer's ability to independently monitor employment related actions. The Compliance Officer and OIIG will have full and continual access to review all employment action-related activities of County employees via the County's on-line applications system, the Cook County Time and Attendance system and the County's EBS Human Capital Management (HCM) system to ensure that the policies and procedures in the Plans and Supplemental Policies are being followed and to assist in any investigation of alleged violations. Additional requirements were also placed on management to promptly notify the BHR of any material changes to the duties and responsibilities of positions to allow BHR to determine if the job descriptions should be updated. The County anticipates that additional edits to the Plans will be required in the future and the Plans address the process to amend moving forward which will require OIIG and Compliance Officer review and approval.

¹⁵ See "Fifteenth Report of the Compliance Administrator" (January 6, 2017) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport14.pdf

¹⁶ See "Sixteenth Report of the Compliance Administrator" (March 2, 2017) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport16.pdf

¹⁷ See "Twenty-First Report of the Compliance Administrator" (January 18, 2018) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport21.pdf

B. The County has acted in good faith to remedy instances of non-compliance that have been identified and prevented a recurrence.

Through the issuance of executive orders, ordinance amendments, and comprehensive employment plans and policies, the County has acted in good faith to remedy instance of non-compliance and engage in action to prevent such recurrence. The County, Office of Public Defender, CCHHS, and OIIG are obligated to comply with the County President's Executive Orders prohibiting unlawful political discrimination.

The County understood the importance of studying previous instances of misconduct to prevent such recurrence in the future. The SRO provided an opportunity for persons to file claims with the CA for violations associated with the Consent Decrees that occurred after August 28, 2004 and prior to November 30, 2006. The CA received 209 claims.¹⁸ Alleged violations included politically motivated employment actions, employee favoritism, denial of employment due to lack of political connection, layoffs administered to protect employees with political connections, etc. The CA determined that 108 of the 209 claims were with merit and awarded damages to said claimants.¹⁹

In evaluating the instances of misconduct identified by the CA, the County was able to implement additional ordinance changes to aid in future compliance, ensure reporting and to implement protections for employees, applicants and candidates who report instances of non-compliance or file claims of unlawful political discrimination. The OIIG enabling ordinance called for hiring of an independent Inspector General who would be charged with investigating unlawful political discrimination.²⁰ County employees have mandated reporting requirements, are required to cooperate in

¹⁸ See http://www.countyshakman.com/downloads/cc_shakman_CAReport05.pdf

¹⁹ See http://www.countyshakman.com/downloads/cc_shakman_CAReport05.pdf

²⁰ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 07-O-52, 7-31-2007 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

OIIG investigations and are protected from retaliation when filing a good faith complaint.²¹ Amendments to the Human Resources Ordinance were made to prohibit unlawful political contacts, unlawful political discrimination, and the use of political reasons or factors in any employment actions affecting positions unless such positions are legally exempt from such prohibitions; to reference requirements under the County's new employment plan and to further clarify and classify the status of County Employees.²² The County and CCHHS implemented Plan and policy changes that would work to remedy previous mistakes at the County which led to the SRO.

The County has also taken steps to correct instances of violations after the entry of the SRO. The OIIG, compliance officers, and CA have issued a number of reports during the last 10 years finding cases where County employees have not followed the Plans or have engaged in unlawful political discrimination. The County and CCHHS have responded to these findings by amending the Plans and other policies, adopting new policies, and disciplining employees where appropriate. The County has mediated Post-SRO disputes and worked with Departments to remedy political discrimination findings. The County engaged in desk audits and position reclassifications to remedy historical findings of unlawful political discrimination and instituted discipline to remedy non-compliance and implemented an Ineligible for Rehire list. The Chief of BHR is responsible for creating and maintaining a list of the names of former employees who would be considered disqualified or ineligible for employment with the County based upon reasons listed in Personnel Rules and/or a finding related to unlawful political discrimination or engagement of prohibited political activity.

CCHHS has worked with the County and the SAO to mediate Post-SRO disputes; has worked

²¹ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

²² Chapter 44 - Human Resources, Article II., Personnel Policies; Cook County Code of Ordinances - Ord. No. 13-O-22, 3-20-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH44HURE_ARTIIPEPO

with its Departments to remedy political discrimination findings and remedy historical findings of unlawful political discrimination; has instituted discipline to remedy non-compliance and implemented an Ineligible for Rehire list.

In addition to Plan modifications, both the County and CCHHS have issued supplemental policies that are fair and equitable and are implemented in a manner to prevent unlawful political discrimination. Policies have been drafted and implemented covering reclassification, temporary assignments, transfers, training, compensatory and overtime, discipline, desk audits, demotions, layoffs, recall and the utilization of third party providers in the employment process.²³ Implementing clear and consistent policies that prohibit unlawful political discrimination and account for objective criteria is an important factor in the County's good faith effort towards compliance and remedying instances of non-compliance.

The most recent issues relating to non-compliance stem from a 2016 and 2017 OIIG investigation alleging that impermissible political factor were considered in a layoff and that modifications were needed to the exempt list as a result of the 2016 OIIG investigation. While the County objected to the OIIG's finding in the 2016 investigation, the County settled the claims and implemented procedures to account for a more objective and transparent lay off process. The County adopted remedial measures, including removal of a position from the exempt list; adoption of policies to be transmitted to supervisors when layoffs are being contemplated; and adoption of an amendment to the Employment Plan that gives the OIIG authority to initiate changes to the exempt.²⁴

The 2017 OIIG report stemmed from the 2016 OIIG investigation and resulted in a review of 35 exempt position descriptions by the OIIG and recommendations by the OIIG to remove a number of positions on the exempt list. While the County did not agree to all the recommendations by the OIIG,

²³ See <https://www.cookcountyil.gov/service/supplemental-policies> and <http://www.cookcountyhhs.org/about-cchhs/human-resources/shakman-information-employment-plan/supplemental-policies/>

²⁴ See "Twenty-Fourth Report of the Compliance Administrator" (May 31, 2018) available at: http://www.countyshakman.com/downloads/cc_shakman_CAReport24.pdf

the County and OIIG met to discuss the report and the County engaged in desk audits and discussion with the OIIG to address the finding of the 2017 report. The parties were able to agree on a resolution that included maintaining positions on the exempt list, modifying certain exempt position descriptions, creating new exempt positions and even removing positions from the exempt list. The CA noted in her Twenty-Fourth Report of the CA that “[t]he parties have worked hard, promptly, and with good will to resolve the issues raised by the OIIG audit, having come to agreement on 17 of the 19 challenged positions. Discussions will proceed, and if agreement is not reached, procedures for resolving disagreements over exempt positions exist both under the SRO and, post-termination of the SRO, under the Employment Plan.”²⁵ The County and the OIIG were able to reach agreement and resolution and no further action was required by the Parties.

The County has worked to better understand instances of non-compliance and has implemented policies and practices that aim to prevent such recurrence. The County has implemented various reporting and certification requirements to protect the integrity of its employment practices and has consistently implemented discipline for those engaged in wrong doing.

C. The County does not have a policy, custom or practice of making employment decisions based on political factors except for Exempt Positions and the County has implemented procedures that will effect long-term prevention of the use of impermissible political considerations in connection with employment with the County.

The County does not have a policy, custom or practice of making employment decisions based upon unlawful political reasons or factors. The County's policies and practices, including the policies and practices of the OIIG and CCHHS have been thoroughly reviewed by the CA, the OIIG, and this Court to ensure that unlawful political reasons and factors are not considered in employment decisions. Furthermore, the procedures and policies implemented at the County and CCHHS will

²⁵ See “Twenty-Fourth Report of the Compliance Administrator” (Page 5-6) (May 31, 2018) available at: http://www.countyshakman.com/downloads/cc_shakman_CARreport24.pdf

effect long-term prevention of the use of impermissible political considerations in connection with employment with the County.

The Plans vetted by the CA and approved by the Court provide for detailed employment processes for all levels of employees. All positions at CCHHS, OIIG and the Office of the Public Defender are free from political influence and are subject to varying employment plans that allow for either a general hiring process or direct appointment-but in all cases, when such positions are filled they must be free from political influence. The County supported the removal of exempt positions from the OIIG, CCHHS and Public Defender offices due to the apolitical nature of said offices. In addition to the removal of the exempt positions noted above, the vast majority of positions covered by the County's Plan are *Shakman covered*. There are approximately 300 positions noted in the County's Plan where it is appropriate to consider political reasons and factors in employment. The County's exempt positions represent a reduction of over 175 positions that were previously deemed exempt by the Court. The County has been open to modifying positions or modifying exempt status where applicable. The exempt list will continue to change as operational and policy changes are implemented at the County. The County's Plan includes a process to amend or modify the exempt list; a process that can be initiated by the President or the OIIG. The County also maintains the list of exempt positions and the position descriptions for exempt employment on its website for transparency purposes.²⁶ The actions by the County to reduce the number of exempt positions and revise the exempt list is evidence of the County's commitment to closely align such positions with supporting law and the needs of the County.

The Plans dictate the process and procedure for employment related actions and the Plans are audited by the various compliance officers on a regular basis. An on-line application tracking system has been implemented for employment applications in an effort to open employment opportunities to a larger audience and to account for a system that could be easily audited and monitored. The Plans

²⁶ See <https://www.cookcountyil.gov/service/exempt-positions>

dictate the entire employment process and steps required to fill County, CCHHS, OIIG and Public Defender positions. All positions other than exempt, direct appointments, executive assistants, physicians and assistant public defenders must be competitively posted using the County's on-line application tracking system. In addition, all exempt, direct appointment, executive assistant, physician and assistant public defender positions are vetted through the on-line application tracking system to ensure that the individual hired into said position meets the minimum qualifications of the position available for hire. Employment in all positions is monitored and audited by the applicable compliance officer to ensure that the Plan elements were followed and that the individuals hired meet the minimum qualifications. The Plan compliance officers issue compliance reports and should the compliance officer find evidence of non-compliance incident reports are issued to the applicable entity and a response to the incident is required and made available to the public. Furthermore, the OIIG and compliance officers will have access to the County's time and attendance and human capital management systems to allow for independent investigation and auditing for compliance purposes.

Supplemental policies have been issued to address any outstanding employment related issues and to implement fair and equitable employment processes. Policies have been drafted and implemented in a manner to prohibit and deter unlawful political discrimination. The County, OIIG, Public Defender and CCHHS implemented a Political Contact Log and implemented "No Political Contact Certifications" on its employment documents to aid in preventing and prohibiting unlawful political contact and unlawful political discrimination. All positions other than *Shakman* exempt positions must include a certification that political reasons and factors were not considered in the applicable employment action.

Much time and effort has been spent on training employees on the various Plan requirements and changes in the employment process. All new employees are required to receive an in-person employment plan training no later than 90 days following the beginning of employment, thereafter, retraining is required on an annual basis. Every employee in the County in the Offices under the

jurisdiction of the President, CCHHS, OIIG, and Public Defender has received employment plan training and undergoes annual training.

Much work has been undertaken to change the mind set regarding political influence and ongoing training is essential to maintaining this mind set and to achieve long-term success. BHR, DHR, and the applicable compliance officers for the County and CCHHS have spent numerous hours developing and modifying the applicable training curriculum, and the compliance officers conduct annual audits to ensure that every employee is trained. The employment plan, supplemental policy and interviewer training programs make clear in all the Plans that political factors are prohibited from consideration when hiring employees for *Shakman-covered* positions, and the training provided explains the important roles of the OIIG and compliance offices in monitoring the various employment processes and investigation of unlawful political discrimination and unlawful political influence. The training materials also emphasize the obligation of each County, CCHHS, OIIG or Public Defender employee to report wrongdoing or irregularity in the applicable hiring processes to the applicable compliance officer and to report unlawful political discrimination and political influence or political contact to the OIIG.

The County has also developed training programs for those County employees whose jobs require them to participate directly in the interview process for *Shakman* covered positions. To participate in the interview process and serve on an interview panel, employees must first attend interview training. Interviewer training assists the employee in understanding how to fairly evaluate candidates and conduct an appropriate interview that is free from unlawful political discrimination and political influence and focuses on the candidate's credentials.

While the training implemented will most certainly effect long-term prevention of the use of impermissible political considerations in connection with employment with the County, providing an opportunity for employees, applicants and candidates to file complaints that are independently investigated and reported and holding violators accountable is one of the most significant changes implemented at the County.

The OIIG is charged with the responsibility to accept and investigate complaints of misconduct, fraud, waste, mismanagement, unlawful political discrimination and unlawful political contact.²⁷ Persons with information concerning corruption, fraud, waste, mismanagement, and/or employee misconduct in the operation of Cook County government, are encouraged to file a complaint with the OIIG.²⁸ The investigative process initiated by the OIIG either begins with a complaint or upon direct investigation by the OIIG. If the complaint involves unlawful political discrimination, or a report of a political contact, the OIIG provides specific direction and forms that can be completed.²⁹ Complaints are accepted by the OIIG online, by fax, by mail, in person or via the complaint hotline which can be accessed at (877) 448-4756 or (312) 603-0745. Complaints filed with or initiated by the OIIG are investigated directly by the OIIG and investigations are not managed by the President or the Board of Commissioners.

The responsibilities of the OIIG and the ability to have a complaint independently investigated has been shared with employees, applicants and the public at large. The County's website includes information about the OIIG and the complaint process including the reporting duties required of employees. County employees are required to affirmatively report misconduct to the OIIG and a failure to do so may result in a violation of County ordinance and subject the employee to discipline.³⁰ Information regarding the OIIG is also distributed across the County on employee bulletin boards, is included in employee training materials and provided for by County ordinance. Through the issuance of the quarterly reports and OIIG public statements, employees and the public at large are aware

²⁷ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

²⁸ See <https://www.cookcountyil.gov/service/filing-complaint-0>

²⁹ See <https://www.cookcountyil.gov/service/unlawful-political-discrimination-complaints> and <https://www.cookcountyil.gov/service/reporting-political-contacts>

³⁰ Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

of the work undertaken by the OIIG and the applicable County response; the OIIG quarterly reports and public statements are available to the public and are accessible on the OIIG's webpage.³¹

The OIIG will continue to accept and investigate claims of unlawful political discrimination and investigate political contact logs for unlawful political influence. Should the County receive a sustained finding of unlawful political discrimination or unlawful political influence in the future, the County will work swiftly to review and address the findings. The County has previously worked to remedy such instances of non-compliance. For example, to prevent political appointees from being protected in future layoffs, the County has agreed to consider all positions when implementing a reduction in force. The County has also terminated employees accused of engaging in unlawful political discrimination and have added such employees to the County's Ineligible for Rehire List. The County has implemented a political contact log and has also agreed to tender communications from employees, applicants or candidates regarding *Shakman* covered positions to the OIIG and Compliance Officer. The County and CCHHS are required by ordinance to respond to any OIIG finding and notify the OIIG of its response.³² The OIIG provides a summary of its findings and the County response in its publicly available quarterly summary reports.³³ CCHHS agreed to expand the role of the OIIG in the CCHHS Plan compliance and has allotted dedicated space for the OIIG on the CCHHS campus. These are just a few of the examples which highlight the County's commitment to implement policy changes that provide a more transparent employment process that prohibits unlawful political discrimination.

In support of the President's vision for greater transparency and to promote long-term change, the County has also ensured that employees, applicants and the public have access to the Plans, policies, reports and the various lists of employees. The County's BHR webpage provides links to the

³¹ See <https://www.cookcountyil.gov/service/public-statements-quarterly-reports-proposed-legislation>

³² Chapter 2 – Administration, Article IV., Officers and Employees, Division 5. Inspector General; Cook County Code of Ordinances - Ord. No. 13-O-42, 9-11-2013 available at: https://library.municode.com/IL/Cook_County/codes/code_of_ordinances?nodeId=PTIGEOR_CH2AD_ARTIVOFEM_DIV5INGE

³³ See <https://www.cookcountyil.gov/service/public-statements-quarterly-reports-proposed-legislation>

County Plan, the Supplemental Policies, the exempt list and exempt position descriptions, list of actively recruited positions, personnel rules, career opportunities, and compliance information/reports. The OIG and CCHHS webpages also provide access to the relevant Plan documents and compliance information/reports. Immediate access to the Plans and policies help promote transparency but also provides the various roadmaps to employees and applicants to ensure long-term compliance. Members of the public can also request copies of the County's responses to compliance officer and OIG reports that make recommendations for addressing findings of violations of the Plans or unlawful political discrimination.

Transparency has been further enhanced through the various technological enhancements implemented to improve the employment process. The County purchased and implemented an on-line application system that provides for applications to be tracked and screened for minimum qualifications. The hiring and application information is retained and the various approval sequences can be monitored to review compliance. The system is further equipped with the required "No Political Consideration Certification" reminding users of the prohibitions of unlawful political discrimination throughout the employment process. Moreover, the County has implemented an electronic time and attendance system along with a human capital management system that is helpful in monitoring Plan and employment policy compliance.

The Plans, policies, training, monitoring and technological advancements are evidence of the efforts undertaken at the County to ensure that the County does not have a policy, custom or practice of making employment decisions based upon unlawful political reasons or factors. In addition, the implemented advancements have aided in compliance efforts and have had a positive effect in achieving substantial compliance and promoting long-term prevention of the use of impermissible political considerations in connection with employment with the County.

D. The County has demonstrated an absence of material noncompliance.

Implementation of the Plans, Supplemental Policies, training and technological advancements have led to a reduction in claims of unlawful political discrimination and sustained findings of unlawful political discrimination. The OIIG quarterly reports provide specific information in regards political contacts and claims of unlawful political discrimination. The OIIG reports on the number of political contact logs received and the number of logs that have resulted in an investigation. The OIIG also reports on the number of unlawful political discrimination complaints received and the number of investigations or inquires undertaken by the OIIG in relation to claims of unlawful political discrimination. In addition to the OIIG reports, should the CCHHS Employment Plan Officer or County Compliance Officer issue incident reports sustaining Plan violations, the applicable entity reviews the incident report and issues a formal response. All sustained incident reports have been addressed and the recommendations of the compliance officers have either been implemented or an agreed resolution has been achieved.

While the OIIG and compliance officers have issued sustained findings related to non-compliance, the County and CCHHS have worked expeditiously to address such findings and resolve and respond to the issues identified. During the past 36 months, the OIIG received 112 complaints of unlawful political discrimination, of which five resulted in sustained findings. Employees, applicants, and candidates may file future claims, there is no indication of any systematic or material noncompliance on the part of the County, CCHHS, OIIG or Public Defender. The monitoring efforts undertaken by the various compliance officers and the investigation and enforcements efforts undertaken by the OIIG are working well.

The Plans and OIIG enabling ordinance account for the process and obligation to respond to complaints or sustained findings. The examples highlighted in this Memorandum show the independence of the review and the success of the reporting and response process required by the Plans and ordinances. The County's response to OIIG reports is summarized in the OIIG's Quarterly Reports and the County's response to Compliance Officer Plan violations are available from the various compliance officers. The OIIG and compliance officers have issued very few sustained findings which

is further evidence of the County's compliance and the most recent finding stems from actions that allegedly occurred in 2016. The County and CCHHS remain committed to working with the OIIG and compliance officers to all address their concerns related to the Plans or employment policies and to make our policies, plans and staff accessible to ensure long-term compliance.

IV. CONCLUSION

For the reasons set forth above, as well as for the reasons set forth in the recommendations filed by the CA, the County has fully achieved substantial compliance with the *Shakman* SRO and the Consent Decrees. Accordingly, it is respectfully requested that the Court grant the agreed motion and enter an order (a) declaring that the County is in substantial compliance and (b) ending the compulsory federal court oversight of the County's employment processes.

Dated: August, 31, 2018

Respectfully Submitted,

COUNTY OF COOK

By: /s/ Daniel Brennan, Jr.

Cathy McNeil Stein
Daniel H. Brennan, Jr.
Cook County State's Attorney's Office
500 Richard J. Daley Center
Chicago, IL 60602

EXHIBIT 1

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

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

AGREED ORDER SETTING A HEARING DATE

This matter comes to be heard on a Joint Motion for Setting a Hearing Date for a Finding of Substantial Compliance and Dismissal of the County of Cook ("Joint Motion"). The Court orders as follows:

1. A hearing (the "Hearing") shall be held at 10:00 a.m. on October 31, 2018 for the purpose of determining whether the Court should enter an order (i) finding the County of Cook ("Cook") to be in Substantial Compliance with the Supplemental Relief Order and the 1994 Consent Decree and (ii) dismissing the County from this case, all as set forth in the attached form of Notice of Hearing (the "Notice"), Exhibit 1.A attached hereto. The form of the Notice is approved.

2. On or before September 21, 2018, the Notice shall be published as a display advertisement in one daily edition of each of the Chicago Tribune and the Chicago Sun Times . For the purpose of such publication, the Notice shall not include as an exhibit the text of the SRO or the submissions filed in support of the Joint Motion, but shall state that the text of these documents are available on the County's website at www.cookcountyil.gov and the *Shakman* Decree Compliance Administrator's website at www.countyshakman.com. Notice of the Hearing shall also be delivered to each employee in the Offices under the jurisdiction of the President, the Public Defender, the Cook County Health and Hospitals System and the Office of the Independent Inspector General in the form attached hereto as Exhibit 1.A by providing such notice via County email and posting a copy of the Notice on the County's website at www.cookcountyil.gov on a date no later than September 21, 2018. Appropriate affidavits showing that the Notice has been given as provided shall be filed with the Court no later than the hearing.

3. The Court finds that the Notice of Hearing as prescribed by paragraph 2 constitutes the best notice practicable under the circumstances and constitutes due and sufficient notice of the Hearing to all persons affected by and/or entitled to participate in the Hearing.

4. Any Class Member may file a written objection to the Joint Motion with the Court. The objection must state its substance, the nature of the objector's interest in the case and the name and address of the objector. Written objections must be filed with the Court prior to 3:00p.m. on October 12, 2018 showing that copies of the objection were mailed to Daniel Brennan, Jr., Assistant State's Attorney of the County of Cook, Cook County State's Attorney's Office, 50 W. Washington, Room 500, Chicago, Illinois 60602, Brian Hays, counsel for the plaintiff classes, Locke Lord LLP, 111 South Wacker Drive, Suite 4100, Chicago, Illinois 60606, and Mary Robinson, *Shakman* Compliance Administrator ("CA"), 69 W. Washington Blvd., Suite 840, Chicago, Illinois 60602. A Class Member who files a written objection is not required to appear in person at the hearing in order for the Court to consider the objection.

5. If a Class Member wishes to speak at the hearing, she or he must submit a written request to the Court for permission by filing the request with the Court and expressly stating that the individual seeks permission to speak at the settlement approval hearing in the case of *Shakman v. Democratic Organization of Cook County*, et. al., No. 69 C 2145, to be held on October 31, 2018. The request must show that copies were mailed to Mr. Brennan, Mr. Hays and Ms. Robinson at the addresses listed above. The Class Member seeking to speak at the hearing should state her or his position and the basis for that position in the request. The request for permission to speak must be filed with the Court prior to 3:00p.m. on October 12, 2018. The Court may, or may not, grant the request. All filings with the Court shall be made by filing a paper copy with the Clerk of the Court stating that the filing relates to *Shakman v. Democratic Organization of Cook County* et. al., No. 69 C 2145, or by filing using the Court's electronic filing system.

Dated: Chicago, Illinois
August 31, 2018

Hon. Sidney I. Schenkier
United States Magistrate Judge

EXHIBIT 1.A.

**IMPORTANT NOTICE OF HEARING
ON JOINT MOTION TO SET A HEARING DATE FOR
SUBSTANTIAL COMPLIANCE AND DISMISSAL OF THE COUNTY OF COOK**

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

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

TO: ALL PAST, PRESENT AND FUTURE PERMANENT AND TEMPORARY EMPLOYEES OF THE COUNTY OF COOK IN THE OFFICES UNDER THE JURISDICTION OF THE PRESIDENT, COOK COUNTY HEALTH AND HOSPITALS SYSTEM, OFFICE OF THE INDEPENDENT INSPECTOR GENERAL AND PUBLIC DEFENDER, PAST, PRESENT AND FUTURE APPLICANTS FOR EMPLOYMENT WITH THE COUNTY OF COOK AND CANDIDATES AND VOTERS OF COOK COUNTY, ILLINOIS.

THIS NOTICE IS TO INFORM YOU THAT THE PARTIES IN THE SHAKMAN CASE HAVE FILED A JOINT MOTION TO SET A HEARING DATE AND FOR A FINDING OF SUBSTANTIAL COMPLIANCE AND DISMISSAL OF THE COUNTY OF COOK (“COUNTY”). IF THE COURT FINDS THE COUNTY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF A PRIOR COURT ORDER AND 1994 CONSENT DECREE, DESCRIBED BELOW, FEDERAL COURT OVERSIGHT OF THE COUNTY IN THIS CASE WILL END.

PLEASE READ THIS NOTICE CAREFULLY AND COMPLETELY.

YOU ARE NOTIFIED:

- On August 31, 2018, the parties filed a Joint Motion to Set a Hearing Date and for a Finding of Substantial Compliance and Dismissal of the County of Cook from the *Shakman* lawsuit. As required by a prior Court order and the 1994 Consent Decree (referred to as the "SRO" and "1994 Consent Decree") more fully described below), the County has taken steps that the parties and the Court-Appointed *Shakman* Decree Compliance Administrator (“CA”) believe constitute Substantial Compliance with the prior order and agreement.

- The Court will hold a hearing on October 31, 2018, at 10:00 a.m., to decide whether to dismiss the County of Cook from the *Shakman* lawsuit.

This Notice explains how you can participate in or object to the Joint Motion. Full details and copies of the Joint Motion, the Compliance Administrator's Final Report concluding that the County has met the requirements to be dismissed from this case, the County's Memorandum in Support of the Joint Motion for Entry of an Order of Substantial Compliance, and other relevant documents can be found on the Compliance Administrator's website, www.countyshakman.com and the County's website at www.cookcountyil.gov.

The Lawsuit

On October 28, 1969, Michael L. Shakman and Paul M. Lurie filed suit on behalf of themselves and all candidates for public office and registered voters asking the Court to prohibit the County of Cook and its President, among other defendants, from conditioning, basing or affecting any term or aspect of governmental employment upon or because of any political reason or factor in a case captioned *Shakman v. Democratic Organization of Cook County*, No. 69 C 2145. In 1972, Defendant, County entered a Consent Decree ("1972 Consent Decree") which, among other things, prohibited the County from conditioning, basing or knowingly prejudicing or affecting any term or aspect of governmental employment, with respect to one who is at the time already a governmental employee, upon or because of any political reason or factor. On January 7, 1994, the County entered a second Consent Decree which incorporated the 1972 Consent Decree's prohibitions and extended those prohibitions to include the County's hiring practices, with certain exclusions. On November 30, 2006, the County and the Plaintiffs Class Members agreed to enter a Supplemental Relief Order ("SRO"). The SRO provided that the County would create a new, revised hiring plan to be filed with and approved by the Court. This new plan would also include a new list of proposed exempt positions that would be presented to the Plaintiffs for comment and discussion in a good faith effort to reach an agreement on the list. The SRO also contained a provision stating that the remaining applicable parts of the 1994 Consent Decree would remain in full force and effect. The SRO was ultimately approved by the Court on February 2, 2007 and resulted in the appointment of the CA to oversee the County's compliance.

Standard for Substantial Compliance with the SRO

The SRO required the County to develop and implement new policies and procedures governing hiring and other employment actions. The SRO also included a definition of Substantial Compliance and a procedure for ending federal court oversight of the County's employment actions. The SRO included the following standard for determining whether the County has achieved Substantial Compliance:

- (1) The County has implemented a new Employment Plan, including procedures to ensure compliance with the new Employment Plan and identify instances of non-compliance;
- (2) the County has acted in good faith to remedy instances of non-compliance that have been identified, and prevent a recurrence;
- (3) the County does not have a policy, custom or practice of making employment decisions based on political factors except for Exempt Positions;
- (4) the absence of material noncompliance; and

(5) County has implemented procedures that will effect long-term prevention of the use of impermissible political considerations in connection with employment with the County.

Over the last several years, the County has worked to achieve Substantial Compliance. Among other things, the County has adopted and implemented an Employment Plan for all County' departments (inclusive of the Office of the Public Defender) and Employment Plans for the Cook County Health and Hospitals System and the Office of the Independent Inspector General. The County has also implemented policies and procedures governing other employment actions. The County has also authorized the Office of the Independent Inspector General and various County Compliance Officers to monitor, investigate and audit the County's compliance with the Employment Plans and the new policies and procedures. The parties and the CA agree that the County has met the requirements for a finding of Substantial Compliance under the SRO and 1994 Consent Decree. For a more detailed statement on the steps taken by the County and the basis for the CA's conclusion that the County has achieved Substantial Compliance, see the CA's Report, which is available on the CA's website, at www.countyshakman.com.

Objecting to the Motion for a Finding of Substantial Compliance

Any member of the plaintiff classes – who consist of present and future applicants for employment with the County, past, present and future employees of the County, registered voters, and candidates for public office - may file a written objection to the Motion with the Court. The objection must state its substance, the nature of the objector's interest in the case and the name and address of the objector.

Written objections must be filed with the Court prior to 3:00 p.m. on October 12, 2018, showing copies of the objection were mailed to Daniel Brennan, Jr., Assistant State's Attorney of the County of Cook, Cook County State's Attorney's Office, 50 W. Washington, Room 500, Chicago, Illinois 60602, Brian Hays, counsel for the plaintiff classes, Locke Lord LLP, 111South Wacker Drive, Suite 4100, Chicago, Illinois 60606, and Mary Robinson, Shakman Compliance Administrator, 69 W. Washington Blvd., Suite 840, Chicago, Illinois 60602 and indicate on the first page that it relates to Case No. 69 C 2145. A Class Member who files a written objection is not required to appear in person at the hearing for the Court to consider the objection.

Public Hearing on Joint Motion

A hearing will be held in Room 1843 of the United States Courthouse, 219 South Dearborn Street, Chicago Illinois, at 10:00 a.m. on October 31, 2018, to determine whether the Court should dismiss the County of Cook from the lawsuit.

Class Members are welcome to attend the hearing, at their own time and expense, and they may request permission to speak to the Court by following the procedure described below. Class Members may also hire their own lawyers at their own expense to speak on their behalf. If Class Members have sent a written objection, they do not need to come to Court. If the Class Member's objection was postmarked or delivered on time, the Court will consider it.

If a Class Member wishes to speak at the hearing, she or he must ask the Court for permission. To do so, a Class Member must submit a written request to the Clerk of the Court at the address listed above, and mail copies to Mr. Hays, Mr. Brennan and Ms. Robinson at their addresses listed above, requesting permission to speak at the hearing in the case of *Shakman v. Democratic Organization of Cook County*, No. 69 C 2145, scheduled for October 31, 2018. The request should summarize the Class Member's position and the basis for that position. The request for permission to speak must be received by the Clerk of the Court prior to 3:00 p.m. on October 12, 2018. The Court may, or may not, grant the request to be heard.

DO NOT CALL OR WRITE THE COURT TO OBTAIN COPIES OF DOCUMENTS OR TO ASK QUESTIONS ABOUT THE HEARING. THIS NOTICE PROVIDES INFORMATION ON HOW TO OBTAIN DOCUMENTS RELEVANT TO THE MOTION.

Dated: Chicago, Illinois
August 31, 2018

Hon. Sidney I. Schenkier
United States Magistrate Judge

EXHIBIT 2

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

COOK COUNTY
EMPLOYMENT PLAN

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

TABLE OF CONTENTS

I.	INTRODUCTION	6
II.	DEFINITIONS	6
III.	GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO COUNTY HIRING	13
	A. Commitment	13
	B. No Employment Actions Influenced By Political Reasons or Factors.....	13
	C. Notice of Exemption.....	13
	D. Unlawful Political Discrimination Reporting.....	13
	E. Political Contact Reporting.....	14
	F. Equal Employment Opportunity.....	14
	G. Contact by County Employees Who Are Politically-Related Persons.....	14
	H. Contact of Politically-Related Persons by County Employees.....	14
	I. No Retaliation.....	14
	J. BHR Staff.....	15
	K. Cook County’s Commitment to Support OIG Functions	15
	L. Union Relations.....	15
	M. No Political Consideration Certification.....	15
	N. Interpretation of the Employment Plan.....	15
IV.	GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO BHR	15
	A. Policy Manual	15
	B. Quarterly Report	16
	C. Compliance Officer.....	16
	D. BHR Personnel Training.....	16
	E. Supervisor Training	17
	F. Employee Training.....	17
	G. Interviewer Training	17
	H. Access to Information Regarding Applicants	17
	I. Review of Job Descriptions	17

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

- J. Cooperation with the Compliance Officer and OIIG.....18
- K. Complaint Line18
- L. Forwarding of Complaints.18
- M. Violations of the Employment Plan Not Involving Unlawful Political Discrimination or Political Contacts.....18
- N. Violations Involving Unlawful Political Discrimination or Unlawful Political Contacts20
- O. Recordkeeping..... 21
- P. General Principles and Responsibilities Related to ATAS.....21
- Q. Ineligible for Hire List22
- V. GENERAL HIRING PROCESS24**
 - A. Recruitment.....24
 - B. Requests to Hire24
 - C. Recommendations25
 - D. Preparation of Notice of Job Opportunity.....26
 - E. Posting of Notice of Job Opportunity27
 - F. Submission of Applications27
 - G. Permitted Contacts from Applicants.....27
 - H. Application Screening.....27
 - I. Creation of Preliminary Eligibility List.28
 - J. Creation of Interview List.....29
 - K. Use of Preliminary Eligibility and Interview Lists.30
 - L. Submission of Interview List30
 - M. Interview Preparation.....30
 - N. Pre-Interview License and Certification Verification.....31
 - O. Interview of Candidates31
 - P. Pre-Employment Testing33
 - Q. Candidate Selection Procedure33
 - R. Final Screening34
 - S. Offers of Employment34
 - T. Post-Offer Testing.....35
- VI. EMPLOYEE CERTIFICATION36**
- VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS36**

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

- A. Emergencies36
- B. Settlements and Awards.....37
- C. Layoffs.37
- D. Recall and Reemployment37
- E. Promotion and Demotion37
- F. Reclassifications and Upgrades.37
- G. Transfers37
- H. Transitional Assignments.....37
- I. Statutory Appointments38
- J. Public Defender Direct Appointments.....38
- K. Assistant Public Defender41
- VIII. ACTIVELY RECRUITED POSITION HIRING PROCESS46**
- IX. VOLUNTEERS51**
- X. EXECUTIVE ASSISTANT HIRING PROCESS53**
 - A. No Political Reasons or Factors53
 - B. Applicability of Specific Portions of the General Hiring Process. 53
 - C. Submission of RTH.....53
 - D. Identification and Selection of Candidate.....54
 - E. Hiring Process54
 - F. Hiring55
- XI. INTERN/EXTERN HIRING PROCESS.....55**
- XII. EXEMPT POSITION HIRING PROCESS55**
 - A. Hiring Process55
 - B. No Other Specific Selection Process Required.....56
 - C. Changes to Exempt List56
 - D. Posting of Exempt List.....57
 - E. Removal57
 - F. Maintenance of Exempt Position Status57
- XIII. MISCELLANEOUS POLICIES57**
 - A. Reclassifications/Promotions57
 - B. Temporary Assignments57
 - C. Transfers57

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

D.	Training.....	58
E.	Compensatory Time and Overtime.....	58
F.	Discipline	58
G.	Desk Audits.....	58
H.	Demotions.....	58
I.	Layoffs/Recall.....	58
J.	Third Party Providers.....	58
XIV.	EMPLOYMENT PLAN AMENDMENTS.....	58
XV.	CONCLUSION	59

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

I. INTRODUCTION

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

II. DEFINITIONS

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

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

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

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

ATAS: See Applicant Tracking and Application System.

BHR: See Bureau of Human Resources.

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

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

Board: The Board of Commissioners of the County.

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

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

CBA: See Collective Bargaining Agreement.

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

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

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

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

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

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

County: The County of Cook, Illinois.

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

Day or day: A calendar day unless otherwise indicated.

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

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

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

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

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

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

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

Employment Plan: This new Employment Plan.

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

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

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

Exempt Position: A County employment position that is included on the Exempt List and is a job that involves policymaking to an extent or is confidential in such a way that political affiliation is an appropriate consideration for the effective performance of the job.

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

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

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

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

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

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

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

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

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

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

Job Code: A code assigned to each job title.

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

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

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

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

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

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

NPCC: See No Political Consideration Certification.

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

OIIG: See Office of the Independent Inspector General.

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

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

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

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

Personnel Rules: The County Personnel Rules.

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

Political Contact: Any contact of any kind whatsoever (oral or written, direct or indirect) from any Politically-Related Person or Organization regarding an Employment Action

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

relating to any Applicant, Candidate or employee of the County holding or applying for a Non-Exempt Position.

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

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

Position: Any County employment position.

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

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

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

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

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

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

Public Defender Direct Appointment Position: A position in the Public Defender's Office

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

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

RTH: See Request to Hire.

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

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

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

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

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

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

III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO COUNTY HIRING

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

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

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

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

D. Unlawful Political Discrimination Reporting. Any employee of the County who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring, is required to report such matter to OIIG directly and without delay, on an anonymous or credited basis, in person, by phone or in writing. All employees of the County are required to cooperate fully in any investigation of such matter conducted by OIIG. Any employee who fails to report and/or cooperate as required will be subject to

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

disciplinary action, up to and including Termination, provided that such reporting and cooperation are not required if either would violate the Employee's constitutional rights.

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

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

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

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

I. No Retaliation. The County shall continue to prohibit retaliation, punishment or penalty for reporting a Political Contact, initiating a complaint related to any alleged Unlawful Political Contact or Unlawful Political Discrimination, or cooperating with or assisting, the Compliance Officer, BHR, OIIG or any other person or authority in connection with any such report or complaint.

J. BHR Staff. The County will maintain a BHR staff of experienced and knowledgeable professionals who meet the Minimum Qualifications contained in the Job

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

Descriptions and who are able to fulfill the County's obligations under this Employment Plan.

K. Cook County's Commitment to Support OIIG Functions. It is further understood that Cook County's enduring commitment to ensuring fair and equitable employment practices and procedures will require vigilance and cooperation with the OIIG when it conducts investigations and reviews in regards to the Employment Plan and Supplemental Policies. To this end, Cook County expressly acknowledges its commitment to supporting the mission of the OIIG by providing the OIIG reasonable and fair resources to independently, effectively and expeditiously carryout such duties and functions as required in this Employment Plan and Supplemental Policies.

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

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

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 applicable laws, Ordinances and the Executive Order.

IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO BHR

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

A. Policy Manual. BHR will draft and maintain a Policy Manual that is consistent and in compliance with and effectuates all provisions of this Employment Plan. BHR may revise and update the Policy Manual as required, provided BHR shall not revise or update any policy or procedure without first sending a copy of the proposed revision or update to

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

the OIIG for comment and approval. BHR will post and update as necessary the Employment Plan and the Policy Manual on the County's website.

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

C. Compliance Officer.

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

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

3. Termination. The Compliance Officer will be an employee of the County and will not be subject to career service. The Compliance Officer shall serve at the pleasure of the President, subject to 90 days' prior written notice of termination or 90 days' salary continuation in the event of involuntary Termination for other than cause and subject further to the President sending written advance notice to the OIIG describing the reasons for Termination. The OIIG shall review the Termination to determine if it is based on Political Reasons and Factors. If the OIIG concludes that the Termination was based on Political Reasons or Factors or violated the spirit of this Plan, the OIIG will memorialize its findings and provide the same to BHR. BHR shall post the OIIG's written findings on the County's website.

D. BHR Personnel Training. BHR, in conjunction with the Compliance Officer, will provide comprehensive mandatory training programs for all personnel within BHR to ensure that they are aware of and knowledgeable about this Employment Plan and the Policy Manual and will be able to administer relevant portions of this Employment Plan and the Policy Manual and answer questions they may receive. Such training will be

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

conducted no less frequently than once a year and no later than 90 days after any individual becomes an employee in BHR.

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

F. Employee Training. BHR, in conjunction with the Compliance Officer, will conduct comprehensive mandatory training of all County employees to ensure they are aware of and knowledgeable about this Employment Plan, the Policy Manual and Unlawful Political Discrimination. All employees will receive such training no later than 90 days following the beginning of employment and no less frequently than annually thereafter. BHR will continue to provide training regarding changes to the Employment Plan and Policy Manual as necessary.

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

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

I. Review of Job Descriptions. All Job Descriptions must include a list of all Minimum Qualifications and testing protocols, if applicable, and they must be accurate and readily available to the public. Accordingly, the Chief of BHR, in conjunction with the Compliance Officer and outside consultants as needed, shall: (1) consult with the Department Head of the Hiring Department and appropriate staff, if necessary, and review the Job Description for each Position for which the County receives a RTH to ensure that it is accurate and reflects the current duties and Minimum Qualifications necessary to perform the job; (2) conduct an evaluation of Job Descriptions as vacancies are posted to ensure they accurately describe all Minimum Qualifications and testing protocols and reflect the actual duties of the Positions; (3) update and revise any such Job Description

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

that is not accurate; and (4) post the accompanying Job Descriptions for Positions on ATAS as a Position is posted. Nothing in this section will prevent BHR from reviewing and updating Job Descriptions independent of whether there is an anticipated posting. Department Heads shall promptly notify the Chief of BHR of any material changes to the duties and responsibilities of Positions within the his or her Department and any changes to the required licenses or certifications for a Position to allow BHR to determine if the Job Descriptions should be updated.

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

a Political Contact or Unlawful Political Discrimination. The Compliance Officer may consult with the Chief of BHR or his or her designee during the investigation as necessary.

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

applicable) and impose other remedial actions pending receipt of the Incident Report and the BHR Report.

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

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

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

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

- a. A description of the complaint and any other information received pertinent to the investigation;
- b. A description of the findings discovered in the course of the investigation;
- c. Recommendations of OIIG for correction of the Unlawful Political Contact or Unlawful Political Discrimination, if applicable;

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

d. Such other information as the President may deem relevant to the investigation or resulting recommendations; and

e. A statement (i) confirming implementation of the OIIG's recommended action or (ii) an explanation of why the recommended action was not implemented and a description of any alternative action the President has elected to take and the specific reasons for such alternative action.

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

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

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

P. General Principles and Responsibilities Related to ATAS. The implementation and use of ATAS shall be in compliance with the County's commitments and obligations under this Employment Plan, as well as the Executive Order, Ordinances, applicable law, and as follows:

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

3. Monitoring of Electronic Employment Action Activities. The Compliance Officer and OIIG will have full and continual access to review all Employment Action-related activities of County employees using ATAS, Cook County Time (CCT), and Oracle EBS Human Capital Management (HCM) to ensure the policies and procedures in the Employment Plan and Supplemental Policies are being followed and to assist in any investigation of alleged violations of the same.

Q. Ineligible for Hire List.

1. The Chief of BHR or his or her designee shall create and maintain a list of the names of individuals who were previously employed with the County or who applied for employment with the County and who would be considered disqualified or ineligible for employment with the County for five (5) years if the individual was terminated or deemed ineligible from consideration for employment as a result of the following:

- a. any of the reasons listed in Personnel Rules 3.03(b)(1), (5), (6), (7), (8), (9), and (10);
- b. a finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in prohibited Political Activity (as described in the Cook County Ethics Ordinance); or
- c. a finding by the OIIG or Compliance Officer that the individual intentionally provided materially false information to the OIIG or Compliance Officer or otherwise obstructed or refused to cooperate with an investigation of the OIIG or Compliance Officer; or
- d. a finding by the OIIG or Compliance Officer that the individual falsified a County document concerning any County Employment Action.

2. The Chief of BHR shall disqualify or deem an individual ineligible for employment with the County for five (5) years and placed on the Ineligible for Hire List if an individual resigned or retired in lieu of Termination and it was determined by the Chief of BHR that said individual would have otherwise been terminated or deemed ineligible from consideration for employment as a result of the following:

- a. any of the reasons listed in Personnel Rules 3.03(b)(1), (5), (6), (7), (8), (9), and (10);
- b. a finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in prohibited Political Activity (as described in the Cook County Ethics Ordinance); or
- c. a finding by the OIIG or Compliance Officer that the individual intentionally provided materially false information to the OIIG or Compliance Officer or otherwise

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

obstructed or refused to cooperate with an investigation of the OIIG or Compliance Officer; or

d. a finding by the OIIG or Compliance Officer that the individual falsified a County document concerning any County Employment Action.

3. Process for Placement on Ineligible for Hire List. Individuals whose names the Chief of BHR or his or her designee determines will be added to the Ineligible for Hire List will be given notice by the Chief of BHR or his or her designee at the time his or her name is added to the Ineligible for Hire List and an opportunity to respond to the charges. The notice shall include a copy of the applicable Personnel Rules or copy of the applicable grounds for seeking the individual's inclusion on the Ineligible for Hire List. Such individuals' names shall remain on the Ineligible for Hire List for at least two years, provided that the names of individuals who are found to be in violation of Section 44-54 or Section 44-56 of the County's Code of Ordinances, or as set forth above in Section IV.Q., are recommended for termination for said violations, and are terminated or who resign in lieu of discharge shall be placed and remain on the Ineligible for Hire List for at least five (5) years.

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

BHR shall provide copies of the Ineligible for Hire List and any revisions to the Compliance Officer and the Independent Inspector General within ten (10) days of any changes. BHR shall use the Ineligible for Hire List when validating all Applicants for County employment. Any Applicant who is a former employee or Applicant and whose name is on the Ineligible for Hire List shall have such ineligibility confirmed by the Chief of BHR and the Compliance Officer before being excluded from consideration for employment. The basis for such ineligibility shall be documented on ATAS if able or in writing by the Chief of BHR or his or her designee or the Compliance Officer. A final check of the Ineligible for Hire List shall be made prior to the official offer of employment being made. Failure of the Chief of BHR or the Compliance Officer to confirm or document ineligibility shall not bar later action to remove an ineligible individual if hired in violation of this section.

5. Changes to Ineligible for Hire List. The Compliance Officer and the Independent Inspector General shall be notified in writing at least five (5) business days in advance of

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

an individual's name being removed from or added to the Ineligible for Rehire List in order to permit the Independent Inspector General and the Compliance Officer the opportunity to consult with the Chief of BHR to determine whether the appropriate time period for ineligibility has been instituted and/or expired.

The Compliance Officer shall be provided with a current copy of the Ineligible for Hire List and said Ineligible for Hire List shall be made available to the public upon request to the Compliance Officer. The Ineligible for HireList shall be provided to the requesting party within 10 days of the request.

V. GENERAL HIRING PROCESS

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

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

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

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

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

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

1. Submission of RTH. The RTH, including written justifications for filling or creating the Position, must be submitted to BHR and signed by the Department Head of the Department to which the person selected for the Position will be assigned and in which

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

he or she will work. The Department Head must receive written approval to fill the Position from the County's Director of the Budget and Chief of BHR or his or her designees.

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

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

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

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

1. Review of ATAS Submissions. The Preliminary Eligibility List will contain the names of all Applicants in alphabetical order who complete the application

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

process on ATAS and whose application information on ATAS indicates they possess all of the Minimum Qualifications for the Position. If no Applicant is eligible for inclusion on the Preliminary Eligibility List, the Position shall be reposted if requested by the Department.

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

order they appear on the randomized Preliminary Eligibility List until there are 10 Candidates for a single Vacancy or five (5) Candidates per Vacancy for multiple Vacancies on the Interview List or until all applications of Applicants on the randomized Preliminary Eligibility List have been validated, whichever comes first.

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

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

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

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

b. Former Cook County Employees' Disciplinary History Validation. BHR will review the disciplinary record of any External Applicant who was employed by Cook County Offices Under the President within the 12 months preceding his or her application for the final 12 months of the External Applicant's employment. Any External Applicant employed by Cook County's Offices under the President within the 12 months preceding his or her application who was subject to a suspension while working for the Cook County Offices Under the President during the last 12 months of the External Applicant's most recent employment with Cook County Offices Under the President will not be considered eligible for the Position,

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

and his or her name will be removed from the Preliminary Eligibility List and will not be included on the Interview List. Prior to making an offer of employment pursuant to Section V.T to an External Applicant who was employed by Cook County Offices Under the President within the 12 months preceding his or her application, BHR will provide the Compliance Officer with a copy of the successful External Applicant's disciplinary record.

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

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

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

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

M. Interview Preparation.

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

2. Interview Panel Selection. The Department Head will select the interview panel consisting of (i) two or three management level employees in the Hiring Department who have been certified as trained pursuant to Section IV.G and (ii) at least one member of the interview panel who has first-hand knowledge of the job duties and Minimum Qualifications of the Position. The Department Head will send a list of the names of the two or three employees who will make up the interview panel to the Chief of BHR or his or her designee for approval prior to the interviews. No County employee may be assigned

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

to an interview panel without first receiving interview training described in Section IV.G above.

3. Interview Questions. The Department Head will prepare a list of a minimum of 10 interview questions relating to each Position. The Department Head will send the list of interview questions to the Chief of BHR or his or her designee, who will review and amend or approve the questions and select five (5) or more questions to be used for interviews for that posting. All questions shall be considered and treated as confidential, and they may not be disclosed to anyone other than the Chief of BHR or his or her designee prior to the interviews. The questions must be based on the specific job duties of the Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The interview questions developed for a particular Position may be used for subsequent vacancies for that Position, provided appropriate precautions are taken to prevent advance dissemination of questions and answers to Candidates and provided the questions remain related to the duties of the Position.

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

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

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

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

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

b. In the event a Conflict of Interest is discovered prior to or during any interview, the panel member shall, as soon as possible, notify the Chief of BHR or his or her designee or the employee in charge of personnel matters for the Department, if applicable, the Compliance Officer and the other members of the panel, that a Conflict of Interest exists and that a substitution is needed. The panel

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

member will then leave the interview room and will not participate in the interview or the selection process for that Candidate. A substitute panel member approved by the Chief of BHR or his or her designee shall be contacted to replace the panel member. If no substitute is available, the interview will be rescheduled. The substitute panel member shall assume the panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If a Conflict of Interest is discovered after an interview, the Compliance Officer must be notified and he or she will make the determination of whether a second interview panel must be convened.

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

1. Review of Final Selection. The Chief of BHR or his or her designee will review the material forwarded pursuant to Sections V.Q.3, 4 and 5 and verify the selection is in compliance with the requirements of this Employment Plan. In the event the Department Head's final selection is a Candidate or Candidates other than the one(s) described in Section V.Q.4, the Compliance Officer will be asked to review and verify that the selection is in compliance with the requirements of this Employment Plan as well. If either the Chief of BHR or his or her designee or the Compliance Officer determines that the selection was not in compliance, the selected Candidate or Candidates will not be offered employment.

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

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

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

1. Extension of Offer. After receipt of the fully-executed Justification to Hire, the Chief of BHR or his or her designee will extend a written offer of employment to the selected Candidate(s). All offers of employment will be made in writing. All offers of employment will be contingent upon the Candidate's satisfactory completion of all post-offer tests described in Section V.T below. If, due to critical need, a selected Candidate

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

begins employment before the results of any post-offer test has been received, the Candidate will be advised that his or her continued employment is contingent on the receipt of satisfactory results of such tests, and that he or she will be subject to immediate termination if and when an unsatisfactory test result is received.

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

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

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

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

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

3. Background Check. All selected Candidates who accept an offer of employment will be required to submit to a criminal background check. If a criminal background check reveals that a selected Candidate has been convicted of a felony or misdemeanor that impacts or could impact his or her suitability for the Position, the matter

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

will be referred to the Chief of BHR for an investigation and determination. The Chief of BHR shall investigate the facts and circumstances, consult with legal counsel, if appropriate, and make a written determination of whether the conviction disqualifies the individual for employment, which shall be sent to the Compliance Officer, the OIIG. Upon receipt of a determination of ineligibility, the offer of employment will be withdrawn or, if applicable, the individual will be terminated. If the background check reveals a selected Candidate has withheld or given materially inaccurate, incomplete or misleading information concerning his or her criminal record, the offer of employment will be withdrawn or, if applicable, the individual will be terminated.

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

VI. EMPLOYEE CERTIFICATION.

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

VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS

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

A. Emergencies. The County is not required to comply with the General Hiring Process in the event of an Emergency and upon the prior written certification of the President. Such certification will include, but not be limited to, statements to the effect that: (1) there is a need for such hiring based on an Emergency (including a description of the specific emergency); (2) the approximate number of individuals required to be hired during the Emergency; and (3) the estimated duration of the Emergency (which may be no longer than 120 days). The County must file such certification with the Compliance Officer. Upon receipt of such certification, the County may hire employees to deal with the Emergency in a number which, when added to the number of other hires by the County based on an Emergency during the calendar year, at no time exceeds 100. No person may be hired on an emergency basis for more than 120 days in any calendar year. No individual hired as the result of an Emergency may be hired based on any Political Reasons or Factors, and a NPCC shall be completed as otherwise required by the General Hiring Process. Individuals hired on an emergency basis may neither be moved to any other non-emergency Position via Transfer, Interim Assignment or any other available Employment Action nor given the benefits of an Employee under the Internal Candidate Preference (Sections V.B.3 and V.I.2)

B. Settlements and Awards. The County may comply with any judgment, negotiated settlement of a claim, complaint or arbitral award that requires the County to take an

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

Employment Action with respect to a specific individual or individuals which would otherwise be contrary to the requirements of this Employment Plan.

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

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

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

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

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

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

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

2. Request for Transitional Assignment. The Department Head shall submit a written request to the Chief of BHR that a Transitional Assignment be made. Such request must include: (a) a description of the reason for such Transitional Assignment; (b) a copy of the written confirmation that there is an available appropriation for a Transitional Assignment from the Department of Budget and Management Services; (c) a RTH or Personnel Action Form; (d) a copy of the Job Description; and (e) confirmation of the dates and the duration of the Transitional Assignment (which may not exceed 30 days).

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

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

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

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

5. Submission of RTH and Job Description. The Public Defender must submit a completed RTH and Job Description for the Public Defender Direct Appointment Position prepared in accordance with Section IV.I and pursuant to Section V.B.1 and 2 to the Chief of BHR or his or her designee. The RTH must be signed by the Public Defender or his or her designee. The Public Defender must receive written verification from the

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

Budget Director and Chief of BHR or their designees that the Position is funded and vacant. The Chief of BHR or his or her designee shall provide a copy of the RTH to the Compliance Officer, pursuant to Section V.B.3.

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

of BHR or his or her designee determines that the Candidate selected by the Public Defender meets all three criteria and is eligible, he or she shall record such determination on ATAS or in the employment file, execute a NPCC and submit a copy of all information and the determination to the Compliance Officer.

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

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

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

a. Request to Change. The Public Defender or his or her designee shall send written notice of any proposed change to the Public Defender Direct Appointment Position List, along with supporting documentation, including but not limited to (i) the identity, Job Code and Position Identification Number of the Public Defender Direct Appointment Position (including a copy of the current Job Description) and (ii) a description of the basis on which the change is proposed, to OIIG and the Compliance Officer. OIIG shall provide a written approval or objection to the proposed change within 10 days of receipt. If OIIG provides an objection to the change, the Public Defender or his or her designee and OIIG will then meet to discuss the matter. If OIIG does not rescind his or her objection following such discussion, the proposed change will not be implemented unless otherwise approved by a court of competent jurisdiction.

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

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

K. Assistant Public Defenders.

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

3. Requests to Hire. All hiring for Assistant Public Defender Positions will be initiated by submission of a RTH in accordance with Section V.B.

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

11. Interview Preparation.

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

c. Interview Questions. All interview questions created and utilized by the Hiring Department shall be considered and treated as confidential. The questions must be based on the specific job duties of the Assistant Public Defender Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The Public Defender of Cook County will not be required to submit the interview questions to the Chief of BHR for review and approval but will provide written notice of the interview questions to the Compliance Officer at least five (5) business days in advance of conducting interviews for a posting. The interview questions developed for a particular Assistant Public Defender Position may be used for subsequent vacancies for that Assistant Public Defender Position, provided appropriate precautions are taken to prevent advance dissemination of answers and provided the questions remain related to the duties of the Assistant Public Defender Position.

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

interviews. The Chief of BHR or his or her designee may be present while the interviews are being conducted.

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

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

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

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

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

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

e. Justification to Hire. In accordance with Section V.Q.5, the Public Defender or his or her designee shall prepare the Justification to Hire which shall include a justification for selecting the successful Candidate and detailing how the selected Candidate's experience meets the criteria for the Assistant Public Defender Position. The Justification to Hire will be made part of the Interview File and will be sent to the Chief of BHR or his or her designee along with the Interview Panel meeting notes and

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

recommendations, the Interview Evaluation Forms, and any other documentation regarding the selection of the Candidate. Copies of such documentation shall also be may available to the Compliance Officer.

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

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

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

VIII. ACTIVELY RECRUITED POSITION HIRING PROCESS

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

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

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

J. Creation of Interview List. Upon receipt of the Validated Eligibility List and Job Description from BHR, the Application Review Panel shall review the applications and resumes of all Candidates listed on the Validated Eligibility List and select at least three (3) Candidates to put on the Interview List based on the extent to which each Candidate meets the stated Preferred Qualifications, if any, and has the work-related experience,

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

education, knowledge, skills and abilities needed for the Actively Recruited Position. If fewer than three Candidates are on the Validated Eligibility List, the Application Review Panel may request BHR to either repost the Actively Recruited Position or the Application Review Panel may place the Candidate(s) on the Interview List. The Compliance Officer will be notified at least 48-hours in advance of the Application Review Panel's review of applications and selection of Candidates for the Interview List.

K. Interview Preparation.

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

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

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

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

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

5. Justification to Hire. In accordance with Section V.Q.5, the Department Head or his or her designee shall prepare the Justification to Hire which shall include a

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

justification for selecting the successful Candidate and detailing how the selected Candidate's experience meets the criteria for the Actively Recruited Position. The Justification to Hire will be made part of the Interview File and will be sent to the Chief of BHR or his or her designee along with the Interview Panel meeting notes and recommendations, the Interview Evaluation Forms, and any other documentation regarding the selection of the Candidate. Copies of such documentation shall also be may available to the Compliance Officer.

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

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

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

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

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

IX. VOLUNTEERS

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

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

1. Notice and Process: The Office of the Public Defender will post Volunteer opportunities on ATAS; said postings may be posted directly by the Office of the Public Defender or the Bureau of Human Resources at the Request of the Office of the Public Defender. Applicants for Volunteer opportunities at the Public Defender's Office must complete and submit an application on ATAS and upload to their ATAS application: (1) a

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

resume, and (2) a high school, college or law school transcript (official or unofficial), a letter of academic good-standing at an accredited high school, college, university or law school, or evidence of graduation from an accredited law school.

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

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

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

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

4. Assignment of Volunteers. All Applicants deemed eligible pursuant to this Section 2 will be given an orientation interview to discuss the Applicant's interest, assignment, potential duties, time commitment, dress code, class credit (if any), and any questions the Applicant may have. If the Applicant accepts an offer to act as a Volunteer, the Administrative Office of the Public Defender's Office will notify the Applicant of the assignment location and provide the name of the division chief to which the Volunteer should report. Assignments will be available based on the needs of the office and will be filled, if feasible, according to the preferences of the Applicant, if any. All Volunteers must execute a Volunteer Agreement, Client Relationship Form and 711 License Forms, if applicable, prior to beginning as a Volunteer with the Public Defender's Office. If, while assigned a Volunteer position, a Volunteer engages in conduct which is unproductive,

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

disruptive or otherwise unsatisfactory, his or her volunteer period may be immediately discontinued.

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

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

X. EXECUTIVE ASSISTANT HIRING PROCESS

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

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

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

C. Submission of RTH. The Executive Assistant Supervisor must submit a RTH to the Chief of BHR or his/her designee. The RTH must be signed by the Executive Assistant Supervisor. If the Executive Assistant Supervisor is not a Department Head, the Department Head of the Department in which the Executive Assistant Supervisor works must also sign the RTH. The Executive Assistant Supervisor or Department Head must receive written approval to fill the Position from the Budget Director and Chief of BHR or their designees. The Chief of BHR or his/her designee shall provide a copy of the RTH to the Compliance Officer, pursuant to Section V.B.1.

D. Identification and Selection of Candidate. The Executive Assistant Supervisor shall send a written notification with the RTH to the Chief of BHR or his/her designee. The Chief of BHR or his/her designee shall submit a copy of the written notification with the RTH to the Compliance Officer. Such notification shall include: (1) the name of the

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

individual he or she has selected to perform services as his or her Executive Assistant; (2) a description of the basis on which the Executive Assistant Supervisor has selected the individual (e.g., past knowledge of his or her employment history, past working relationship, etc.); (3) copies of any licenses or certification required; (4) a NPCC signed by the Executive Assistant Supervisor; and (5) if the Executive Assistant Supervisor is not a Department Head, a NPCC signed by the Department Head of the Department in which the Executive Assistant Supervisor works.

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

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

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

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

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

Cook County Employment Plan
Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

XI. INTERN/EXTERN HIRING PROCESS

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

XII. EXEMPT POSITION HIRING PROCESS

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

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

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

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

4. Certification. After screening pursuant to Section XII.A.3, the Chief of BHR shall certify in writing that any individual selected to fill an Exempt Position meets the Minimum Qualifications and, if applicable, possesses any licenses or certifications required for the Exempt Position. Such certification shall be completed within five (5) business days of an individual becoming a County employee in an Exempt Position and a copy of such certification shall be provided to the Compliance Officer and the OIIG.-

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

2. Request to Change by OIIG. The OIIG shall send written notice of any proposed change to the Exempt List due to the position description not meeting proper Exempt designation or if the person in the position is not consistently performing the duties of the Exempt Position in a meaningful manner as provided in the Exempt Position description. The OIIG shall include in his request supporting documentation, which shall include but not be limited to (a) the identity, Job Code and Position Identification Number of the Exempt Position (including a copy of the current Job Description) and (b) a description of the basis on which the change is proposed to the President and the Compliance Officer. The President or her designee shall review the request by the OIIG and shall provide a written approval or objection to the proposed change within 10 days of receipt. If the President or the President's designee objects to the change, the parties shall meet to discuss the objection and the President shall be permitted to seek modifications to the Exempt Job Description pursuant to Section V.B.2 and Section XII.C. and/or ensure that the person in the Exempt Position is performing the duties as provided in the Exempt Job Description. If the President does not rescind his or her objection following such discussion, the proposed change by the OIIG will not be implemented unless the OIIG files an action in a court of competent jurisdiction challenging the exempt status of the Position. The County bears the burden of demonstrating that party affiliation is an appropriate requirement for the effective performance of the Position. Both the OIIG's proposal and the President's objection shall be publicly posted on the Bureau of Human Resources' website.

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

D. Posting of Exempt List. The County will post the then-current Exempt List at BHR Headquarters and on the County website (on which the County's Annual Appropriation Ordinance is accessible). The postings will include: (i) the name of the Department to which the Exempt Position is assigned; (ii) the job title and Position Identification Number; (iii) the name of the incumbent; and (iv) the grade level. A copy of the County's then current year's Annual Appropriation Ordinance will also be posted on the County website. The County will repost and update the Exempt List within 10 days of the occurrence of any applicable change made pursuant to this Section XII.C. In the event an incumbent is selected to fill a different Exempt Position, the County will repost and update the Exempt List within 60 days of the hire.

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

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

XIII. MISCELLANEOUS POLICIES

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

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

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

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

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.; 10.31.18

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

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

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

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

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

XIV. EMPLOYMENT PLAN AMENDMENTS

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

XV. CONCLUSION

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

Cook County Employment Plan

Effective March 19, 2012; Amended and Restated 6.20.12; 7.20.12; 11.26.12; 12.3.13; 1.8.14; 11.3.14; 6.1.15; 3.9.18.;
10.31.18

EXHIBIT 3

**COOK COUNTY HEALTH AND HOSPITALS SYSTEM
EMPLOYMENT PLAN**

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

TABLE OF CONTENTS

I.	INTRODUCTION	1
II.	DEFINITIONS	1
III.	GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO COOK COUNTY HEALTH AND HOSPITALS SYSTEM HIRING	10
	A. Commitment.....	10
	B. No Employment Actions Influenced By Political Reasons or Factors	10
	C. Unlawful Political Discrimination Reporting.....	10
	D. Political Contact Reporting	11
	E. Equal Employment Opportunity	11
	F. No Retaliation.....	11
	G. DHR Staff.....	11
	H. Commitment to Support OIIG Functions.....	11
	I. Union Relations	12
	J. NPCC.....	12
	K. Interpretation of Employment Plan	12
	L. Cooperation	12
IV.	GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO COOK COUNTY HEALTH AND HOSPITALS SYSTEM DEPARTMENT OF HUMAN RESOURCES	12
	A. Employment Plan Supplemental Policies Manual.....	12
	B. Quarterly Report	13
	C. Employment Plan Officer	13
	D. DHR Personnel Training.....	14
	E. Supervisor/Interviewer Training.....	14
	F. Employee Training.....	14

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

G.	Access to Information Regarding Applicants	14
H.	Review of Job Descriptions	15
I.	Cooperation with the EPO, Corporate Compliance and Privacy Officer, and OIIG	15
J.	Complaint Line	15
K.	Forwarding of Complaints	16
L.	Violations of the Employment Plan Not Involving Unlawful Political Discrimination of Political Contacts	16
M.	Violations of the Employment Plan Involving Unlawful Political Discrimination or Unlawful Political Contacts	18
N.	Recordkeeping	19
O.	General Principles and Responsibilities Related to ATAS.....	19
P.	Ineligible for Hire List	19
V.	GENERAL HIRING PROCESS	21
A.	Recruitment.....	21
B.	Requests to Hire	22
C.	Recommendations.....	23
D.	Preparation of Notice of Job Opportunity.....	24
E.	Posting of Notice of Job Opportunity	25
F.	Submission of Applications	25
G.	Permitted Contacts from Applicants	25
H.	Application Screening.....	25
I.	Creation of Preliminary Eligibility List and Interview List.....	25
J.	Validation Procedures.....	27
K.	Use of Preliminary and Interview Lists	28

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

L.	Interview Preparation.....	28
M.	Interview of Candidates	29
N.	Pre-Employment Testing	31
O.	Candidate Selection Procedure	31
P.	Final Screening	32
Q.	Offers of Employment	33
R.	Post-Offer Testing.....	33
S.	Pre-Employment License and Certification Verification	34
VI.	APPLICANT, CANDIDATE AND EMPLOYEE CERTIFICATIONS.....	34
VII.	EXCEPTIONS TO THE GENERAL HIRING PROCESS	35
A.	Statutory Appointments	35
B.	Department, Division and Section Chairs of the Medical Departments of the Medical Staff.....	35
C.	Resident Physicians and Fellows	35
D.	Interns	35
E.	Emergencies and Temporary Positions.....	36
F.	Settlements and Awards.....	36
G.	Layoffs	36
H.	Promotions and Demotions.....	36
I.	Recall and Reemployment	36
J.	Reclassifications and Upgrades	36
K.	Transfers	36
L.	Grant Funded Positions.....	36
VIII.	DIRECT APPOINTMENT HIRING PROCESS	37

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

A.	Applicability of Specific Portions of the General Hiring Process	37
B.	No Political Reasons or Factors	37
C.	Positions Eligible for CCHHS Direct Appointment	37
D.	No Posting Required	37
E.	Submission of RTH and Job Description	37
F.	Identification and Selection of Candidate	37
G.	Pre-Employment Screening of Candidates	37
H.	Hiring	38
I.	NPCC	38
J.	Changes to the CCHHS Direct Appointment Positions.....	38
K.	Removal of an Employee Holding a CCHHS Direct Appointment Position	39
L.	Maintenance of CCHHS Direct Appointment Position Status	39
IX.	ACTIVELY RECRUITED HIRING PROCESS.....	39
A.	No Political Reasons or Factors	39
B.	Recruiting Consultant	39
C.	Procedures Not Performed by Recruiting Consultant.....	40
D.	Requests to Hire	40
E.	Preparation of Notice of Job Opportunity.....	40
F.	Posting of Notice of Job Opportunity	40
G.	Submission of Applications	40
H.	Application Screening.....	40
I.	Creation of Preliminary Eligibility List	40
J.	Appointment of an Application Review Panel	40
K.	Creation and Validation of Interview List	40

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

L.	Interview Preparation	41
M.	Interview of Candidates	42
N.	Candidate Selection Procedure	42
O.	Decision	43
P.	Final Screening	43
Q.	Offers of Employment	43
R.	Post-Offer Testing.....	43
S.	Pre-employment License and Certification Verification	43
T.	Changes to and Posting of Actively Recruited Positions List	43
U.	Union Membership	43
V.	Credentialing and Verification.....	44
X.	EXECUTIVE ASSISTANT HIRING PROCESS	44
A.	No Political Reasons or Factors	44
B.	Applicability of Specific Portions of the General Hiring Process	44
C.	Submission of RTH.....	44
D.	Identification and Selection of Candidate	44
E.	Hiring Process.....	44
F.	Hiring	45
XI.	ADVANCED CLINICAL PROFESSIONAL HIRING PROCESS	45
A.	No Political Reasons or Factors	45
B.	Recruiting Consultant	45
C.	Mandatory Training	45
D.	Requests to Hire	46
E.	Preparation of Notice of Job Opportunity.....	46

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

F.	Posting of Notice of Job Opportunity	46
G.	Recommendations.....	47
H.	Recruitment Activities	47
I.	Review of Applications.....	47
J.	Interviews.....	47
K.	Identification and Selection of Applicant	47
L.	CMO Approval	48
M.	Pre-Employment Screening of Candidates	48
N.	Offers of Employment	49
O.	Reference Checks.....	49
P.	Post-Offer Testing.....	49
Q.	Credentialing and Verification.....	49
XII.	MISCELLANEOUS POLICIES	49
A.	Reclassifications/Promotions.....	49
B.	Temporary Assignments	49
C.	Transfers	49
D.	Training.....	49
E.	Compensatory Time and Overtime.....	49
F.	Discipline	49
G.	Desk Audits.....	50
H.	Demotions.....	50
I.	Layoffs/Recall.....	50

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

J.	Third Party Providers	50
XIII.	COOK COUNTY HEALTH AND HOSPITALS SYSTEM EMPLOYMENT PLAN AMENDMENTS	50
XIV.	CONCLUSION	50

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

I. INTRODUCTION

This Employment Plan sets forth the principles, procedures and policies governing hiring and employment by the Cook County Health and Hospitals System (“CCHHS”). This Employment Plan applies to all current Employees of the County who are assigned to CCHHS (“Employees”), as well as to all Applicants and Candidates for Positions with CCHHS. All undefined terms in this Section I will have the meanings given them in Section II below.

The mission of CCHHS is to provide quality healthcare to the residents of Cook County with dignity and respect regardless of their ability to pay. No Employment Action covering any Position in CCHHS may be based on any Political Reasons or Factors.

II. DEFINITIONS

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

ACP: See Advanced Clinical Professional

Actively Recruited Position: A high ranking or technical/professional Position for which the Applicant’s academic credentials, licensure, certification, or experience are important determinants for differentiation among Applicants. Actively Recruited Positions must meet specified Minimum Qualifications, including a Bachelor’s Degree or higher, except in the case of Certified/Licensed Healthcare Professional Positions and Medical Assistants. Actively Recruited Positions are not Direct Appointment Positions. Actively Recruited Positions fall into one of four categories:

- A. Positions for which a Minimum Qualification is a M.D., D.O., D.D.S., Ph.D., D.Sc., Dr.PH, J.D. or a Doctorate or Master’s Degree;
- B. Positions that are Certified/Licensed Healthcare Professional Positions working within CCHHS;
- C. Medical Assistants working within CCHHS; or
- D. Positions that (1) are not covered by any CBA; (2) are exempt from career service as defined in the CCHHS Personnel Rules and are at-will (unless the employee in the Position was hired into that Position prior to July 1, 2010); and (3) are either (a) responsible for the day-to-day performance of a high-level technical or professional function, or (b) responsible for the day-to-day supervision of at least three employees.

Actively Recruited Positions List: The list of all Actively Recruited Positions kept and maintained by the Employment Plan Officer pursuant to Section IX.T. A copy of the current Actively Recruited Positions List, which may be amended from time to time, is attached as Exhibit 1.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Advanced Clinical Professional Position: Clinical positions requiring licensure that qualifies an Employee to make independent decisions concerning diagnosis and/or treatment of patients. ACP Positions are not Direct Appointment Positions or Actively Recruited Positions. All ACP Positions must require one or more of the following licenses as a Minimum Qualification: Doctor of Medicine (M.D.), Doctor of Osteopathy (D.O.), Doctor of Podiatric Medicine (D.P.M.), Doctor of Dental Surgery (D.D.S.), Doctor of Dental Medicine (D.M.D.), Doctor of Psychology (Psy.D.), Advanced Practice Nurse (APN), Certified Registered Nurse Anesthetist (CRNA), Clinical Nurse Specialist, Nurse Midwife, Doctor of Nursing Practice, Nurse Practitioner, and Physician Assistant (PA). All persons selected for an ACP Position must possess the Minimum Qualifications for the ACP Position. A copy of the current ACP Position List, which may be amended from time to time, is attached as Exhibit 13.

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

Applicant Tracking and Application System (“ATAS”): The electronic employment application system implemented by the County and CCHHS to be used in the hiring of Employees within CCHHS.

Application Review Panel: A panel assembled to review applications for Actively Recruited Positions.

Asset Question: A question contained in an ATAS posting that is designed to identify whether an Applicant possesses a specific Preferred Qualification contained in the Job Description for that Position.

ATAS: See Applicant Tracking and Application System.

BHR: See Bureau of Human Resources.

Board: The Board of Commissioners of the County.

Bureau of Human Resources (“BHR”): The Cook County Bureau of Human Resources.

Candidate: An Applicant whose name is validated as eligible for a Position.

Career Service: A uniform system of recruitment, selection, promotion, discipline, and compensation set forth in certain Cook County Health and Hospitals System’s Personnel Rules designated as Career Service provisions and encompassing all Positions under the jurisdiction of the Cook County Health and Hospitals System’s Board that are not Exempt Positions under the Cook County Health and Hospitals System’s Personnel Rules.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Career Service Employee: An Employee who is in a Career Service Position and who has successfully completed the Probationary Period, including any extension thereto.

Career Service Position: A Position that is not an Exempt Position. Career Service Positions are covered by the Employment Plan and Personnel Rules.

CBA: See Collective Bargaining Agreement.

CCHHS: See Cook County Health and Hospitals System.

CCHHS Personnel Rules: Rules promulgated and published by CCHHS establishing its policies and procedures, as amended from time to time.

CCHHS Supplemental Policies Manual (the “Manual”): The manual of employment policies and procedures developed and maintained by DHR that explains the requirements of and procedures for conducting Employment Actions other than hiring covered in this Employment Plan, as amended from time to time.

CEO: See Chief Executive Officer.

CEO Report: The report issued by the CEO or his or her designee pursuant to Section IV.M.2.

Certified/Licensed Healthcare Professional Position: A CCHHS Position that involves the day-to-day performance of a high level technical health care-related function and requires post-high school education and a state-issued or other accredited organization’s license or certification in a health care-related field.

Certified/Licensed Healthcare Professional Positions List: The list of all Certified/Licensed Healthcare Professional Positions, which may be amended from time to time, a current copy of which is attached as Exhibit 2.

Chief Executive Officer: The Chief Executive Officer of CCHHS.

CHRO: See Chief Human Resources Officer.

Chief Human Resources Officer (“CHRO”): The Chief of Human Resources for CCHHS, also known as the CHRO.

Collective Bargaining Agreement (“CBA”): Any current collective bargaining agreement between the County and any legally-recognized collective bargaining representative applicable to designated Employees.

Compensatory Time: Time off earned by an Employee pursuant to the CCHHS Personnel Rules, the Manual, the rules of any applicable CBA, or any applicable law.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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.

Contact Log: The log maintained by the Office of the Independent Inspector General (the "OIIG") recording all Political Contacts from any Politically-Related Person or Organization or his, her or its representative regarding any Applicant, Candidate or Employee. A current copy of the Contact Log Reporting Form is attached as Exhibit 3.

Cook County Health and Hospitals System ("CCHHS"): The agency of the County established by Ordinance of the Board which constitutes the County's public health system.

Cook County Offices Under the President ("Offices under the President"): Any office, department or agency of Cook County that is under the jurisdiction and control of the President of the Board.

Corporate Compliance and Privacy Officer: The Employee in charge of corporate compliance for CCHHS.

County: The County of Cook, Illinois.

County Compliance Officer: The Employee who is in charge of compliance with the County's Employment Plan.

Day or day: A calendar day unless otherwise indicated.

Decision to Hire: The form completed by the Hiring Manager upon completion of a Candidate selection process, a current copy of which is attached as Exhibit 4.

Demotion: The Transfer of an employee from a Position in one classification to a different Position in another classification which is associated with a lower range of salary rates (i.e. a lower grade).

Department: A discrete area or group of services, either clinical or non-clinical, which the Chief Executive Officer or his/her designee identifies as a Department for purposes of this Employment Plan. A list of Departments is attached hereto as Exhibit A.

Department Head: An Employee assigned to head or direct a Department.

Department of Human Resources ("DHR"): The Department of Human Resources of CCHHS.

Direct Appointment Position: A high level, specialized professional Position for which academic credentials and total accumulated experience (or specialized experience) are important determinants for differentiating among Applicants, and: (1) has Minimum Qualifications requiring a Bachelor's Degree or higher and a minimum of three years of

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

work experience related to the Position, (2) is appointed by the CEO, (3) reports directly to the CEO or a Deputy CEO or reports to someone who is within two reporting levels of the CEO or a Deputy CEO as reflected on the CCHHS organizational charts, (4) is not covered by any CBA, (5) is exempt from career service under the CCHHS Personnel Rules and are at-will (unless the Employee in the Direct Appointment Position was hired prior to July 1, 2010 and was appointed to the Direct Appointment Position prior to March 12, 2013), (6) is responsible for the day-to-day performance of a high-level and specialized professional function, and (7) is not an Actively Recruited Position.

Direct Appointment Positions List: The list of all Direct Appointment Positions, which may be amended from time to time pursuant to Section VIII.J, a current copy of which is attached as Exhibit 5.

Discipline: An action taken by CCHHS in response to an Employee's behavior or performance pursuant to the applicable provisions of this Employment Plan, the CCHHS Personnel Rules, the Manual, or the rules of any applicable CBA.

Disqualifying Question: A question contained in an ATAS posting that is designed to identify whether an Applicant possesses a specific Minimum Qualification contained in the Job Description for a Position.

Emergency: A situation which has been certified pursuant to Section VII.E that involves a significant threat to public safety or health or patient care (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: An individual employed by the County and assigned to work at CCHHS (whether probationary, full-time or part-time, permanent or temporary) regardless of whether the employment is paid for by federal funds.

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

Employment Plan Officer ("EPO"): The Employee in charge of compliance who will perform all tasks and responsibilities as described in this Employment Plan and as may be assigned from time to time.

Employment Plan: This Employment Plan, which may be amended from time to time.

Executive Assistant Position: A Position that reports directly to a Direct Appointment Position, the primary duties of which include the performance of executive-level secretarial and clerical services for the Employee holding the Direct Appointment Position. Executive

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Assistant Positions are (1) not covered by any collective bargaining agreement, (2) exempt from career service under the Personnel Rules, and (3) at-will.

Executive Assistant Supervisor: The Employee holding the Direct Appointment Position to whom the Executive Assistant reports.

Chief Medical Officer (“CMO”): The Physician responsible for the medical operations throughout the Cook County Health & Hospitals System.

Exempt Employee: As defined in the Cook County Health and Hospitals System’s Personnel Rules, an individual employed by the County to work in an Exempt Position.

Exempt Position: As defined in the CCHHS’s Personnel Rules, a Position listed as Exempt from either the Career Service provisions of the CCHHS’s Personnel Rules or the Classification and Compensation Provisions of CCHHS’s Personnel Rules, or both, as set forth in Section 1.03 of said Rules.

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

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

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

Grant Funded Position: A County-employed position within CCHHS that is funded by a source other than the County.

Grant of Authority: The form signed by the CHRO, or his or her designee, authorizing the making of an offer of employment to a Candidate selected for hire. A copy of the current Grant of Authority, which may be amended from time to time, is attached as Exhibit 6.

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

Hiring Manager: The individual within a Department, who may also be the Department Head, responsible for processing the required documentation and following the procedures for hiring an Employee and for making a recommendation to hire pursuant to this Employment Plan.

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

Intern: A student of an accredited academic institution who is receiving credit from such institution for performing work at CCHHS, who may or may not receive compensation for such work.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Internal Applicant: An Applicant who (1) is an Employee in the relevant Department(s) at the time of application or (2) is considered an Internal Applicant subject to the terms of any applicable CBA.

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

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

Interview List: The list of Candidates who have been advanced to the interview stage pursuant to Sections V.I-J.

Interview Panel Ranking Form: The form used by interview panels to rank Candidates that includes a summary indicating the objective basis or bases on which any Candidate was recommended or not recommended for final selection by the interview panel, pursuant to Section V.O.2. A copy of the current Interview Panel Ranking Form is attached as Exhibit 7.

Interviewer Evaluation Form: The form used by interviewers during the interview process to document interviews and score individual Candidates for Positions as described in Section V.M.3. A copy of the current Interviewer Evaluation Form is attached as Exhibit 8.

Job Code: A code assigned to each job title.

Job Description: The written document that describes the day-to-day essential duties, related knowledge, skills and abilities required to perform those duties, Minimum Qualifications, Preferred Qualifications, if applicable, and any testing protocols. A copy of the current Job Description format is attached as Exhibit 9.

Minimum Qualifications: The objectively ascertainable qualifications that an Applicant must possess to be considered minimally eligible and qualified for employment in a Position. The Minimum Qualifications are specified in the Job Description.

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 all Employment Actions) is attached as Exhibit 10.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Notice of Job Opportunity: The publicly available notice of a Position opening on ATAS and on CCHHS' website.

NPCC: See No Political Consideration Certification.

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

Offices Under the President: See Cook County Offices under the President.

OIIG: See Office of the Independent Inspector General.

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

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

Overtime: Time worked by an Employee beyond the regularly-assigned schedule, for which additional compensation is earned in accordance with the CCHHS Personnel Rules, the Manual, any applicable CBA, or any applicable law.

Performance Review: A formal written review of an Employee's performance.

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 Employee or any Applicant, potential Applicant or Candidate for a Position.

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

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

Position: Any County employment position within CCHHS.

Preferred Qualifications: The objectively ascertainable qualifications contained in the Job Description that are preferred in an Applicant (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 possess the Minimum Qualifications of the Position, also referred to as the “Completed Submission List” on ATAS.

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

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

Reclassification: The process by which a Position is reclassified to another classification pursuant to the Personnel Rules, the Manual, or applicable CBA provisions.

Recruiting Consultant: An outside third-party consulting company or individual retained by the County through CCHHS for the purposes of recruiting Applicants or the performance of other efforts including screening of Candidates, conducting verifications including but not limited to, professional reference verification, verification of current and/or previous employment, verification of education, certifications, licenses, credentials, etc.

Request to Hire (“RTH”): The form completed by a Department Head and submitted to DHR, 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 11.

RTH: See Request to Hire.

Supervisor: Any Employee who, among other managerial duties, has the authority to perform all of the following duties: interview Candidates, identify/select Candidates, execute discipline of Employees, and recommend separation of Employee(s).

Termination: The involuntary separation of an Employee from employment.

Transfer: The transfer of an Employee from one Position to another Position within the Employee’s current Department without changing the Grade or title held by the Employee.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

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

Upgrade: The process by which a Position is upgraded from one pay grade to a higher pay grade pursuant to the CCHHS Personnel Rules.

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

Veterans' Preference: The County's preference to interview eligible Veteran Applicants.

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

III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO COOK COUNTY HEALTH AND HOSPITALS SYSTEM HIRING

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

A. Commitment. CCHHS will implement proactive and transparent employment-related policies, practices and procedures that will prevent and remedy the negative effects of Unlawful Political Contacts and Unlawful Political Discrimination as required by Ordinances and applicable law. No CBA or other agreement between the County or CCHHS and any other individual or entity will provide otherwise.

B. No Employment Actions Influenced By Political Reasons or Factors. No Employment Action affecting any Position may be influenced by any Political Reasons or Factors.

C. Unlawful Political Discrimination Reporting. Any Employee who learns of or has a reasonable belief that Unlawful Political Discrimination 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. All Employees are required to cooperate fully in any investigation of such matter conducted by OIIG. Any Employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including Termination, provided such reporting and cooperation are not required if either would violate the Employee's constitutional rights.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

The above notwithstanding, an Employee is not required to complete a Contact Log Reporting Form if (1) the contact is from an Employee who holds a political position or office who is authorized to engage in departmental or Employee reviews or inquiries that are required in conjunction with such individual's general management duties and (2) the contact concerns the normal day-to-day operations of CCHHS and does not concern Political Reasons or Factors. Nothing in this Section III.D will affect any Employee's obligation to report Unlawful Political Discrimination.

E. Equal Employment Opportunity. The County and CCHHS are committed to diversity and to providing equal employment opportunity regardless of race, sex, sexual orientation, age (40 and over), religion, gender identity, national origin, disability or any other legally protected status.

F. No Retaliation. The County and CCHHS, will continue to prohibit retaliation, punishment or penalty for reporting a Political Contact, initiating a complaint related to any alleged Unlawful Political Contact, Unlawful Political Discrimination, or violation of this Employment Plan or the Manual, or cooperating with or assisting the EPO, the County Compliance Officer, BHR, DHR, the OIIG or any other person or authority in connection with any such report or complaint.

G. DHR Staff. CCHHS will maintain a staff of experienced and knowledgeable professionals who meet the Minimum Qualifications contained in the Job Descriptions for the Positions. Such persons will be responsible for fulfilling CCHHS's obligations under this Employment Plan.

H. Commitment to Support OIIG Functions. It is further understood that CCHHS' enduring commitment to ensuring fair and equitable practices and procedures will require vigilance and cooperation with the OIIG when it conducts investigations and reviews, performs compliance monitoring duties, and conducts general oversight functions. To this end, CCHHS expressly acknowledges its commitment to supporting the mission of the OIIG to independently, effectively and expeditiously carryout such duties and functions.

I. Union Relations. The County and CCHHS respect their relationships with their Employees' legally-recognized collective bargaining representatives and the provisions of the CBAs it has negotiated with such representatives. Those relationships are governed by the Illinois Public Labor Relations Act, 5 ILCS 315, et seq., as amended, and this Employment Plan, and the CCHHS Personnel Rules will be construed and administered

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

consistently 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 conflicts with the language in this Employment Plan or the CCHHS Personnel Rules, the language in the CBA will govern provided it does not permit or involve the use of any Unlawful Political Contact or Unlawful Political Discrimination. If any provision in a CBA allows for management discretion involving any Employment Action, such management discretion must be exercised subject to the Ordinances, applicable law, the Employment Plan and the CCHHS Personnel Rules. If the CBA does not contain a specific procedure or is otherwise silent, the relevant procedure in this Employment Plan or the CCHHS Personnel Rules must be followed.

J. NPCC. All Employees are required to sign, in hard copy or electronically, as applicable, an NPCC whenever they initiate or are involved in any Employment Action. Such NPCC will be incorporated into or attached to all applicable forms and ATAS as described in this Employment Plan.

K. Interpretation of 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 applicable law and Ordinances.

L. Cooperation. All Employees must cooperate with any investigation or inquiry conducted by the EPO, DHR or OIIG . Failure to cooperate with any such investigation or inquiry may result in Disciplinary Action up to and including Termination.

IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO COOK COUNTY HEALTH AND HOSPITALS SYSTEM DEPARTMENT OF HUMAN RESOURCES

DHR is responsible for establishing, directing, coordinating and overseeing the human resources processes, policies and procedures of CCHHS relating to all Employment Actions. Nothing herein prohibits CCHHS from fulfilling these responsibilities by delegating some or all of them to BHR on a temporary or ongoing basis, provided BHR complies with all provisions of this Employment Plan.

The following will apply to activities of DHR and to BHR, to the extent it is fulfilling these responsibilities on behalf of CCHHS:

A. Employment Plan Policies and Procedures Manual. DHR will draft and maintain the Manual that is consistent and complies with and effectuates all provisions of this Employment Plan. DHR may revise and update the Manual as required, provided DHR will not revise or update any policy or procedure without first sending a copy of the proposed revision or update to the EPO and OIIG for comment and approval. If approved or if no comment is received within 10 calendar days, DHR will post and update as necessary the Employment Plan and the Manual on the CCHHS website. If not approved by the EPO or OIIG, the revision or update will not be made.

B. Quarterly Report. DHR will post on the CCHHS website quarterly reports of the total number of hires, Promotions, Demotions, Transfers, Terminations and resignations

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

by Department during the preceding three-month period, including: (1) the number and type of each such Employment Action; (2) the dates of each Employment Action; (3) the title of the Position; and (4) whether such Employment Action was pursuant to Section V or a specific exception to the General Hiring Process identified in Sections VII-XII.

C. Employment Plan Officer.

1. Selection and Reporting. The EPO will be hired pursuant to the processes set forth in Section IX.C except that the EPO will be selected by the CEO after considering the recommendation of an interview panel consisting of the Cook County Independent Inspector General, the CHRO, and the CCHHS General Counsel. The EPO will report to the CEO.

2. Responsibilities. The EPO's primary responsibilities will include, but not be limited to: (a) overseeing compliance with this Employment Plan; (b) actively developing strategies for CCHHS Employment Plan compliance as well as any necessary policies and procedures to achieve Plan compliance; (c) understanding the CCHHS organization, its business and operational objectives and needs, and its staffing needs; (d) accepting and investigating complaints related to Employment Actions and this Employment Plan; (e) taking appropriate steps to evaluate, eliminate, remedy and report instances of Political Contacts and Unlawful Political Discrimination; (f) implementing training programs, preparing training materials and conducting training; (g) reviewing and overseeing compliance with the portions of the Manual concerning Employment Actions; (h) conducting auditing activities in a manner that minimizes interference with or hindrance of operations; (i) maintaining the Direct Appointment Positions List; and (i) working directly with DHR and Department Heads, as necessary, on all of the above. The EPO will also issue semi-annual reports by March 15 and September 15 each year to the CEO, CHRO, and the OIIG 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 this Employment Plan discovered; (iii) any remedial actions recommended; and (iv) any corrective action taken by CCHHS to address the violations. This corrective action can include, but is not limited to, revocation of an Employee's authority to make hiring decisions for a set period of time. The EPO's semi-annual reports will be posted on the CCHHS website.

3. Termination. The EPO will be an Employee, will be exempt from career service as set forth in the CCHHS Personnel Rules, and will be an at-will employee serving at the pleasure of the CEO. Termination of the EPO is subject to 90 days' prior written notice of termination or 90 days' salary continuation in the event of involuntary Termination for any reason other than cause and subject further to the CEO sending written advance notice to the OIIG describing the reasons for Termination. The OIIG will review the facts and circumstances of the Termination to determine if it is based on Political Reasons and Factors or otherwise in violation of this Employment Plan or the Ordinances. The OIIG will memorialize its findings and provide the same to DHR. DHR shall post the OIIG's written findings on CCHHS' website.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

D. DHR Personnel Training. The EPO will provide comprehensive mandatory training programs for all personnel within DHR 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. The EPO, in conjunction with the CHRO or his or her designee, will also conduct mandatory comprehensive training of all DHR Employees who will review and validate applications for any Position before they conduct such review and validation. Such training will include information concerning proper validation and review protocols. Such training will be conducted no less frequently than once a year and no later than 90 days after any individual becomes an Employee in DHR. Receipt of such training must be kept by the Employment Plan Officer and recorded in CCHHS's learning management system. DHR will continue to provide training to DHR personnel regarding changes to this Employment Plan and the Manual as necessary.

E. Supervisor/Interviewer Training. The EPO, in conjunction with DHR, will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this Employment Plan and the Manual. The EPO, in conjunction with DHR, will conduct mandatory comprehensive training of all Supervisors on proper interviewing conduct, techniques and requirements, as well as the prohibition of Unlawful Political Contacts and Unlawful Political Discrimination. The CHRO 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 Hiring Manager when he or she is assembling an application review or interview panel. Only Supervisors who have been certified will be eligible to participate in any such review or interview panel. All Supervisors will receive such training no later than 90 days following their appointment as a Supervisor and no less frequently than annually thereafter. The EPO, in conjunction with DHR, will continue to provide training to Supervisors regarding changes to this Employment Plan and the Manual as necessary.

F. Employee Training. The EPO, in conjunction with DHR, will conduct comprehensive mandatory training of all Employees to ensure they are aware of and knowledgeable about this Employment Plan, the Manual and Unlawful Political Discrimination. All Employees will receive such training no later than 90 days following the beginning of employment and no less frequently than annually thereafter. The EPO, in conjunction with DHR, will continue to provide training to Employees regarding changes to this Employment Plan and the Manual as necessary. All current Employees will receive such Employment Plan training within one year of the date this Employment Plan is filed with the Court.

G. Access to Information Regarding Applicants. The CHRO or his or her designee will take steps to ensure that no information about any Applicant or Candidate is available to or shared with any party unless he or she is specifically authorized to receive such information. The CHRO or his or her designee, with written notice to the EPO, will designate specific Employees of DHR 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

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

and the provisions of this Employment Plan, and all Employees will be required to execute a NPCC whenever they access ATAS.

H. Review of Job Descriptions. All Job Descriptions must include: (a) day-to-day essential duties, (b) related knowledge, skills and abilities required to perform those duties; (c) a list of all Minimum Qualifications, (d) a list of any Preferred Qualifications, if applicable; and (e) any testing protocols, if applicable. Job Descriptions must be accurate and readily available to the public. Accordingly, the CHRO or his or her designee will: (1) consult with the Department Head of the Hiring Department or his or her designee and appropriate staff, if necessary, and review the Job Description for each Position for which the DHR receives a RTH to ensure that it is accurate and reflects the current duties, Minimum Qualifications and Preferred Qualifications, if applicable, necessary to perform the job; (2) conduct an evaluation of Job Descriptions as vacancies are posted to ensure they accurately describe all Minimum Qualifications, Preferred Qualifications, if applicable, and testing protocols, if applicable, and reflect the actual duties of the Positions; (3) update and revise any Job Descriptions that are not accurate; (4) Job Descriptions will accompany all postings on ATAS; and (5) Job Descriptions will be added to the CCHHS website on a rolling basis as they are posted on ATAS. The CHRO, or his or her designee, may consult with the EPO and outside consultants as needed. The CHRO, or his or her designee, will make available all revised Job Descriptions to the EPO. DHR may review and update Job Descriptions independent of whether there is an anticipated posting. DHR may not consider the particular qualifications of an anticipated Applicant or Candidate when modifying a Job Description. Department heads shall promptly notify the CHRO of any material changes to the duties and responsibilities of Positions within his or her Department and any changes to the required licenses or certifications for a Position to allow DHR to determine if the Job Descriptions should be updated.

I. Cooperation with the EPO, Corporate Compliance and Privacy Officer, and OIIG. All staff of DHR will cooperate fully and at all times with the EPO, the Corporate Compliance and Privacy Officer, and the OIIG and will immediately report any allegations of Unlawful Political Discrimination or Political Contacts, provide documents and information regarding any such allegations and provide any information or assistance requested by the OIIG, Corporate Compliance and Privacy Officer or EPO in furtherance of their missions and assist in any investigation, unless specifically prohibited by applicable law.

J. Complaint Line. DHR will post the hotline telephone number of the OIIG and CCHHS at all places where individuals apply for employment with CCHHS, on its bulletin boards, and on the CCHHS website. CCHHS will include a link to OIIG's and CCHHS' hotline on its website. The hotlines will allow individuals to call the OIIG or the Corporate Compliance and Privacy Officer on an anonymous or credited basis.

K. Forwarding of Complaints. DHR will forward all calls and information alleging that an Employment Action involves Unlawful Political Discrimination or reporting a Political Contact (or a written transcript of the message) to the OIIG for investigation pursuant to Section IV.M. If the allegation involves a violation of this Employment Plan or the Manual (other than a report of a Political Contact or allegation of Unlawful Political

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Discrimination), DHR will forward the calls and information to the EPO, who will handle it in accordance with Section IV.L.

L. Violations of the Employment Plan Not Involving Unlawful Political Discrimination or Political Contacts. If any Employee becomes aware of or receives a complaint that involves an allegation of a violation of this Employment Plan, the CCHHS Personnel Rules, or the Manual in connection with an Employment Action which has not been reported as a Political Contact or Unlawful Political Discrimination, the Employee will report the complaint to the EPO. The EPO will do the following upon receipt of such complaint or in the event he or she becomes aware of such a violation or has reason to believe such a violation has or may have occurred or may occur:

1. Employment Plan Officer Investigation. Upon receipt of a reported complaint pursuant to Sections IV.L-M, the EPO shall investigate the matter. Such investigation will include, but not be limited to, a review of all relevant documents and interviews with witnesses. The EPO will make every effort to conclude all investigations within 180 days of receiving a complaint. If an investigation cannot be completed within 180 days, the EPO must provide the complainant with written notice of the delay. If at any time during an investigation, the EPO determines that there is reason to believe a Political Contact or Unlawful Political Discrimination is involved or the matter is otherwise within the jurisdiction of OIIG, he or she will immediately log the Political Contact, as applicable, and refer the matter in writing to the OIIG for investigation. The EPO may coordinate with the OIIG to investigate further any aspect of the violation that does not involve a Political Contact or Unlawful Political Discrimination. The EPO may consult with the CHRO or his or her designee during the investigation as necessary. In the event the EPO has a Conflict of Interest involving the individual who is the subject of the investigation or the individual is a direct report to the EPO, the matter shall be referred to the OIIG for independent review and investigation.

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

- a. A description of the complaint, a description of the investigation, and any other relevant information;
- b. A description of any violation of or non-compliance with this Employment Plan, the CCHHS Personnel Rules 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 EPO may deem relevant to the investigation or resulting recommendations.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

4. Preparation of Redacted Incident Report and Submission to DHR. The EPO will also submit a copy of the Incident Report to the CHRO or his or her designee and the CEO. Before doing so, the EPO will redact from the Incident Report the names of any informants, complainants, witnesses, and, when no violation or non-compliance was found, the names of persons accused or implicated, except to the extent necessary to implement the proposed recommendations. The EPO may also redact from the Incident Report all information that is protected by statute or other applicable law or privilege (e.g., Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc. Should the CCHHS General Counsel determine that obtaining any information redacted in an EPO Incident Report is necessary to defend CCHHS in connection with a grievance, administrative charge, litigation, arbitration or any other legal matter, the CCHHS General Counsel will specify the information in the redacted Incident Report he or she is requesting to be produced by the EPO; the EPO shall provide the requested information to the CCHHS General Counsel.

5. Review and Disposition of Incident Report and Preparation of DHR Report. If the Incident Report finds that no violation or non-compliance occurred, DHR will file the Incident Report, including the disposition, and no DHR Report will be required. DHR will provide the OIIG with a copy of the Incident Report and disposition. If the Incident Report contains a finding of a violation or non-compliance with this Employment Plan and/or includes a recommendation of corrective action, the CEO or his or her designee and the CHRO or his or her designee will review the Incident Report with the Department Head of the Department involved in the complaint, and the CEO will determine what action will be taken. The CHRO or his or her designee will prepare a DHR Report within 30 days of receiving the Incident Report: (a) confirming implementation of the EPO's recommended action, or (b) explaining why the recommended action was not implemented and describing the alternative action the CEO has elected to take and the specific reasons for such alternative action. The CHRO or his or her designee may suspend or terminate the hiring process (if applicable) and impose other remedial actions pending completion of the Incident Report and DHR Report. The CHRO or his or her designee may send a written request to the EPO for an extension of up to 30 days to issue the DHR Report. Such a request will be approved unless it would create an undue burden for the EPO. If the Personnel Rules or a CBA contains a shorter time period for initiating disciplinary action, DHR will take any steps necessary to comply with those shorter time limits.

6. Availability of Reports. The DHR Report will be sent to the EPO and OIIG, and made available to the public upon request to the EPO. Such request made to the EPO may be made in person, via e-mail, or by mail. The EPO will provide the requested Incident Report and/or DHR Report in the same manner as requested within 10 days of the request. CCHHS will place notice of such availability and procedure for requesting Incident Reports and DHR Reports on its website. Incident Reports and DHR Reports that are available to the public will not include any names or other personally-identifiable information, and the EPO will redact from Incident Reports and-DHR Reports the names

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

of any informants, complainants, witnesses and persons investigated prior to releasing any Incident Report or DHR Report to the public. The EPO shall provide a copy of the redacted Incident Report and redacted DHR Report to the employee who submitted the original complaint to the EPO, unless the complaint was made on an anonymous basis.

7. Violations of the Employment Plan. Violations of this Employment Plan may result in Discipline up to and including Termination.

M. Violations of the Employment Plan Involving Unlawful Political Discrimination or Unlawful Political Contacts. If any Employee becomes aware of or has reason to believe a Political Contact or Unlawful Political Discrimination has or may have occurred or receives a complaint that involves an allegation of Unlawful Political Discrimination or a Political Contact, he or she will do the following:

1. Referral to the OIIG and OIIG Summary Report. The EPO or DHR will refer, or Employees will report, all such incidents of Political Contacts and allegations of Unlawful Political Discrimination to the OIIG. The OIIG will receive such reports and referrals, or any other complaint or report of potential Unlawful Political Discrimination or Political Contact, in accordance with the OIIG Ordinance and act in accordance with its authority. Should the report, referral or complaint warrant an investigation, at the conclusion of any such investigation by OIIG, the OIIG will submit an OIIG Summary Report containing its findings, if any, as to the merit of the allegations and recommended actions to the CEO, with a copy to the CHRO or his or her designee and the EPO .

2. CEO's Review and Report. The CEO or his or her designee and the CHRO or his or her designee will review the OIIG Summary Report with the Department Head of the Department involved in the complaint. If the OIIG Summary Report contains a finding that an Unlawful Political Contact or Unlawful Political Discrimination has occurred and/or includes a recommendation of corrective action related to an Employment Action or an OIIG finding of a violation of the Employment Plan, within 30 days of receipt of the OIIG Summary Report, the CEO or his or her designee will prepare a CEO Report, which will include the following:

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

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

implemented and a description of any alternative action the CEO has elected to take and the specific reasons for such alternative action.

The CEO or his or her designee may send a written request to the OIIG for an extension of up to 30 days to issue the CEO's Report. The OIIG will approve such a request unless it would create an undue burden for the OIIG. If the Personnel Rules or a CBA contains a shorter time period for initiating disciplinary action, DHR will take any steps necessary to comply with those shorter time limits.

3. Availability of Reports. CEO Reports will be sent to the EPO and OIIG. The CEO Report will also be posted on the CCHHS website. CEO Reports that are posted on the CCHHS website will not include any names or other personally-identifiable information, and the EPO will redact from the CEO Report the names of any informants, complainants, witnesses and persons investigated prior to posting the CEO Report to the public. The EPO shall provide a copy of the redacted CEO Report to the OIIG. OIIG shall provide a copy of the redacted CEO Report to the individual who submitted the original complaint to the OIIG, unless the complaint was made on an anonymous basis.

N. Recordkeeping. DHR will keep Interview Files for a minimum of three years following the date of a Notice of Job Opportunity posting, unless longer retention is required by law. DHR will also keep personnel files for Employees for a minimum of three years after the date the Employee is no longer employed by CCHHS, or longer, if required by law or under any applicable CBA.

O. General Principles and Responsibilities Related to ATAS. The implementation and use of ATAS will comply with CCHHS' commitments and obligations under this Employment Plan, Ordinances, applicable law, and as follows:

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

2. NPCC. All Employees 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 Electronic Employment Action Activities. The EPO and the OIIG will have full and continual access to review and monitor all Employment Action-related activities of Employees using ATAS, Cook County Time (CCT), and Oracle EBS Human Capital Management (HCM) to ensure the policies and procedures are being followed and to assist in any investigation of violations of the same.

P. Ineligible for Hire List.

1. The CHRO, or his or her designee, shall create and maintain a list of individuals who were previously employed with CCHHS, contracted to perform work for CCHHS, or who applied for employment with CCHHS and who would be considered disqualified or ineligible for employment for five (5) years if the individual was terminated or deemed ineligible for consideration for employment as a result of the following:

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

- a. any of the reasons listed in the CCHHS Personnel Rules (Rule 3.04(b)(1), (5), (6), (8), (9), (10), (11), (12), (13), (14) and (15));
- b. a finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in prohibited Political Activity (as described in the Cook County Ethics Ordinance)
- c. a finding by the OIIG or EPO that the individual intentionally provided materially false information to the OIIG or EPO or otherwise obstructed or refused to cooperate with an investigation of the OIIG or EPO; or
- d. a finding by the OIIG or EPO that the individual falsified a County document concerning any County Employment Action.

2. The CHRO shall disqualify or deem an individual ineligible for employment with for five (5) years and placed on the Ineligible for Hire List if an individual resigned or retired in lieu of Termination and it was determined by the CHRO that said individual would have otherwise been terminated or deemed ineligible from consideration for employment as a result of the following:

- a. any of the reasons listed in Personnel Rules (Rule 3.04(b)(1), (5), (6), (8), (9), (10), (11), (12), (13), (14) and (15));
- b. a finding by the OIIG that the individual engaged in Unlawful Political Discrimination or engaged in prohibited Political Activity (as described in the Cook County Ethics Ordinance); or
- c. a finding by the OIIG or EPO that the individual intentionally provided materially false information to the OIIG or EPO or otherwise obstructed or refused to cooperate with an investigation of the OIIG or EPO; or
- d. a finding by the OIIG or EPO that the individual falsified a document concerning any CCHHS Employment Action.

3. Process for Placement on Ineligible for Hire List. Individuals whose names are added to the Ineligible for Hire List will be given notice by the CHRO or his or her designee prior to being added, which notice will include a copy of the applicable Personnel Rule(s) upon which the action is based. Such individuals, except those employees that are exempt from Career Service, may appeal the decision in writing to the CHRO within 30 days of the date the notice is sent. Unless reversed by the CHRO in writing, with a copy of the justification for the reversal to the EPO and the OIIG, such individuals will remain on the Ineligible for Hire List for five (5) years.

4. List Requirements and Usage. The Ineligible for Hire List shall include the following: (1) name of the former employee, contractor, or Applicant; (2) title of last position; (3) reason for placement on the Ineligible for Hire List (i.e. "Termination Disciplinary" for Career Service Employees or Employees covered under a CBA, "Resignation in lieu of

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Discharge” for Employees that resign after having been served with charges or after having been otherwise informed by CCHHS that the Employee had committed a major cause infraction, and “Discharge” for at-will Employees); (4) date of placement on the Ineligible for Hire List; and (5) date for removal from the Ineligible for Hire List.

The Ineligible for Hire List will be maintained by DHR, and DHR will promptly provide copies of the Ineligible for Hire List and any revisions to the EPO, BHR, and the OIIG within 10 days of any changes. DHR will use the Ineligible for Hire List during the validation process for all hiring processes in this Employment Plan. Any Applicant who is ineligible for consideration for any CCHHS or County hiring process, will have such ineligibility confirmed by the DHR Chief and the EPO before being excluded from further consideration for that hiring process. The basis for such ineligibility will be documented on ATAS by the DHR Chief or his or her designee. Failure of the DHR Chief or the EPO to confirm or document ineligibility will not bar later action to remove an ineligible individual if hired in violation of this Section.

5. Changes to the Ineligible for Hire List. The EPO and the OIIG will be notified in writing at least five (5) business days in advance of an individual being removed from the Ineligible for Hire List in order to permit the EPO and the OIIG the opportunity to consult the CHRO or his or her designee to determine whether the appropriate time period for ineligibility has been instituted and/or expired.

The EPO will maintain a copy of the Ineligible for Hire List which will be made available to the public upon request to the EPO. The Ineligible for Hire List shall be provided to the requesting party within 10 days of the request.

V. GENERAL HIRING PROCESS

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

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

1. Job Postings. All Positions which CCHHS is seeking to fill will be posted on CCHHS’ website and on ATAS. Positions may also be posted at any location(s) in accordance with any applicable CBA. In addition, CCHHS may publicize Positions to schools, professional organizations, labor organizations, professional publications, online job posting sites, community organizations and post in any other appropriate location(s) in order to generate as large a pool of qualified Applicants as possible. All information contained in any publications regarding a Position, including ATAS, must be consistent with the approved Job Description for that Position.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

2. Recruiter Training. All Employees who engage in any recruitment activity on behalf of CCHHS as part of their job duties, will receive training in proper recruitment practices that comply with this Employment Plan prior to engaging in such recruitment activity. Such training will be certified in writing by the CHRO or his or her designee and included in the Employee's personnel records. All training materials used must be approved in writing by the EPO prior to use. Sending notifications of postings to schools, professional organizations, labor organizations, professional publications, online job posting sites and community organizations and posting in any other appropriate location(s) to generate a large pool of qualified Applicants will not be considered engaging in recruitment activities for purposes of this Employment Plan.

3. Recruitment Event Participation. All Employees of DHR 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. Such Employees will provide prominent written notice to attendees at such events that CCHHS does not hire or accept recommendations for Positions based on Political Reasons or Factors.

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

1. Submission of RTH. The RTH, approved by the Department Head responsible for recruiting the Position, must be submitted to the CHRO or his or her designee, along with the corresponding Job Description, an NPCC and documentation from the Chief Financial Officer of CCHHS or his or her designee, that the Position is approved and funded.

2. Current Job Description. The RTH must be accompanied by a copy of the current Job Description containing a list of the day-to-day essential duties, related knowledge, skills and abilities required to perform those duties, Minimum Qualifications, Preferred Qualifications, if applicable, and any testing protocols. DHR will review the Job Description as provided in Section IV.H. If no Job Description exists, the Hiring Manager is requesting a material alteration of the previous Job Description, or the Hiring Manager claims the current Job Description is not accurate, the Hiring Manager and the CHRO or his or her designee, with notice to the EPO, will draft a new or updated Job Description that accurately reflects the requirements of the Position. The updated Job Description will be included with the RTH packet and placed on the shared drive. The CHRO or his or her designee will conduct a review of the Job Description, if applicable, in compliance with Section IV.H.

3. Internal Candidate Preference. A Department Head may request on a RTH that a Position be designated as eligible for an Internal Candidate Preference, and that Internal Applicants holding Positions within that Department seeking to fill the Position be excluded from the randomization procedures described in Section V.I.4. Such request will include a description of the specific basis or bases for such requested designation on the RTH and be submitted in accordance with this Section V.B. The request must also include: (a) the number of employees in the department; (b) the number of internal candidates who

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

may qualify for the position; (c) an identification of the specific skills, training, experience, etc. internal candidates possess that is unique to the department and would provide an advantage in carrying out the duties and responsibilities of the Position; (d) provide, in detail, why internal candidate preference is beneficial to the department; and (e) in the event internal candidate preference is not approved, provide, in detail, how having a non-department employee (who could be a CCHHS employee or an external candidate) fill the role will impact the department. The CHRO or his or her designee will review all requests that a Position be designated as eligible for an Internal Candidate Preference and will determine whether the request is appropriate based on the Department Head's justification, the nature and level of the Position, and the likelihood that the experience of the current Employees in the Department seeking to fill the Position will be beneficial in carrying out the duties and responsibilities of the Position being posted. The CHRO or his or her designee may request in writing that the Department Head provide additional information. If the CHRO or his or her designee determines the Position is not appropriate for eligibility for an Internal Candidate Preference, the Department Head's request will be denied. The CHRO or his or her designee will notify the Department Head of his or her decision and send a copy to the EPO and the OIIG.

4. Distribution of Completed RTHs. The CHRO or his or her designee will provide written copies of all completed RTHs to the EPO within fifteen days of receipt.

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

1. Prohibited Contacts. Except as provided in Section V.C.2, no Employee, County employee, or actual or potential Applicant may contact any Employee involved in any Employment Action and attempt to influence any Employment Action unless he or she is an authorized participant in the Employment Action and such contact is within the scope of the Employee's authorization.

2. Permitted Recommendations. The prohibitions of Section V.C.1, do not limit the right of any person, including any Politically-Related Person or Organization, or any 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; provided the following procedures are followed:

a. All written recommendations for any Applicant or Employee will be reviewed by the CHRO or his or her designee, and the EPO for compliance with this Section V.C.2. Only recommendations that comply with Section V.C.2 will be included in the individual's application materials.

b. The EPO will immediately forward a Contact Log Reporting Form and copies of all such written recommendations made by any Politically-Related Person or Organization to the OIIG.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

c. The EPO will review the recommendation from the Politically-Related Person or Organization and conduct an investigation to determine whether the recommendation complies with this Section V.C. The EPO will document the reasons for his or her determination of whether the Political Contact complies with this Section V.C. A copy of the EPO's determination will be provided to OIIG.

d. Pursuant to Section IV.M., the OIIG will act in accordance with his or her authority and advise the EPO whether the contact constitutes an Unlawful Political Contact within five days of the date the OIIG makes a determination regarding the recommendation.

e. If the OIIG determines the contact constitutes an Unlawful Political Contact, the OIIG will take appropriate action, and the recommendation will not be considered and will not be included in the Applicant's application materials. Recommendations that are not determined to be Unlawful Political Contacts will be included in the individual's application materials absent other recorded reasons for their exclusion.

D. Preparation of Notice of Job Opportunity. The CHRO or his or her designee will prepare the Notice of Job Opportunity on ATAS in accordance with the following:

1. Mandatory Training. Employees of DHR assigned to prepare the Notice of Job Opportunity will receive advanced training on the proper use and operation of ATAS.

2. Confirmation of Accuracy. Employees of DHR assigned to prepare the Notice of Job Opportunity will complete a Notice of Job Opportunity based on information contained in the RTH and the current Job Description. The Employees of DHR assigned to prepare the Notice of Job Opportunity will take steps to ensure that all information, including, but not limited to, the Job Description, the Notice of Job Opportunity, and all Disqualifying Questions and Prescreening Questions, if applicable, are accurate and relate to the duties of the Position as described in the Job Description.

3. Contents of Notice. The Notice of Job Opportunity and the ATAS posting, will include, but not be limited to: (a) the job title and Job Code; (b) a summary or copy of the Job Description; (c) Grade or indication of competitive salary; (d) directions on how and where to apply; (e) whether the posted Position is open to Internal Applicants only; (f) the union name (if applicable); (g) the time period during which applications will be accepted; (h) a non-discrimination clause; (i) a list of all certifications, licenses and documents that the individual must produce in order to be considered eligible for the Position; (j) a request for professional references; (k) a description of any tests that will be administered and the scores or proficiency level that must be achieved on those tests for an Applicant to be considered eligible for the Position; and (l) a statement to the effect that CCHHS does not hire based on Political Reasons or Factors.

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

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

1. Posting Location(s). 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 the provisions of any applicable CBA.

3. Posting Period. All Notices of Job Opportunity will be posted for a minimum of 14 calendar days. If DHR decides to extend the final date for posting, a notice of such extension and a revised posting closing date will be added to the Notice of Job Opportunity posted on ATAS. Notice of the extension will immediately be given to the EPO and will include an explanation of the reason for the extension.

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

G. Permitted Contacts from Applicants. Applicants may contact DHR with any questions they may have with respect to the application process. Applicants with disabilities may contact DHR to request an accommodation during the application process. In the event DHR has delegated certain hiring functions to BHR, applicants may contact BHR as set forth in this Section V.G.

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

I. Creation of Preliminary Eligibility List and Interview List. After the final posting closing date, DHR will prepare a Preliminary Eligibility List using the procedures in Sections V.I and an Interview List using the procedures in Sections V.I.2-4 and V.J.

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

2. Internal Candidate Preference. This Section applies only to Positions that are approved as eligible for an Internal Candidate Preference pursuant to Section V.B.3. The applications for all Internal Applicants, including any Internal Applicant who is eligible for a Veteran's Preference, (i) who appears on the Preliminary Eligibility List; (ii) who works in the Hiring Department or related Bureau seeking to fill the Position; and (iii) whose application indicates the Applicant possesses the Minimum Qualifications, will be validated and, if eligible, added to the Interview List pursuant to Sections V.I-J without any computer-based randomization. If after validating applications from Internal Applicants, there are 10 or more Candidates for a single vacancy or five or more Candidates

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

per vacancy for multiple Vacancies on the Interview List, DHR will not validate the applications of any other Applicants on the Preliminary Eligibility List for such vacancy. If after this validation there are less than 10 Candidates on the Interview List for a single vacancy or less than five Candidates per vacancy for multiple vacancies, DHR will proceed to validate the additional applications following the procedures in Sections V.K.3 and 4.

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

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

5. Notice of Randomization. The EPO will be notified at least 24 hours in advance of any randomization of names pursuant to this Section V.I and may be present during any such randomization process.

J. Validation Procedures. DHR will validate applications by reviewing the information contained on the applications and resumes of Applicants listed on the Preliminary Eligibility List as follows. All Applicants validated and deemed eligible pursuant to this Section V.J, will be placed on the Interview List.

1. Validation of Experience/Education/Licensure. DHR will review the background information concerning the Applicant's work experience and education contained on the online application, resume and copies of any licenses, diplomas and

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

certifications submitted on ATAS and compare them with the Applicant's responses to the Disqualifying Questions. In the case of Positions for professionals licensed by the State of Illinois, DHR or its Designee will conduct online verification of this licensure. Proof of required licensure will be considered sufficient proof of the minimum educational requirements necessary to obtain such license. In the case of Positions for which a college degree is required, proof of a related higher degree may be considered sufficient proof of the minimum educational requirements.

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

3. Validation of Disciplinary History for Internal Candidates and Former Employees of CCHHS and of Offices Under the President. Following the validation procedure described in Sections V.J.1-2, DHR will conduct the following review. DHR will review the personnel files of those Candidates who are (a) Internal Applicants or (b) External Applicants who indicated on their applications that they were employed by CCHHS or Offices Under the President at any time during the 12 months preceding the Applicant's application for hire.

a. Internal Applicants' Disciplinary History Validation. Any Internal Applicant who was suspended while working in CCHHS or at Offices Under the President during the 12-month period prior to his or her application for a Position will not be considered eligible for the Position, and his or her name will not be included on the Interview List, subject to the terms of any applicable CBA. In the event an Internal Applicant's disciplinary suspension is reversed pursuant to the CCHHS Personnel Rules' grievance process or any applicable CBA, DHR will return the name of the Internal Applicant to the Preliminary Eligibility List and/or Interview List.

b. Former CCHHS or County Employees' Disciplinary History Validation. DHR will review the disciplinary record of any External Applicant who was an Employee of CCHHS or the Offices Under the President during the 12 months preceding his or her application. Any External Applicant employed by CCHHS or the Offices Under the President during the last 12 months of such employment who was subject to a disciplinary suspension or who was involuntarily terminated from employment with CCHHS or the Offices Under the President during the 12-month period prior to his or her application will not be considered eligible for the Position, and his or her name will not be included on the Interview List. Prior to making an offer of employment pursuant to Section V.Q, to an External Applicant who was employed by CCHHS or the Offices Under

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

the President within the 12 months preceding his or her application, DHR, as applicable, will provide the EPO with a copy of such External Applicant's disciplinary record. In the event an External Applicant's disciplinary suspension or involuntary termination is reversed pursuant to the CCHHS Personnel Rules' grievance process or any applicable CBA, DHR will return the name of the External Applicant to the Preliminary Eligibility List and/or Interview List.

c. Ineligible for Hire List. DHR will review the Ineligible for Hire Lists for CCHHS, Offices Under the President as well as any elected official and any other relevant governmental agency that is publicly available, prior to interviewing any Candidate for any Position. Should the name of a Candidate for a Position appear on an Ineligible for Hire List, DHR will take whatever measures are necessary to confirm the identity of the Candidate is the same as the person on the Ineligible for Hire List and, if so confirmed, will not interview that Candidate for the Position.

4. Record of Determinations. On ATAS, DHR will record the specific reason for a decision to exclude any Applicant's name from the Interview List and will notify the EPO when the validation process has been completed for each posting within 48 hours of completion.

5. Review by EPO. The EPO and the CHRO or his or her designee will have access to the validation process for each posting and may review and monitor it on an ongoing basis. If the EPO concludes during the validation process that a validation decision was in error, the EPO will make a written request to the CHRO or his or her designee to revise the Interview List including the reason(s) why such a revision is necessary. The CHRO or his or her designee will revise the Interview List in accordance with the EPO's request.

K. Use of Preliminary and Interview Lists. The Preliminary and Interview Lists, minus any names removed for any reason, will be valid and may be used for purposes of filling subsequent vacancies for the posted Position for a period of 12 months from the date the initial posting closes.

L. Interview Preparation.

1. Interview Scheduling. Upon receipt of the Interview List from DHR, the Department Head or his or her designee will schedule interviews and provide the schedule to the CHRO or his or her designee and the EPO at least 48 hours prior to the date of the first interview. If any Candidate declines an interview, or otherwise drops out at any time, the Department Head or his or her designee will document why the Candidate was not interviewed.

2. Interview Panel Selection. The Hiring Manager will select the interview panel consisting of at least two Employees including (a) at least one Supervisor in the Hiring Department or from a related Department, which may include the Hiring Manager

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

and (b) at least one qualified Employee with first-hand knowledge of the essential job duties and Minimum Qualifications of the Position. Not later than 48 hours before the scheduled interviews, the Hiring Manager will send a list of the names of the Employees who will make up the interview panel to the CHRO or his or her designee for approval prior to the interviews.

3. Interview Questions. The Hiring Manager will prepare a list of a minimum of 10 interview questions relating to the open Position. The Hiring Manager will send the list of interview questions to the CHRO or his or her designee, who will review and amend or approve the questions. The Hiring Manager will assign weighted values to the draft questions so that the total weighted value of all questions equals 100. All questions will be considered and treated as confidential, and they may not be disclosed to anyone other than the CHRO or his or her designee and the EPO 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. Follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the Position. All documents provided by a Candidate during an interview will be included in the Interview File.

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

1. Notification. At least 48 hours prior to any interview, the CHRO or his or her designee, the OIIG, and the EPO will be notified in writing of the time and place of each interview, any or all of whom may be present to monitor any interview.

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

a. The CHRO or his or her designee, the Employee in charge of personnel matters for the Department, if applicable, or a member of the Interview Panel will facilitate the conducting of interviews by informing the interview panel and the Department Head or his or her designee of the interview process, being present while interviews are being conducted, requesting that any applicable forms and notes be completed, and picking up completed forms and notes after the interviews.

b. If any panel member becomes aware that he or she has a Conflict of Interest prior to or during any interview, the panel member will, as soon as possible, notify the CHRO or his or her designee or the Employee in charge of personnel matters for the Department, if applicable, the EPO and the other members of the panel, that a Conflict of Interest exists and that a substitution is needed. In the event any panel member becomes aware that any other panel member has a Conflict of Interest prior to or during any

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

interview, he or she will advise the CHRO or his or her designee, who will determine whether a Conflict of Interest exists. If a Conflict of Interest is determined to exist, the conflicted panel member will be removed from the interview panel and will not participate in the interview or the selection process for that Candidate. A substitute panel member approved by the CHRO or his or her designee will be contacted to replace the conflicted panel member. If no substitute is available, the interview will be rescheduled or may proceed if there are at least two remaining panel members and the requirements set forth in Section V.L.2 are satisfied. The substitute panel member will assume the conflicted panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If a Conflict of Interest is discovered after an interview, the EPO must be notified and he or she will make the determination of whether a second interview panel must be convened.

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

d. All Candidates interviewed for the same Position will be asked to respond to at least five of the same pre-approved interview questions. Follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the Position. Excepting follow-up questions, all questions asked of any one Candidate will be asked of all Candidates and said questions must be pre-approved by DHR.

3. Interviewer Evaluation Form. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of each interview or at the conclusion of all interviews on that day for a particular Position and will score each Candidate as: (1) unacceptable, (2) marginally acceptable, (3) acceptable, (4) very good, or (5) excellent in each category listed on the Interviewer Evaluation Form. The basis of any score of (5) or (1) must be explained by the interviewer on his or her Interviewer Evaluation Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the interviewer who completes and signs it. The interviewers will submit the original completed Interviewer Evaluation Forms to the CHRO or his or her designee and a copy to the Employee in charge of personnel matters for the Hiring Department, if applicable.

4. Preparation of the Interview Panel Ranking Form. The CHRO or his or her designee or the Employee in charge of personnel matters for the Hiring Department, if applicable, will tabulate the scores of the Candidates and place them in order from the highest to lowest score on the Interview Panel Ranking Form. The names of Candidates who receive a combined overall average score of less than 3 (acceptable) on the Interviewer Evaluation Forms will not be included on the Interview Panel Ranking Form nor will they be eligible for further consideration.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

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

1. Selection Meeting. Within three business days following the last Candidate interview, the interviewers will conduct a selection meeting at which all of the interviewers are present (in person, by telephone or by video conferencing) and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates whose names are contained on the Interview Panel Ranking Form. Should the interview panel not be able to complete the Selection Meeting within three days, the interview panel may request additional time in writing from the EPO, with a copy to DHR.. The EPO will respond to any such request in writing. The interview panel will discuss the Candidates interviewed in the order they appear on the Interview Panel Ranking Form. The CHRO or his or her designee will be available to the panel to provide advice and expertise. The EPO may also attend selection meetings.

2. Interview Panel Ranking Form. The interview panel will rank all Candidates it recommends for employment in order of preference on the Interview Panel Ranking Form. The interview panel will provide a detailed written explanation of any differences in the order of candidates by average score and the final ranking order. The completed Interview Panel Ranking Form will be valid and may be used for purposes of filling subsequent vacancies for the posted Position for a period of 12 months from the date the initial posting closes.

3. Documentation of Selection Meeting. An interview panel member designated by the Hiring Manager will complete all sections of the Interview Panel Ranking Form. Selection Meeting Notes will accompany the Interview Panel Ranking Form and will include how each Candidate was ranked by the Interview Panel. The Interview Evaluation Forms, the Selection Meeting Notes and the Interview Panel Ranking Form will be included in the Interview File. If the ranked order of Candidates on the Interview Panel Ranking Form is different than the listed order of eligible Candidates on the Interview Panel Ranking Form, the interview panel must explain the basis or bases for the ranking change in the Selection Meeting Notes. If the panel consists of two panel members and they do not agree on the selected Candidate(s), the Interview Panel Ranking Form and Selection Meeting Notes will reflect this, and the Interview File will be made available to the Hiring Manager who will make the final selection decision.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

4. Final Selection. The Hiring Manager will review the Interview File and the panel's recommendations and make the final selection. If the Candidate(s) selected is other than the Candidate ranked highest by the interview panel in the case of a single vacancy, or Candidates ranked among the top Candidate(s) equal to the number of vacancies to be filled by the interview panel in the case of multiple vacancies, the Hiring Manager will prepare a written explanation of the basis or bases on which he or she made the selection and include it in the Hiring Packet, along with a NPCC.

5. Decision to Hire. The Hiring Manager will prepare the Decision to Hire, which will be sent to the CHRO or his or her designee along with the Interview Evaluation Forms, Interview Panel Ranking Form, the Ranked Interview List, notes from the selection meeting and any other documentation regarding the selection and ranking of the Candidate or Candidates. In the event the Hiring Manager's final selection is a Candidate or Candidates other than the one(s) described in Section V.O.4, copies of such documentation will also be sent to the EPO.. Subject to final screening pursuant to Section V.P and post-offer testing pursuant to Section V.R, the Hiring Manager's decision will be final.

P. Final Screening. DHR will conduct a final screening of the Candidate or Candidates selected by the Hiring Manager pursuant to Section V.O.4, as follows:

1. Review of Final Selection and Documentation. The CHRO or his or her designee will review the material forwarded pursuant to Section V.O.5 and verify the selection complies with the requirements of this Employment Plan. In the event the Hiring Manager's final selection is a Candidate or Candidates other than the one(s) ranked highest pursuant to Section V.O.2 and the Hiring Manager has selected another Candidate or other Candidates pursuant to Section V.O.4, the EPO will review the justification prepared by the Hiring Manager pursuant to Section V.O.4, and verify that the selection complies with the requirements of this Employment Plan as well. If either the CHRO or his or her designee or the EPO determines that the selection was not in compliance, the selected Candidate or Candidates will not be offered employment.

2. Professional Reference Verification. The CHRO or his or her designee will attempt to contact at least one professional reference (preferably the most recent employer) provided by the selected Candidates who are External Applicants to verify the accuracy of information contained on the application. Any Candidate who the CHRO 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 the offer will be rescinded. The CHRO or his or her designee will document for the file the basis of his or her finding of ineligibility and notify the Hiring Manager and EPO that the selected Candidate is not eligible.

3. Grant of Authority. The CHRO or his or her designee will prepare and submit a Grant of Authority Form for signature by the CHRO or his or her designee. The Grant of Authority Form will include at least the name(s) of the selected Candidate(s) and the proposed salary.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Q. Offers of Employment. DHR will extend employment offers in accordance with the following:

1. Extension of Offer. The CHRO or his or her designee will extend a written offer of employment to the selected Candidate(s). All offers of employment will be made in writing. All offers of employment will be contingent upon the Candidate's satisfactory completion of all pre-employment requirements and post-offer tests described in Section V.R., and the CCHHS Personnel Rules and Manual and the execution of the Grant of Authority. If, due to critical need, a selected Candidate begins employment before the results of any pre-employment requirement and 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, and that he or she will be subject to immediate termination if and when an unsatisfactory result is received. If a Candidate accepts an offer of employment, the CHRO or his or her designee will notify the EPO in writing of the accepted offer and will include the anticipated first date of employment.

2. Grant of Authority. After a contingent offer of employment has been accepted by the Candidate, a fully-executed Grant of Authority will be prepared and signed in accordance with the applicable ordinance.

3. Ineligible Candidate or 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.P and, if successfully screened, offered employment, if eligible.

4. No Acceptance. If no Candidate on the Interview Panel Ranking Form prepared in accordance with Section V.O.2 is eligible or accepts the offer of employment, DHR may prepare another Interview List pursuant to Sections V.I-J, and so on until the Preliminary Eligibility List is exhausted. If no Candidate is eligible or accepts the offer of employment, the Position may be reposted.

R. Post-Offer Testing. Upon acceptance of an offer of employment, the following will be conducted:

1. Drug Test. All Candidates selected to fill a Position 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 contingent offer of employment will be withdrawn, or, if applicable, the individual will be terminated.

2. Medical Examination. All selected Candidates for Positions designated by CCHHS as requiring a pre-employment medical examination prescribed by the CCHHS Personnel Rules 3.04(c) will be required to undergo a medical examination which may include medical tests and vaccinations and may include mental health screening. Candidates whose medical examination indicates that they are not able to perform the essential functions of the offered Position (with or without reasonable accommodation)

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

will not be considered eligible and the contingent offer of employment will be withdrawn, or, if applicable, the individual will be terminated; provided CCHHS will comply with all applicable laws and regulations prohibiting discrimination based on disability in employment.

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 CHRO or his or her designee for an investigation and determination. The CHRO or his or her designee will investigate the facts and circumstances, consult with legal counsel, if appropriate, and make a written determination of whether the conviction disqualifies the individual for employment, which will be sent to the EPO and the OIIG. Upon receipt of a determination of ineligibility, the contingent 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 contingent offer of employment will be withdrawn or, if applicable, the individual will be terminated. CCHHS will also comply with the requirements of the Illinois Health Care Worker Background Check Act (“Background Check Act”), 225 ILCS 46/1 *et seq.* which provides, in relevant part, that no health care employer will knowingly hire any individual in a position with duties involving direct care for clients, patients, or residents who has been convicted of committing or attempting to commit certain offenses listed in the Background Check Act or of violating the Nurse Practice Act, unless the applicant or employee obtains a waiver pursuant to the Background Check Act.

S. Pre-employment License and Certification Verification. All Candidates selected to fill a General Hiring Process Position will be required to produce required documents (e.g. current driver’s license, and proof of diploma, school transcript, certifications, licenses, etc.) listed on the Notice of Job Opportunity at least two weeks prior to their first day of employment. Copies of such documents will be included in the Candidate’s hiring file and will be provided to the EPO two weeks prior to the Candidate’s first day of employment. A Candidate’s failure to provide such required documentation by two weeks prior to the Candidate’s first day of employment will result in the disqualification of the Candidate for employment for that Position.

VI. APPLICANT, CANDIDATE AND EMPLOYEE CERTIFICATIONS.

All Employees involved in any Employment Action relating to an Applicant or Candidate or Employee must complete and sign a NPCC when participating in such Employment Action, and all Applicants and Candidates must complete an Applicant or Candidate NPCC upon application and upon hire on ATAS or in writing.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS

The following limited exceptions apply to the General Hiring Process or portions thereof. No exception described in this Section VII will be interpreted to permit any Employment Action covering any Position to be based on any Political Reasons or Factors.

A. Statutory Appointments. State or County statutory appointments will be excepted from the General Hiring Process. Said appointments will be at the discretion of the responsible party and subject to the statutory requirements.

1. Appointment of Chief Executive Officer. Pursuant to the Cook County Code of Ordinances, specifically Section 38-81, the appointment of the CCHHS Chief Executive Officer is governed by County Ordinance.

2. Appointment of Chief Executive Officer of the Cook County Department of Public Health. Pursuant to the Cook County Code of Ordinances, specifically Part 1, General Ordinances, Chapter 38, Health and Human Services, Section 38-32, Department powers and duties.

B. Department, Division and Section Chairs of the Medical Departments of the Medical Staff. The Department, Division and Section Chairs will be excepted from the General Hiring Process and will be filled following the procedures set forth in the applicable sections of the Medical Staff Bylaws of the John H. Stroger, Jr. Hospital of Cook County and Provident Hospital of Cook County are set forth on Exhibit 12 to this Employment Plan.

C. Resident Physicians and Fellows. Resident Physicians and Fellows will be excepted from the General Hiring Process and will be selected pursuant to the National Resident Matching Program.

D. Interns. CCHHS will follow the General Hiring process for all Internships regardless of whether the Intern will receive compensation (monetary or otherwise) from Cook County for his or her employment except when the Intern is provided directly by an academic institution or other non-political organization with a bona fide internship program and CCHHS has no discretion or input in recommending or selecting the Intern; in which case, CCHHS will follow the placement procedures of the academic institution or other non-political organization with a bona fide internship program. In situations where CCHHS receives an Intern from an academic institution or other non-political organization with a bona fide internship program prior to the hiring, CCHHS will obtain an NPCC from the academic institution or other non-political organization with a bona fide internship program. CCHHS will not require as a basis for employment that any Applicant has, at any point, performed an Internship with Cook County. Internships relating to the observation or study of the provision of direct patient care services or the supervised performance of direct patient care services will not be subject to the hiring process set forth in this Section VII.D.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

E. Emergencies and Temporary Positions. CCHHS is not required to comply with the General Hiring Process in the event of an Emergency and upon the prior written certification of the CEO. Such certification will include, but not be limited to, statements to the effect that: (1) there is 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). CCHHS must file such certification with the EPO and the OIIG . Upon receipt of such certification, CCHHS may hire employees to deal with the Emergency in a number which, at no time exceeds 100. No person may be hired on an emergency basis for more than 120 days in any calendar year. No individual hired as the result of an Emergency may be hired based on any Political Reasons or Factors, and a NPCC will be completed as otherwise required by Section V. Individuals hired on an emergency basis may neither be moved to any other non-emergency Position via Transfer, Interim Assignment or any other available Employment Action nor given the benefits of an Employee under the Internal Candidate Preference (Sections V.B.3 and V.I.2).

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

G. Layoffs. CCHHS will follow the CCHHS Personnel Rules, any applicable CBA, and the Manual with respect to Layoffs.

H. Promotions and Demotions. CCHHS will follow the CCHHS Personnel Rules, any applicable CBA, and the Manual with respect to Promotions and Demotions.

I. Recall and Reemployment. CCHHS will follow the CCHHS Personnel Rules, any applicable CBA, and the Manual with respect to Recalls and Reemployment.

J. Reclassifications and Upgrades. CCHHS will follow the CCHHS Personnel Rules, any applicable CBA, and the Manual with respect to Reclassifications and Upgrades.

K. Transfers. CCHHS will follow the CCHHS Personnel Rules, any applicable CBA, and the Manual with respect to Transfers.

L. Grant Funded Positions. Grant Funded Positions will follow the hiring processes set forth in this Employment Plan applicable to the category of Position involved. If the time needed to secure the Grant or to hire positions under the Grant is not sufficient to complete procedures under the applicable hiring process, the DHR will submit a written exception request to the OIIG and the EPO. Such request will include: (1) a description of the Grant, (2) timelines required for application and hiring, (3) the identity of the specific grant funded position involved, and (4) the specific exceptions to portions of the applicable hiring process. If the OIIG or EPO deny the request, no exception will be made.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

VIII. DIRECT APPOINTMENT HIRING PROCESS

Positions in CCHHS listed on Exhibit 5, CCHHS Direct Appointment Positions List, will be filled through the following Direct Appointment Process. The Secretary of the Board will be appointed using this process, however, the System Board Chair will perform the duties of the CEO.

A. Applicability of Specific Portions of the General Hiring Process. All provisions of Section V, will apply to the recruiting, screening, interviewing and hiring of Direct Appointments except as specifically provided in this Section VIII.

B. No Political Reasons or Factors. The purpose of CCHHS is to provide quality healthcare to the residents of Cook County with dignity and respect regardless of their ability to pay. No Employment Action covering any Position in CCHHS may be based on any Political Reasons or Factors.

C. Positions Eligible for CCHHS Direct Appointment. Direct Appointment Positions are defined in Section II. All persons selected for Direct Appointment Positions must possess the Minimum Qualifications for the Direct Appointment Position in which they are being placed.

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

E. Submission of RTH and Job Description. The CEO or his or her designee must submit a completed RTH and Job Description for the Direct Appointment Position prepared in accordance with Section IV.H and pursuant to Sections V.B.1 and 2. The RTH must be signed by the CEO or his or her designee. The CEO or his or her designee must receive written verification from the County Budget Director that the Direct Appointment Position is funded and vacant.

F. Identification and Selection of Candidate. The CEO or his or her designee will send a written notification with the RTH and Job Description to the CHRO or his or her designee. Such notification will include the name and contact information of the Candidate the CEO has selected to fill the Direct Appointment Position and an NPCC signed by the CEO. The CHRO or his or her designee will submit a copy of the written notification with the RTH and Job Description to the EPO.

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

1. Job Description. Job Descriptions for all Direct Appointment Positions will be prepared in accordance with Section IV.H. Any revision of a Direct Appointment Position Job Description will be done pursuant to Section V.B.2. Each such Job Description will meet the definition of Direct Appointment Position contained in this Employment Plan. A copy of such Job Description will be provided to the EPO by the CHRO or his or her designee.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

2. Entry of Job Description on CCHHS Website. CCHHS will enter all Direct Appointment Position Job Descriptions on the CCHHS website. Such entry does not require public posting.

3. Submission, Screening and Verification of Application. The Candidate selected by the CEO to fill the Direct Appointment Position will complete an employment application in paper format. The CHRO or his or her designee will enter the identified Candidate's information into ATAS. Any application in paper format must contain all information requested and required on an ATAS application. The CHRO or his or her designee will validate the application and verify that the Candidate selected by the CEO, (a) possesses the Minimum Qualifications of the Direct Appointment Position; (b) has provided any licenses and certifications required; and (c) if he or she was or is an Employee of CCHHS or Offices Under the President, he or she was not terminated for cause by any CCHHS or Offices Under the President during the previous five years. If the CHRO or designee concludes that the selected Candidate does not meet any one of the three criteria, the CHRO or his or her designee will advise the CEO, that the selected Candidate is not eligible for the Direct Appointment Position, and he or she will not be offered employment. If the CHRO or designee determines that the Candidate selected by the CEO meets all three criteria and is eligible, he or she will record such determination on ATAS or in the employment file, execute a NPCC and submit a copy of all information and the determination to the EPO and the OIIG.

H. Hiring. Upon verification of eligibility, DHR will send written notice (including a copy of all the required documents) to the EPO and the OIIG of the selected Candidate. The EPO and OIIG will have three (3) business days to review the submission and provide any objections to the CHRO. If no objections are received within three (3) business days, the CHRO will proceed with completing the hiring process.

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

J. Changes to the CCHHS Direct Appointment Positions. The CEO may from time to time change the Direct Appointment Positions by adding Direct Appointment Positions, deleting Direct Appointment Positions, or amending the titles or Job Descriptions of Direct Appointment Positions. The CEO or his or her designee will send written notice of any proposed change to the Direct Appointment Positions, along with supporting documentation, including but not limited to (i) the identity, Job Code and Position Identification Number of the Direct Appointment Position (including a copy of the current Job Description) and (ii) a description of the basis on which the change is proposed to the OIIG and the EPO. The OIIG will provide a written approval or objection to the proposed change within 10 days of receipt. If the OIIG provides an objection to the change, the CEO or designee and the OIIG will then meet to discuss the matter. If the OIIG does not rescind his or her objection following such discussion, the proposed

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

change will not be implemented unless otherwise approved by a court of competent jurisdiction.

K. Removal of an Employee Holding a CCHHS Direct Appointment Position. An Employee holding a Direct Appointment 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 permitted under applicable law.

L. Maintenance of CCHHS Direct Appointment Position Status. Except as otherwise provided in Section VIII.C, an Employee who is appointed to a Direct Appointment Position will continue to be considered at-will and his or her status will not change unless he or she moves into a Position that is not a Direct Appointment Position or is not otherwise considered at-will. The EPO is responsible for maintaining a current copy of the Direct Appointment Positions List at all times.

IX. ACTIVELY RECRUITED HIRING PROCESS.

The following procedures may be used for hiring individuals to fill Actively Recruited Positions. If CCHHS elects not to follow the following procedures, CCHHS will follow the procedures in Section V when filling any Actively Recruited Position.

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

B. Recruiting Consultant. The CHRO or his or her designee or the Hiring Department (with the approval of the CHRO or his or her designee) may retain a Recruiting Consultant pursuant to CCHHS' Procurement Code for the purpose of recruiting Applicants for Actively Recruited Positions in accordance with the following:

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

2. Recruiting Consultant Recruiting and Screening Activities. Recruiting Consultants retained to recruit Applicants for Actively Recruited Positions may (a) assist CCHHS in developing a current Job Description as described in Section V.B; (b) locate and identify potential Applicants for Actively Recruited Positions, provided all such potential Applicants will be required to complete the ATAS application process described in Section V.F; (c) participate in recruitment events as described in Section V.A.3; (d) conduct the validation process and prepare the Lists as described in Sections V.I-J provided the Recruiting Consultant provides the CHRO or his or her designee and the EPO with a written report as described in Section V.J.4; and (e) verify licenses and certifications as described in Section V.S.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

C. Procedures Not Performed by Recruiting Consultant. CCHHS will comply with all procedures described in Section IX.B that are not performed by a Recruiting Consultant or in the event a Recruiting Consultant is not retained.

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

E. Preparation of Notice of Job Opportunity. The Notice of Job Opportunity will be prepared in accordance with Section V.D.

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

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

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

I. Creation of Preliminary Eligibility List. After the final posting closing date, DHR will create a Preliminary Eligibility List for each Actively Recruited Position posted containing the names of all Applicants who complete the application process on ATAS and whose responses indicate they possess all Minimum Qualifications for the Actively Recruited Position.

J. Appointment of an Application Review Panel. The Hiring Manager will appoint an Application Review Panel consisting of the Hiring Manager and at least one other Supervisor or another Employee who has knowledge of the requirements for the position who has received interviewer training pursuant to Section IV.E. Supervisors may come from outside the Hiring Department.

K. Creation and Validation of Interview List.

1. Creation of Interview List. DHR will send the Hiring Manager a copy of Job Description, the Preliminary Eligibility List and, for all Applicants whose names appear on the Preliminary Eligibility List, a copy of the applications and any documents any Applicant attached to his or her application. Upon receipt of these documents, the Application Review Panel will review the applications and resumes of all Applicants listed on the Preliminary Eligibility List and select at least three Applicants to put on the Interview List based on the extent to which each Applicant appears to have the work-related experience, education, knowledge, skills and abilities needed for the Actively Recruited Position. The Application Review Panel will place the names of those Applicants on the

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Interview List and may designate any alternates that would be interviewed should: (1) any of the Applicants on the Interview List be deemed ineligible for interview by DHR or (2) interviews of the top group of Candidates do not result in a hire and the Interview Panel requests to interview the alternate Candidates. In addition, the Application Review Panel may request DHR to contact references for the Applicants to inquire about the Applicants' past performance and competency for the Position prior to selecting the Candidates for the Interview List. If so requested, DHR will conduct the reference checks and the information acquired from references will be documented and included in the Interview File and provided to the Application Review Panel for consideration. If fewer than three Candidates are on the Preliminary Eligibility List, the Application Review Panel may request DHR to either repost the Actively Recruited Position or the Application Review Panel may place the Candidate(s) on the Interview List. The Application Review Panel will send the Interview List to DHR for validation. DHR will provide the EPO with a copy of the Interview List.

2. Validation of Interview List. DHR will validate the applications of all Applicants listed on the Interview List pursuant to Section V.J. The name of any Applicant deemed ineligible pursuant to Section V.J will be removed from the Interview List by DHR before sending the validated Interview List to the Hiring Manager.

L. Interview Preparation. Interview preparation will be done as follows:

1. Appointment of an Interview Panel. The Hiring Manager will select an interview panel consisting of the Hiring Manager or a Supervisor who reports to a Hiring Manager and one or more approved trained Employees with knowledge of the requirements for the Position who have been certified as trained pursuant to Section IV.E. At least one member of the interview panel will have first-hand knowledge of the job duties and Minimum Qualifications of the Position. The Supervisors may come from outside the Hiring Department. The Hiring Manager may choose the same panelists for the interview panel as he or she chose for the Application Review Panel. Not later than 48 hours before the scheduled interviews, the Hiring Manager will send a list of the names of the two or more Employees who will make up the interview panel to the CHRO or his or her designee.

2. Interview Scheduling. The Hiring Manager, or his or her designee, will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the CHRO or his or her designee and the EPO. The CHRO or his or her designee will notify the OIIG at least 48 hours in advance of the date of the first interview.

3. Interview Questions. The Hiring Manager will prepare a list of a minimum of 10 interview questions relating to the open Position. The Hiring Manager will assign weighted values to the draft questions so that the total weighted value of all questions equals 100. All questions will be considered and treated as confidential, and they may not be disclosed to anyone other than the CHRO or his or her designee, the EPO and members of the Interview Panel prior to the conclusion of all interviews for the Position. The Hiring Manager will send the interview questions to the CHRO or his or her designee, who will review and amend or approve the questions. The questions will be designed to establish, at a minimum, the Candidate's: (a) willingness and ability to do the job; (b) availability for

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

work hours and willingness to work at the location(s) where the job is located; (c) prior job performance; (d) knowledge and understanding of the Actively Recruited Position; (e) experience; (f) relative qualifications for the Actively Recruited Position as compared with other Candidates; and (g) overall credibility. The questions asked will not violate any employment/labor laws or regulations, including those laws or regulations pertaining to employment discrimination. The questions must be based on the specific job duties of the Actively Recruited Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. Candidates will be advised to maintain the confidentiality of the questions they are asked during the interview. The interview questions developed for a particular Actively Recruited Position may be used for subsequent vacancies for that Actively Recruited Position, provided appropriate precautions are taken to prevent advance dissemination of answers and provided the questions remain related to the duties of the Actively Recruited Position. Follow-up questions by the panel members are permitted and encouraged, provided they are related to a determination of the Candidate's suitability for the Position.

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

1. Notification. At least 48 hours prior to the date of every interview the EPO and the OIIG, will be notified in writing of the time and place of each interview. The EPO and the OIIG may be present to monitor any interview.
2. Conducting the Interview. The interview panel will interview each Candidate on the Interview List in accordance with Section V.M.2.
3. Interviewer Evaluation Form. Each interviewer will independently and personally complete and sign an Interviewer Evaluation Form in accordance with Section V.M.3.
4. Preparation of Interview Panel Ranking Form. The Interview Panel Ranking Form will be prepared in accordance with Section V.M.4.

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

1. Interview Panel Meeting. Within three business days following the last Candidate interview, the interviewers will conduct a meeting at which all interviewers are present (in person, by telephone or by video conferencing) and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. Should the interviewers not be able to complete the Interview Panel Meeting within three business days, the interviewers may request additional time in writing from the EPO.. The EPO will respond to any such request in writing. The interview panel will discuss the Candidates interviewed and identify Candidates they would recommend for hire and rank them on the Interview Panel Ranking Form. The CHRO or his or her designee will be available to the interview panel to provide advice and expertise. The interview panel will select a member to take notes at the interview panel meeting. The

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

notes will indicate the objective basis or bases on which any Candidate was recommended for hire. The notes will be included in the Interview File. The CHRO or his or her designee, the EPO and the OIIG may also attend interview panel meetings.

2. Second Interview. After the interview panel meeting, the Hiring Manager may conduct second interviews of any or all the Candidates previously interviewed. Prior to conducting any second interviews, the Hiring Manager may appoint a Supervisor(s) or an individual(s) with knowledge of the requirements for the position to participate in the second interviews. The individual(s) appointed for the second interviews must participate in all second interviews with the Hiring Manager. The Hiring Manager and other interviewer(s), if appointed, will complete Interview Evaluation Forms for each Candidate given a second-round interview.

3. Final Selection. After the interview panel meeting, the delivery to the Department Head or his or her designee of the interview panel notes, Interview Evaluation Forms, and Interview File, and any second interview, the Department Head will review the interview panel's recommendations and select the successful Candidate. The Department Head may choose to reject all the Candidates interviewed.

O. Decision. The Department Head or his or her designee will prepare the Decision to Hire in accordance with Section V.O.5.

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

Q. Offers of Employment. DHR will extend employment offers in accordance with Section V.Q.

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

S. Pre-employment License and Certification Verification. DHR or its Designee will conduct pre-employment license and certification verification in accordance with Section V.S.

T. Changes to and Posting of Actively Recruited Positions List. Changes to the Actively Recruited Positions List will be made using the same procedures provided in Section VIII.J. The EPO will be responsible for maintaining a current Actively Recruited Positions List at all times.

U. Union Membership. Except for Actively Recruited Positions requiring M.D., D.O., D.D.S., Ph.D, D.Sc., Dr.PH, J.D. or a doctorate or master's degree and Certified/Licensed Healthcare Professional Positions and Medical Assistants within CCHHS, if a Actively Recruited Position becomes covered under a CBA, the Actively Recruited Position will be automatically removed from the Actively Recruited Positions List, and any vacancy for such Actively Recruited Position will be subject to Section V.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

V. Credentialing and Verification. The CCHHS Credentialing and Verification Office may not initiate the credentialing and verification process for any Candidate for an Actively Recruited Position prior to receiving a completed DTH packet from DHR.

X. EXECUTIVE ASSISTANT HIRING PROCESS

In order to assist the CEO and individuals holding Direct Appointment Positions (“Executive Assistant Supervisor”) in hiring direct-report administrative assistants who possess the experience, skills and competence needed by them to perform their jobs effectively, CCHHS may use the following procedure for hiring individuals to fill Executive Assistant Positions.

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

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

C. Submission of RTH. The Executive Assistant Supervisor must submit a RTH to the CHRO or his or her designee. The RTH must be signed by the Executive Assistant Supervisor. If the Executive Assistant Supervisor is not a Department Head, the Department Head of the Department in which the Executive Assistant Supervisor works must also sign the RTH. The Executive Assistant Supervisor must receive written confirmation from the CCHHS Budget Director that the Position is fully funded and, subsequently, receive written approval to proceed with the hiring process from the CHRO or his or her designee. The CHRO or his or her designee will provide a copy of the RTH to the EPO pursuant to Section V.B.1.

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

E. Hiring Process. The following hiring process will apply for Executive Assistant Positions 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 CHRO or his or her designee and the Executive Assistant Supervisor will create a current and accurate Job Description for each Executive

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

Assistant Position as described in Section V.B.2. Each such Job Description will meet the definition of Executive Assistant contained in this Employment Plan and be approved by the CHRO or his or her designee. A copy of the Job Description will be provided to the EPO.

2. Entry of Job Description on CCHHS Website. CCHHS will enter the Executive Assistant Job Description on the CCHHS website. Entry on the CCHHS website of the Executive Assistant Job Description does not require public posting.

3. Submission, Screening and Verification of Application. The individual selected by the Executive Assistant Supervisor to fill the Executive Assistant Position will complete an employment application on ATAS. The CHRO or his or her designee will validate the application as described in Sections V.J and S and verify that the individual selected by the Executive Assistant Supervisor: (i) possesses the Minimum Qualifications and, if applicable, Preferred Qualifications, if applicable, of the Executive Assistant Position; (ii) has provided any licenses and certifications required; and (iii) if he or she was or is an Employee or an employee of the County during the preceding 12 months, he or she was not terminated for cause during the previous five years. If the CHRO or his or her designee concludes that the selected individual does not meet any one of the three criteria, the CHRO or his or her designee will 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 CHRO or his or her designee determines that the individual selected by the Executive Assistant's Supervisor is eligible, he or she will record such determination on ATAS or in the employment file, execute a NPCC and submit a copy of all information and the determination to the EPO and the OIIG.

F. Hiring. Upon completion of the verification and testing described in Section X.E.3, DHR will take steps to complete the hiring process and send written notice (including a copy of all the required documents) to the EPO and OIIG.

XI. ADVANCED CLINICAL POSITION HIRING PROCESS

The following procedures may be used for hiring individuals to fill any ACP Position.

A. No Political Reasons or Factors. No Employment Action covering any ACP Position may be based on any Political Reason or Factors.

B. Recruiting Consultant. The CHRO or his or her designee or the Hiring Department (with the approval of the CHRO or his or her designee) may retain a Recruiting Consultant to assist in hiring ACPs in accordance with Section IX.B.

C. Mandatory Training. The EPO, in conjunction with DHR, will provide comprehensive mandatory training for all CCHHS personnel who will be involved in the ACP Hiring Process to ensure they are knowledgeable about the procedures necessary to comply with the ACP Hiring Process. Only CCHHS personnel who have been certified as trained in the ACP Hiring Process will be eligible to participate in the ACP Hiring Process. A list of certified CCHHS personnel will be maintained by the EPO.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

D. Requests to Hire. The Hiring Manager or his or her designee must submit a completed RTH and Job Description for the ACP Position to DHR in accordance with Section V.B.

E. Preparation of Notice of Job Opportunity. DHR will prepare the Notice of Job Opportunity for any ACP Position in accordance with Section V.D.

F. Posting of Notice of Job Opportunity. All ACPs to be hired through the ACP Hiring Process shall be posted as required in this Section F. All Notices of Job Opportunity will be posted in compliance with the following:

1. Posting Location(s). All Notices of Job Opportunity for hiring non-union ACPs will be posted as described in Section V.A.1.

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

3. Posting Period. All Notices of Job Opportunity for any ACP Position will be posted on ATAS for a minimum of seven (7) calendar days or as required by a CBA, if applicable. If the Hiring Manager decides to extend the final date for posting, a notice of such extension and a revised posting closing date will be added to the Notice of Job Opportunity posted on ATAS. Notice of the extension will immediately be given to DHR and the EPO and will include an explanation of the reason for the extension. The Hiring Manager may request that the posting be extended indefinitely with the approval of the CCHHS Chief Medical Officer (CMO) and the CHRO or his or her designee.

4. Application Instructions. All Notices of Job Opportunity for ACP Positions will provide clear instructions to potential Applicants on: (a) how they may apply for the ACP Position; and (b) what documents they must provide to be considered for the ACP Position. Applicants must submit an application and any required documentation via ATAS or send a resume and any required documentation to CCHHS at one of (4) four ACP Position-designated email addresses (Physicians, APNs/CRNAs, PAs, and Cermak Health Services), which may be monitored by the EPO and OIIG. The Hiring Manager must advise the CHRO if he or she elects this option.

5. Protocol for Receiving Applications via Email. Should the Hiring Manager permit Applicants to submit materials to ACP Position-designated email addresses, CCHHS will provide notice, and continuous access to such email addresses to the EPO and OIIG for auditing purposes. To ensure a complete electronic record of the electronic application process, CCHHS will not delete emails submitted to or sent from the ACP Position-designated email addresses at any time.

G. Recommendations. Recommendations will be received and reviewed in accordance with Section V.C.

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

H. Recruitment Activities. In cases where there is a vacant ACP Position, the Hiring Manager, or his or her designee, may solicit Applicants to apply for an ACP Position at any time. Such recruitment activity may occur before the ACP Position is posted. If there is no vacant ACP Position but the need for such ACP Position is identified, only the CEO or the CMO may participate in Recruitment Activities before the ACP Position is posted. In addition to or in lieu of retaining a Recruiting Consultant, the Hiring Manager or his or her designee may engage in the following recruitment activities: (1) solicit recommendations for potential Applicants for ACP Positions from likely recruitment sources; (2) contact Applicants (or potential Applicants) on the phone, by email or in person, to discuss and answer questions about the available ACP Position; (3) provide tours of CCHHS, the department and/or the facility to which the ACP Position is assigned; (4) discuss Applicants with ACP-trained personnel in the Department to which the ACP Position is assigned; and/or (5) allow Applicants to interact with members of the Department in which the ACP Position is assigned, or with academic peers in a partnering institution. Under no circumstances may a Hiring Manager or his or her designee extend an offer of employment to any Applicant for an ACP Position. CCHHS Employees involved in any recruitment activity will provide notice to the EPO as soon as practicable and shall try to give the EPO sufficient advanced notice to allow the EPO to monitor the recruitment activity.

I. Review of Applications. The Hiring Manager or his or her designee(s) shall appoint one or more Supervisors to review applications submitted for an ACP Position on ATAS and through any applicable ACP Position-designated email address and to select Candidates to be interviewed. Nothing shall prevent the Supervisor from reviewing submitted applications and interviewing Candidates while the posting is active.

J. Interviews. The Supervisor shall interview all selected Candidates. Interviews may include pre-screening telephone interviews, telephone interviews, in person interviews, and interviews via video conference. Interviewer(s) must take written notes during any such interview. If there are multiple interviewers, the Interviewers may discuss the Candidates at any time. Interviewer(s) shall rank the Candidates recommended for hire in the order of preference and shall include such ranking in their written notes. Interviewer(s) may elect to reject all Candidates. All interview notes, any notes taken during a discussion of the Candidates (if applicable), and a ranked list of recommended Candidates shall be provided to the Hiring Manager.

K. Identification and Selection of Candidates. The Hiring Manager or his or her designee shall recommend a Candidate for the ACP Position from the ranked list provided by the interviewer(s). The Hiring Manager or his or her designee shall complete a Decision to Hire and send the Decision to Hire, interviewer(s)' notes and rankings the RTH packet, and the Job Description to the CMO along with the following:

1. The name and contact information of anyone involved in the selection of the Candidate for the ACP Position, including but not limited to anyone who contacted or was contacted by the Hiring Manager or his or her designee or the interviewer(s) as part of identifying the selected Candidate;

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

2. The ACP recruitment activity log that includes a detailed description of all recruiting activities for filling an ACP Position and a NPCC (including details of any activities conducted pursuant to Sections XI.F.5 and XI.G-J) completed by the Hiring Manager, his or her designee, and any other CCHHS Employee involved in the hiring process;

3. Copies of all documents relating to the application of the selected Candidate for the ACP Position, including, but not limited to, resumes, references, interview notes, and rankings (if applicable); and

4. Copies of any other documents considered by the Hiring Manager or his or her designee(s) concerning the recommended Candidate.

L. CMO Approval. The CMO will review the packet provided by the Hiring Manager. If the CMO approves the selected Candidate, the CMO shall sign a NPCC and provide the entire packet to the CHRO. If the CMO rejects the selected Candidate or the Candidate becomes ineligible after the processes described below in Sections M, O, P or Q, the CMO will consider any other Candidates ranked by the interviewer(s) before submitting the packet to the CHRO. If no Candidate is acceptable to the CMO, the CMO will provide notice of the same to the Hiring Manager and to DHR. The CMO will notify DHR if he or she would like the ACP Position to be reposted by DHR.

M. Pre-Employment Screening of Candidates. All Candidates approved by the CMO to fill the ACP Position will complete an employment application on ATAS, and submit it to the CHRO or his or her designee, along with any licenses or certifications required pursuant to the Notice of Job Opportunity. Any application in paper format must contain all information requested and required on an ATAS application. The CHRO or his or her designee will validate the application and verify that the Candidate approved by the CMO possesses the experience-related Minimum Qualifications of the ACP Position. If the Candidate was or is an Employee of CCHHS or any Office Under the President, the CHRO will verify that the Candidate was not terminated for cause by CCHHS or any Office Under the President during the previous five years, and the Candidate's name does not appear on the Ineligible for Hire list. If the CHRO or his or her designee concludes that the selected Candidate does not meet any one of these criteria, the CHRO or his or her designee will advise the Hiring Manager that the selected Candidate is not eligible for the ACP Position, and he or she will not be offered employment. If the CHRO or his or her designee determines that the Candidate approved by the CMO meets all these criteria and is eligible, he or she will record such determination on ATAS or in the employment file, execute a NPCC, and submit a copy of all information and the determination to the EPO and OIIG .

N. Offers of Employment. DHR will extend conditional employment offers in accordance with Section V.Q.

O. Reference Checks. Reference checks of all External Candidates selected to fill an ACP Position vacancy will be completed by the Hiring Manager or his or her designee or

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

DHR pursuant to Section V.P.2; however, reference checks may be conducted at any time throughout the selection process at the discretion of the Hiring Manager or his or her designee.

P. Post-Offer Testing. Upon acceptance of an offer of employment, post-offer testing, if applicable, will be conducted in accordance with Section V.R.

Q. Credentialing and Verification. The CCHHS Credentialing and Verification Office will initiate the credentialing and verification process for any ACP Position Candidate only after DHR extends a contingent offer of employment.

XII. MISCELLANEOUS POLICIES

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

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

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

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

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

F. Discipline. Discipline of Employees (including Termination) will be administered in accordance with the CCHHS Personnel Rules, any applicable CBA and the Manual. Discipline of Employees will not be based on any Political Reasons or Factors.

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

CCHHS Employment Plan
Effective 10.20.14. rev. 03.01.17; 10.31.18

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

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

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

XIII. COOK COUNTY HEALTH AND HOSPITALS SYSTEM EMPLOYMENT PLAN AMENDMENTS

The CEO may from time to time amend this Employment Plan following written notice of any proposed changes to this Employment Plan to the EPO and OIIG. The OIIG and the EPO will be given an opportunity to review and comment on the proposed amendment prior to implementation. If the EPO or the OIIG objects to the change, they must do so in writing within 10 business days and submit the same to the CHRO. The CEO, the CHRO, the EPO and the OIIG will then meet to discuss the matter. The decision of the CEO on any proposed change to this Employment Plan will be final. Proposed changes to this Employment Plan will not be implemented until 10 business days after either the date the EPO and the OIIG were provided notice of the proposed changes or the date the CEO makes his or her decision resolving any objections to the proposed change, whichever is later.

XIV. CONCLUSION

CCHHS 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 CCHHS and comply with legal requirements. It is not possible to anticipate and address every situation that may give rise to Unlawful Political Contacts or Unlawful Political Discrimination, and the CCHHS is prepared to comply with the spirit of the law to meet those situations in the future.

EXHIBIT 4

OIIG EMPLOYMENT PLAN
May 3, 2013; Amended 6-24-13, 8-26-13, 10-31-18



APPENDIX B

OFFICE OF THE INDEPENDENT INSPECTOR GENERAL OF COOK COUNTY

EMPLOYMENT PLAN

OIIG EMPLOYMENT PLAN
May 3, 2013; Amended 6-24-13, 8-26-13, 10-31-18

CONTENTS

I. INTRODUCTION	1
II. DEFINITIONS	1
III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO HIRING WITHIN OIIG	8
A. Commitment.....	8
B. No Employment Actions Influenced By Political Reasons or Factors	8
C. Unlawful Political Discrimination Reporting	8
D. Political Contact Reporting.....	8
E. Equal Employment Opportunity.....	9
F. Contact by County Employees Who Are Politically-Related Persons	9
G. No Retaliation	9
H. OIIG Staff	9
I. Use of BHR Staff.....	9
J. Union Relations.....	9
K. No Political Consideration Certification.....	10
L. Interpretation of this OIIG Employment Plan	10
M. Changes to OIIG Employment Plan.....	10
IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO BHR AND OIIG	10
A. OIIG Policies and Procedures Manual.....	10
B. Quarterly Report.....	11
C. OIIG Employment Plan Officer	11
D. Supervisor Training.....	11
E. Employee Training	11
F. Application Validation Panel and Interview Panel Member Training	12
G. Access to Information Regarding Applicants	12
H. Review of Job Descriptions	12
I. Violations of the Employment Plan.....	12
J. Recordkeeping.....	13
K. General Principles and Responsibilities Related to ATAS	14
L. Complaint Line.....	14

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

V. GENERAL HIRING PROCESS.....	14
A. Recruitment.....	14
B. Requests to Hire	15
C. Recommendations	15
D. Preparation of Notice of Job Opportunity and ATAS Posting.....	16
E. Posting of Notice of Job Opportunity.....	16
F. Submission of Applications.....	16
G. Permitted Contacts from Applicants	16
H. Application Screening.....	16
I. Creation of Preliminary Eligibility List.....	16
J. Creation of a Validated Eligibility List	17
K. Creation of an Interview List	17
L. Submission of Interview List.....	18
M. Use of Validated Eligibility Lists.....	18
N. Interview Preparation.....	19
O. Pre-Interview License and Certification Verification.....	19
P. Interview of Candidates.....	19
Q. Pre-Employment Testing	21
R. Candidate Selection Procedure.....	21
S. Final Screening	22
T. Offers of Employment.....	22
U. Post-Offer Testing.....	23
VI. EMPLOYEE CERTIFICATION.....	23
VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS	24
A. Settlements and Awards.....	24
B. Layoffs	24
C. Recall and Re-employment	24
D. Promotional Positions	24
E. Demotion	25
F. Reclassifications and Upgrades	25
G. Transfers.....	25
H. Transitional Assignments.....	25

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

VIII. OIIG ACTIVELY RECRUITED POSITION HIRING PROCESS	25
A. No Political Reasons or Factors	26
B. Recruiting Activities	26
C. Request to Hire.....	26
D. Preparation of Notice of Job Opportunity.....	26
E. Posting of Notice of Job Opportunity.....	26
F. Submission of Applications.....	26
G. Application Screening.....	26
H. Creation of Preliminary Eligibility List	27
I. Creation of a Validated Eligibility List	27
J. Appointment of an Application Review Panel.....	27
K. Creation of Interview List	27
L. Interview Preparation	27
M. Pre-Interview License and Certification Verification	28
N. Interview of Candidates	28
O. Candidate Selection Procedure	30
P. Final Screening	30
Q. Offers of Employment	31
R. Post-Offer Testing.....	31
S. Union Membership	31
IX. OIIG EXECUTIVE ASSISTANT POSITIONS	31
A. No Political Reasons or Factors	31
B. Applicability of Specific Portions of the General Hiring Process	31
C. Submission of RTH.....	31
D. Identification and Selection of Candidate.....	32
E. Hiring Process	32
F. Hiring.....	32
X. OIIG INTERN AND EXTERN POSITIONS.....	33
A. Reclassifications/Promotions	33
B. Temporary Assignments	33
C. Transfers.....	33
D. Training.....	33

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

E. Compensatory Time and Overtime	33
F. Discipline	33
G. Desk Audits	33
H. Demotions	34
I. Layoffs/Recall	34
J. Third Party Providers	34
XII. CONCLUSION	34

OIIG EMPLOYMENT PLAN

May 3, 2013; Amended 6-24-13, 8-26-13, 10-31-18

I. INTRODUCTION

This OIIG Employment Plan, which is Appendix B to the County Employment Plan, is submitted by the OIIG. This OIIG Employment Plan sets forth the hiring and employment policies and procedures that the OIIG will follow. This OIIG Employment Plan applies to all Employees, as well as all Applicants and Candidates for Positions within OIIG except for the IIG, whose hiring and employment are covered by the Enabling Ordinance.

The Enabling Ordinance provides the IIG “the sole power to appoint, employ, and remove such assistants, employees and personnel and establish personnel procedures as deemed necessary for the efficient and effective administration of the OIIG.” The IIG has elected to implement this OIIG Employment Plan covering all Employees in recognition of the purpose of OIIG¹ and its responsibilities with respect to Unlawful Political Discrimination and in furtherance of the requirements of the Executive Order. Additionally, these procedures are designed to foster the stated goal of OIIG described in the Enabling Ordinance to be “sufficiently independent to assure that no interference or influence external to the office adversely affects the independence and objectivity” of the OIIG.

None of the language used in this OIIG Employment Plan shall constitute a contract and nothing in this OIIG Employment Plan is intended to create or be construed as a contract or create an expectation of continued employment or establish a property interest in Governmental Employment.

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 OIIG Employment Plan:

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

Application Review Panel: The panel appointed by the IIG consisting of the IIG or his or her designee and at least two Supervisors who have received interview training pursuant to Section IV.E.

Applicant Tracking and Application System (“ATAS”): The electronic employment application system implemented by the County and used in the hiring of Employees.

ATAS: See Applicant Tracking and Application System.

BHR: See Bureau of Human Resources.

¹ Under the Enabling Ordinance, one of the purposes of the OIIG is to detect, deter and prevent unlawful political discrimination with independence and objectivity.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

Board: The Board of Commissioners of the County.

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

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

CBA: See Collective Bargaining Agreement.

Collective Bargaining Agreement ("CBA"): Any current collective bargaining agreement between the County and any legally recognized collective bargaining representative applicable to Employees.

Compensatory Time: Time off earned by an Employee pursuant to the OIIG Policies and Procedures Manual, the rules of any applicable CBA and any applicable law.

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 the public-interest.

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

Contact Log Reporting Form: The form used to report Political Contacts. A copy of the Contact Log Reporting Form is attached as Exhibit A.

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

County: The County of Cook, Illinois.

County Employment Plan: The Employment Plan filed by the County on March 19, 2012, as amended.

Day or day: A calendar day unless otherwise indicated.

Demotion: A downgrade from one Position to another lower-level Position.

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

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

Employee: An individual employed by the County and assigned to work in OIIG, whether part-time or full time, permanent or temporary, and regardless of whether the employment is paid for by federal funds.

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

Enabling Ordinance: Division 5, Section 2-281 et seq. of the Cook County Code of Ordinances.

Exempt Position: A Position that is included on the Exempt List contained in the County Employment Plan and meets the criteria for exempt status as provided in the 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.

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

Extern: A student who is receiving academic credit for performing work at OIIG, who may or may not receive compensation for such work.

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

Final Ranked Candidate List: The list of Candidates from the Validated Eligibility List who have been interviewed by the Interview Panel and have been ranked by the IIG pursuant to Section VIII.O.3.

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

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

Grant of Authority: The form signed by the Chief of BHR authorizing an offer of employment to a Candidate selected pursuant to Sections V or VIII. A copy of the current Grant of Authority, which may be amended from time to time, is attached as Exhibit B.

IIG: See definition of Independent Inspector General.

Independent Inspector General (“IIG”): The Independent Inspector General of Cook County designated pursuant to the Enabling Ordinance.

Intern: A person who participates in a training program for the purpose of gaining supervised practical experience that is for his or her benefit.

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

Interview File: The file associated with the filling of any Position, which shall include the RTH, Job Description, Interview List, Interview Panel Ranking Form, the Interviewer Evaluation Forms, notes from the selection meeting, NPCCs, and any other documentation regarding the selection and ranking of the Candidates for the Position.

Interview List: The list of names of Candidates who have been advanced to the interview process pursuant to Sections V.K. and VIII.K.

Interview Panel: The panel consisting of a minimum of two Employees, at least one of whom is a Supervisor, who have received interview training pursuant to Section IV.F and have been selected by the IIG to interview Candidates whose names are on the Interview List.

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

Interviewer Evaluation Form: The form used by Interview Panel members during the interview process to document interviews with individual Candidates for Positions as described in Sections V.P.3 and VIII.N.3. A copy of the current Interviewer Evaluation Form(s), which may be amended from time to time, is attached as Exhibit D.

Job Code: A code assigned to each job title.

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

Justification to Hire: The form completed by the IIG or his or her designee upon completion of the Candidate selection process described in Sections V.R.5 and VIII.O.4.

Minimum Qualifications: The specific minimum qualification listed on the Job Description that an Applicant or Candidate must possess to be considered minimally qualified for a Position and eligible for consideration for employment.

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 shall accompany or be included on forms relating to any Employment Action) is attached as Exhibit F.

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

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

NPCC: See No Political Consideration Certification.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

Office of the Independent Inspector General of Cook County (“OIIG”): The Office of the Independent Inspector General of Cook County.

OIIG: See Office of the Independent Inspector General of Cook County.

OIIG Actively Recruited Position: A Position for which discretion and flexibility in hiring are necessary, appropriate and justifiable and the Candidate’s academic credentials or accumulated experience is an important determinant for the differentiation among candidates. OIIG Actively Recruited Positions are (1) not covered by any collective bargaining agreement, (2) exempt from career service under the OIIG Policies and Procedures Manual, (3) at-will, (4) not Exempt Positions and (5) have Minimum Qualifications requiring a Bachelor’s Degree or higher. OIIG Actively Recruited Positions currently include OIIG Investigator, OIIG General Counsel and OIIG Deputy Inspector General.

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

OIIG Employment Plan Officer: The Employee designated by the IIG to perform all OIIG Employment Plan Officer tasks and responsibilities as described in this OIIG Employment Plan and as may be assigned from time to time.

OIIG Executive Assistant Position: A Position that reports directly to the IIG or the OIIG General Counsel and the primary duties of which include the performance of executive-level administrative services for the IIG or the OIIG General Counsel. OIIG Executive Assistant Positions are (1) not covered by any collective bargaining agreement, (2) exempt from career service, and (3) at-will.

OIIG Investigator: An Employee holding an OIIG Investigator Position.

OIIG Senior Investigator: An Employee holding the Position of Investigator V at OIIG.

OIIG Policies and Procedures Manual: The manual of employment policies and procedures applicable to Employees, as in effect from time to time, that is developed and maintained by the IIG and includes an explanation of the requirements of and procedures to implement this OIIG Employment Plan.

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

Overtime: Time worked by an Employee beyond the regularly scheduled workweek for which additional compensation is earned in accordance with the OIIG Policies and Procedures Manual, any applicable CBA and/or any applicable law.

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

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 current or prospective Applicant, Candidate or Employee.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

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

Position: Any County employment position working within OIIG.

Preferred Qualifications: The specific preferred qualifications listed on the Job Description and reflected in the Pre-Screening Questions that an Applicant or Candidate for an Actively Recruited Position may possess and that will be considered by the Interview Review Panel in creating the Interview List pursuant to Section VIII.K.

Preliminary Eligibility List: The list of Applicants who have completed and submitted 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 contained on ATAS that are designed to identify whether an Applicant possesses specific Preferred Qualifications described on the Job Description.

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

Promotion: The appointment of a current Employee to a Position that is a higher grade than his or her current Position and/or that provides a higher level of responsibility or recognition.

Promotional Position: A Position that has been identified by the IIG as offering a promotional opportunity, including an opportunity to move to a Position that is in a higher grade, to Employees because their prior experience working for OIIG is determined to be an asset to the Position.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

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

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

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

Recruiting Consultant: An outside third-party consulting company, educational institution, professional organization, individual or job search organization retained or solicited by OIIG for the purpose of recruiting Applicants for Positions.

Reinstatement Candidate: An Employee who has been on an authorized leave of absence and may seek reinstatement in accordance with the OIIG Policies and Procedure Manual or any applicable CBA, or any individual who is entitled to reinstatement pursuant to any judgment, negotiated settlement of a claim, complaint, or arbitral award.

Request to Hire ("RTH"): The form completed by the IIG or his or her designee and submitted to BHR in hard copy or through ATAS, which initiates hiring activities to fill a Position pursuant to Sections V and VIII. A current copy of the RTH, which may be amended from time to time, is attached as Exhibit G.

RTH: See Request to Hire.

SRO: See Supplemental Relief Order.

Supervisor: An Employee who, among other managerial duties, has the authority to authorize, execute or recommend any Employment Action. Supervisors currently include the IIG, OIIG General Counsel and OIIG Deputy Inspectors General.

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

Termination: The involuntary separation of an Employee from employment.

Transfer: The transfer of an Employee from one assignment within OIIG to another assignment within OIIG that does not involve changing the payroll designation or the Position held by the Employee.

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

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

Upgrade: The process by which a Position is upgraded from one pay grade to a higher pay grade.

Validated Eligibility List: The list containing the names of Candidates who have been validated pursuant to Sections V.J. and VIII.I.

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

III. GENERAL PRINCIPLES AND COMMITMENTS APPLICABLE TO HIRING WITHIN OIIG

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

A. Commitment. OIIG will implement and adopt pro-active and transparent employment-related policies, practices and procedures that will prevent Unlawful Political Contacts and Unlawful Political Discrimination as required by Executive Order and Ordinances and that will further their purposes and requirements under the Enabling Ordinance. No agreement between OIIG and any other individual or entity shall provide otherwise.

B. No Employment Actions Influenced By Political Reasons or Factors. No Employment Action affecting any Employee shall be influenced by any Political Reasons or Factors.

C. Unlawful Political Discrimination Reporting. Any Employee who learns of or has a reasonable belief that Unlawful Political Discrimination has occurred or is occurring, is required to report such matter to the IIG, or to the OIIG Employment Plan Officer in the event the report involves the IIG, directly and without delay, in person and in writing. All Employees are required to cooperate fully in any investigation of such matter conducted by the IIG or the OIIG Employment Plan Officer, as applicable. Any Employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including Termination, provided that such reporting and cooperation are not required if either would violate the Employee's constitutional rights. In the event the report involves an act of Unlawful Political Discrimination by the IIG, the OIIG Employment Plan Officer will refer the matter in writing to the President for further action pursuant to the terms of Section 2-290 of the Enabling Ordinance.

D. Political Contact Reporting. Any Employee (including the IIG) who receives or has reason to believe a Political Contact has occurred or is occurring is required to complete a

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

Contact Log Reporting Form and submit it to the IIG immediately. All Employees are required to cooperate fully in any investigation of such contact conducted by OIIG. Any Employee who fails to submit a Contact Log Reporting Form and cooperate as required will be subject to disciplinary action, up to and including Termination, provided that such submission and cooperation are not required if either would violate the Employee's constitutional rights.

E. Equal Employment Opportunity. The County, including OIIG, 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 in compliance with applicable law and the Ordinances.

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

G. No Retaliation. OIIG shall prohibit retaliation, punishment or penalty for reporting a Political Contact, initiating a complaint related to any alleged Unlawful Political Contact or Unlawful Political Discrimination, or cooperating with or assisting any other person or authority in connection with any such report or complaint.

H. OIIG Staff. OIIG shall maintain a staff of experienced and knowledgeable professionals who meet or exceed the Minimum Qualifications contained in the Job Descriptions for their Positions and who are able to fulfill OIIG's obligations under this OIIG Employment Plan and the Enabling Ordinance.

I. Use of BHR Staff. Nothing herein prohibits OIIG from fulfilling any or all of its administrative obligations under this OIIG Employment Plan by delegating some or all of them to BHR on a temporary or ongoing basis, provided BHR complies with all provisions of this OIIG Employment Plan in performing such obligations.

J. Union Relations. The County, including OIIG, respects the County's relationships with its employees' legally recognized collective bargaining representatives and the provisions of the CBAs it has negotiated with such representatives. Those relationships are governed by the Illinois Public Labor Relations Act, 5 ILCS 315, *et seq.*, as amended, and this OIIG Employment Plan and the OIIG Policies and Procedures 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 OIIG Employment Plan or the OIIG Policies and Procedures Manual, the language in the CBA will govern provided it does not permit or involve the use of any Unlawful Political Contact or Unlawful Political Discrimination or otherwise conflict with OIIG's responsibilities under the Enabling Ordinance and this OIIG Employment Plan

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

L. Interpretation of this OIIG Employment Plan. All portions and provisions of this OIIG Employment Plan will be interpreted as being in furtherance of the above principles and commitments, as well as Ordinances and Executive Order.

M. Changes to OIIG Employment Plan. This OIIG Employment Plan may be amended only as follows:

1. No portion of this OIIG Employment Plan may be amended in a manner that would compromise or conflict with OIIG's commitment in Section III.A.

2. The IIG may from time to time amend this OIIG Employment Plan following written notice of any proposed changes to this OIIG Employment Plan to the OIIG Employment Plan Officer. The OIIG Employment Plan Officer shall be given an opportunity to review and comment on the proposed amendment prior to implementation. If the OIIG Employment Plan Officer objects to the change, he or she must do so in writing within five (5) business days and submit the same to the IIG. The IIG and the OIIG Employment Plan Officer will then meet to discuss the matter. The decision of the IIG on any proposed change to this OIIG Employment Plan will be final. Proposed changes to this OIIG Employment Plan will be implemented no sooner than ten (10) business days from either the date the OIIG Employment Plan Officer was provided notice of the proposed changes or the date the IIG and the OIIG Employment Plan Officer meet to discuss any objections to the proposed changes, whichever is later. All changes to this OIIG Employment Plan will be posted on the OIIG website. If the OIIG Employment Plan Officer objects to the proposed change and the IIG elects to implement the change despite such objection, the written objection of the OIIG Employment Plan Officer shall also be posted on the OIIG website.

IV. GENERAL PRINCIPLES AND RESPONSIBILITIES RELATED TO BHR AND OIIG

The IIG is responsible for initiating, directing, coordinating and overseeing the human resources processes, policies and procedures of OIIG relating to Employment Actions involving Employees. At present, the OIIG will perform, or delegate to BHR, the following responsibilities:

A. OIIG Policies and Procedures Manual. The OIIG Policies and Procedures Manual shall at all times be consistent and in compliance with and effectuate all provisions of this OIIG Employment Plan and the Enabling Ordinance. The IIG may revise and update the OIIG Policies and Procedures Manual provided the IIG will send a copy of the proposed revision or update to the OIIG Employment Plan Officer for comment and approval. The IIG or his or her designee will post any revised and updated version of this OIIG Employment Plan and the OIIG Policies and Procedures Manual on OIIG website immediately.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

C. OIIG Employment Plan Officer.

1. Responsibilities. The IIG will appoint an Employee to serve as the OIIG Employment Plan Officer whose responsibilities will include, but not be limited to: (a) overseeing compliance with this OIIG Employment Plan; (b) accepting complaints related to OIIG Employment Actions and this OIIG Employment Plan; (c) taking appropriate steps to evaluate, eliminate, remedy and report instances of Political Contacts and Unlawful Political Discrimination; (d) implementation of training programs and preparing training materials; and (e) reviewing the OIIG Policies and Procedures Manual. The OIIG Employment Plan Officer will also issue semi-annual reports every March 15 and September 15 to the President and the IIG describing his or her activities during the prior six months, including, but not limited to: (i) auditing activities as required by this OIIG Employment Plan; (ii) any violations of the OIIG Employment Plan discovered; (iii) any remedial actions recommended; and (iv) any corrective action taken by the IIG to address the violations. The OIIG Employment Plan Officer's semi-annual reports shall be posted on the OIIG website. Nothing shall prohibit the OIIG Employment Plan Officer from performing other duties on behalf of the OIIG in addition to those in this OIIG Employment Plan as long as they do not interfere with his or her duties as the OIIG Employment Plan Officer.

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

3. Termination. The OIIG Employment Plan Officer will be an employee of the County and will not be subject to career service. The OIIG Employment Plan Officer shall serve at the pleasure of the IIG, subject to 90 days prior written notice of termination or 90 days salary continuation in the event of involuntary Termination for other than cause.

D. Supervisor Training. The IIG or his or her designee will provide comprehensive mandatory training for all Supervisors to ensure they are aware of and knowledgeable about this OIIG Employment Plan, the OIIG Policies and Procedures Manual and Unlawful Political Discrimination. All Supervisors will receive such training no later than 90 days following their appointment as a Supervisor and no less frequently than annually thereafter. The IIG or his or her designee will continue to provide ongoing training to supervisors regarding changes to this OIIG Employment Plan and OIIG Policies and Procedures Manual as necessary.

E. Employee Training. The IIG or his or her designee will conduct comprehensive mandatory training of all Employees to ensure they are aware of and knowledgeable about this OIIG Employment Plan, the OIIG Policies and Procedures Manual and Unlawful Political Discrimination. All Employees will receive such training no later than 90 days following the

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

beginning of employment and no less frequently than annually thereafter. The IIG or his or her designee will continue to provide ongoing training to Employees regarding changes to this OIIG Employment Plan and OIIG Policies and Procedures Manual as necessary.

F. Application Validation Panel and Interview Panel Member Training. The IIG or his or her designee will conduct mandatory comprehensive training of all Employees who are eligible to review and validate applications and/or interview Candidates for any Position. This training will cover proper validation protocols and interviewing conduct, techniques and requirements, as well as the prohibition of Unlawful Political Contacts and Unlawful Political Discrimination. Receipt of such training must be certified in writing and the certification placed in such Employees' personnel files. The IIG or his or her designee shall maintain a list of all Employees who have been certified as completing such training. Only Employees who have been certified will be eligible to participate in any Application Validation Panel or Interview Panel.

G. Access to Information Regarding Applicants. The IIG or his or her designee will take steps to ensure that no information about any Applicant or Candidate is available to or shared with any party unless he or she is specifically authorized to receive such information.

H. Review of Job Descriptions. All Job Descriptions must include a list of all Minimum Qualifications and Preferred Qualifications, if applicable, and they must be accurate and readily available to the public. Accordingly, the IIG or his or her designee, with assistance from BHR, shall: (1) review the Job Description for each Position for which a RTH will be submitted to ensure that it is accurate and reflects the current duties and Minimum Qualifications necessary to perform the job and (2) update and revise any such Job Description that is not accurate.

I. Violations of the Employment Plan. If any Employee becomes aware of or receives a complaint that involves an allegation of a violation of this OIIG Employment Plan or the OIIG Personnel Rules in connection with an Employment Action, the Employee shall refer the complaint to the OIIG Employment Plan Officer. The OIIG Employment Plan Officer shall do the following:

1. Allegations Against the IIG. In the event the complaint involves an act by the IIG, the OIIG Employment Plan Officer will refer the matter in writing to the President for further action pursuant to the terms of Section 2-290 of the Enabling Ordinance.

2. OIIG Employment Plan Officer Investigation. The OIIG Employment Plan Officer shall investigate any matter not involving an act by the IIG. Such investigation shall include, but not be limited to, a review of all relevant documents and interviews with witnesses.

3. Preparation of Incident Report. Upon conclusion of his or her investigation, the OIIG Employment Plan Officer shall prepare an Incident Report, which shall include the following:

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

- b. A description of any violation of or non-compliance with this OIIG Employment Plan or the OIIG Personnel Rules discovered or a confirmation that no violation or non-compliance was discovered;
 - c. A recommendation either that no action be taken or that a specific corrective action be taken, and a full explanation of the basis for such recommendation; and
 - d. Such other information as the OIIG Employment Plan Officer may deem relevant to the investigation or resulting recommendations.
4. Submission of Incident Report to the IIG. The OIIG Employment Plan Officer shall submit a copy of the Incident Report to the IIG for review. The OIIG Employment Plan Officer shall maintain a copy of the Incident Report in his or her files.
5. Preparation of Redacted Incident Report. The OIIG Employment Plan Officer shall prepare a Redacted Incident Report for the public. The OIIG Employment Plan Officer shall redact from the Incident Report the names of any informants, complainants, witnesses and persons investigated, except to the extent necessary to implement the proposed recommendations. The OIIG Employment Plan Officer may also redact from the Incident Report all information that is protected by statute or other applicable law or privilege (e.g., Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.).
6. Review of Incident Report and Preparation of IIG Report. If the Incident Report finds that no violation occurred, the IIG shall file the Incident Report and no IIG Report will be required. If the Incident Report contains a finding of violation of or non-compliance with this OIIG Employment Plan or includes a recommendation of corrective action, the IIG shall review the Incident Report and prepare an IIG Report (a) confirming implementation of the OIIG Employment Plan Officer's recommended action, or (b) explaining why the recommended action was not implemented and describing the alternative action the IIG has elected to take and the specific reasons for such alternative action. The IIG may suspend or terminate the hiring process (if applicable) and impose other remedial actions pending receipt of the Incident Report and the IIG Report.
7. Availability of Reports. A redacted Incident Report and the IIG Report shall be made available to the public upon request to the OIIG Employment Plan Officer made in person, via e-mail, or by mail. The OIIG Employment Plan Officer will provide the requested Incident Report and/or the IIG Report in the same manner as requested within 10 days of the request. OIIG will place notice of such availability and procedure for requesting reports on its website. Redacted Incident Reports and IIG Reports that are available to the public shall not include any names or other personally-identifiable information. The OIIG Employment Plan Officer shall redact from the IIG Report the names of any informants, complainants, witnesses and persons investigated, and all information that is protected by statute or other applicable law or privilege (e.g., Health Insurance Portability and Accountability Act of 1996, law enforcement privilege, etc.) prior to releasing the IIG Report to the public.
- J. Recordkeeping. OIIG 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 or any

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

applicable CBA. OIIG will also keep personnel files for Employees for a minimum of three years after the date the applicable Employee is no longer employed by OIIG, or longer, if required by law or under any applicable CBA.

K. General Principles and Responsibilities Related to ATAS. The implementation and use of ATAS by OIIG and BHR, where applicable, shall be in compliance with OIIG's commitments and obligations under this OIIG Employment Plan, as well as the Executive Order and Ordinances and as follows:

1. Training. The IIG or his or her designee shall develop written training program and provide on-site training for Supervisors and all other Employees who will have access to and use ATAS, and will provide expertise to respond to questions as needed.

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

3. Monitoring of ATAS Activities. The IIG or his or her designee will have full and continual access to review all hiring activities of Employees using ATAS in order to assure policies and procedures are being followed and to assist in any investigation of violations.

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

V. GENERAL HIRING PROCESS

Except as specifically provided in this OIIG Employment Plan and the Enabling Ordinance, the following General Hiring Process applies to all Applicants and Candidates for employment in OIIG, as well as all Employees.

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

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

2. Recruiter Training. All Employees who engage in any recruitment activity will receive training from OIIG in proper recruitment practices that comply with this OIIG Employment Plan prior to engaging in any recruitment activity. Such training will be certified in writing by the IIG or his or her designee and included in the Employees' personnel files. Employees who send notifications of postings to or solicit applications from schools,

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

professional organizations or community organizations shall not be considered as engaging in recruitment activities for purposes of this OIIG Employment Plan.

3. Recruitment Event Participation. Employees who have received recruiter training as required in Section V.A.2 may engage in recruitment activities and participate in recruiting events, including, but not limited to, job fairs, school sponsored campus recruitment events, professional organization employment programs and community based employment programs. Employees involved in recruiting shall advise all recruitment sources and event attendees that OIIG does not hire or accept recommendations for Positions based on Political Reasons or Factors and that all applications for employment with OIIG must be submitted through ATAS.

B. Requests to Hire. The IIG or his or her designee shall submit a RTH to BHR for each Position vacancy in accordance with the following:

1. Submission of RTH. The IIG or his or her designee will prepare a RTH, including written justifications for filling or creating the Position, and submit it to BHR, with a copy to the OIIG Employment Plan Officer. The IIG shall submit a RTH only when a Position has been budgeted, and the IIG or his or her designee will confirm the Position has been budgeted with the County's Budget and Management Services Director.

2. Current Job Description. The IIG or his or her designee will submit a Job Description containing a list of all Minimum Qualifications and Preferred Qualifications, if applicable, to BHR with the RTH. If no Job Description exists, there is a material alteration of the previous Job Description for the Position, or the existing Job Description is not accurate, the IIG or his or her designee will draft a new or updated Job Description that accurately reflects the requirements of the Position. The IIG or his or her designee shall also send copies of all existing, new and updated Job Descriptions to the OIIG Employment Plan Officer. The Chief of BHR or his or her designee may assist the IIG or his or her designee in preparing the Job Description as well as assure it complies with the County's policies regarding the content and format of Job Descriptions.

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

1. Prohibited Contacts. Except as provided in Section V.C.2, no Politically Related Person or Organization or any County employee, including any Employee, may contact any Employee involved in any Employment Action to influence such Employment Action unless he or she is an authorized participant in the Employment Action.

2. Permitted Recommendations. The prohibitions of Section V.C.1 do not limit the right of any citizen, including any Politically-Related Person or Organization or any County employee, including any 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.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

3. Reporting of Political Contacts. All Political Contacts for any Applicant, Candidate or Employee shall be reviewed by the IIG or his or her designee for compliance with this Section V.C and shall be recorded on a Contact Log Reporting Form and be included on the Contact Log. The IIG shall forward copies of all Contact Log Reporting Forms and written recommendations made by any Politically-Related Person or Organization to the OIIG Employment Plan Officer.

4. IIG Determinations. The IIG shall act in accordance with his or her authority in determining the appropriate steps to be taken in response to any Political Contact. Those recommendations determined not to be based on Political Reasons or Factors shall be included in the individual's employment file in the event the individual is selected for employment. Those recommendations deemed based on Political Reasons or Factors will be subject to remedial action in accordance with the Enabling Ordinance.

D. Preparation of Notice of Job Opportunity and ATAS Posting. The Notice of Job Opportunity shall be prepared in accordance with Section V.D of the County Employment Plan: provided the IIG, rather than the Chief of BHR, shall confirm the accuracy of the job description and the presence of all required contents of the notice.

E. Posting of Notice of Job Opportunity. All Notices of Job Opportunity will be posted on ATAS by BHR in compliance with Section V.E of the County Employment Plan.

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

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

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

I. Creation of Preliminary Eligibility List. After the final posting closing date, BHR will 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.

1. Fewer than 75 Applicants. If the Preliminary Eligibility List prepared pursuant to this Section V.I contains the names of 75 or fewer Applicants, BHR will validate all Applicants pursuant to Section V.J.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

2. More Than 75 Applicants. In the event the Preliminary Eligibility List prepared pursuant to this Section V.I contains the names of more than 75 Applicants, BHR will form a pool of 75 Candidates from the names on the Preliminary Eligibility List through the use of a computer-based randomization function (which is part of ATAS or another computer program) and then validate those 75 Applicants pursuant to Section V.J.

3. Notice of Randomization. The IIG or his or her designee and the OIIG Employment Plan Officer shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section V.I, and either or both may be present during any such randomization process.

J. Creation of a Validated Eligibility List. BHR shall create a Validated Eligibility List in accordance with this Section V.J in order to determine which Candidate(s) may be referred to OIIG for interviews. BHR will validate the Preliminary Eligibility List created in Section V.I by reviewing the information contained on the online applications and resumes of all Applicants listed on the Preliminary Eligibility List as follows:

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

2. Validation of Disciplinary History for Internal Candidates or Former County Employees. Following the validation procedure described in Section V.J.1, BHR will conduct the following review for Applicants whose names were not removed from the Preliminary Eligibility List pursuant to Section V.I, unless a smaller pool was formed pursuant to Section V.I.2, in which case the review will be confined to such smaller pool. For (a) Internal Applicants and (b) External Applicants who indicated on their application that they were employed by Cook County's Offices Under the President (including OIIG) at any time in the 12 months preceding the Applicant's application for hire, BHR will review those Applicants' personnel files; provided the IIG shall review the personnel file of any Internal Applicant who is then an Employee working at OIIG.

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

b. Former Cook County Employees' Disciplinary History Validation. BHR will review the disciplinary record of any External Applicant who was employed by Cook

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

County and worked in an Office Under the President or OIIG during the 24 months preceding his or her application. Any External Applicant employed by a County Office Under the President or OIIG within the 24 months preceding his or her application who was subject to a suspension while working for Cook County in an Office Under the President or OIIG during the last 24 months of such employment 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 pursuant to Section V.T to an External Applicant who was employed by the County in an Office Under the President or OIIG within the 24 months preceding his or her application, BHR will provide the IIG with a copy of such External Applicant's disciplinary record.

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

4. Record of Determinations. BHR 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 OIIG when the validation process has been completed for each posting within 48 hours of completion.

K. Creation of an Interview List.

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

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

3. Notice of Randomization Process. The IIG and the OIIG Employment Plan Officer shall be notified at least 48 hours in advance of any randomization of names pursuant to this Section V.K, and either or both may be present during any such randomization process.

L. Submission of Interview List. The Chief of BHR or his or her designee will create and send the Interview List to the IIG or his or her designee for interviews. The IIG or his or her designee shall notify the Chief of BHR or his or her designee in writing of such election.

M. Use of Validated Eligibility Lists. The Validated Eligibility List, minus any names removed for any reasons other than randomization, may be used for purposes of filling subsequent vacancies for the same Position for a period of 12 months from the date created.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

N. Interview Preparation.

1. Interview Scheduling. The IIG or his or her designee will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the OIIG Employment Plan Officer at least 48 hours prior to the date of the first interview.

2. Interview Panel Selection. The IIG or his or her designee will select the Interview Panel, which may include the IIG and will consist of at least two Employees, one of whom may be the IIG and at least one of whom is a Supervisor. The Supervisor(s) may come from outside the Hiring Department. The IIG may appoint a Senior Investigator to serve on the Interview Panel if the OIIG Actively Recruited Position is lower than the Position held by the Senior Investigator and the Senior Investigator has received training pursuant to Section IV.F.

3. Interview Questions. The IIG or his or her designee, with the assistance of the Chief of BHR or his or her designee, will prepare a list of a minimum of five interview questions relating to each Position. All questions shall be considered and treated as confidential, and they may not be disclosed to anyone other than the IIG or his or her designee prior to the interviews. All 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. Candidates should be counseled not to divulge questions asked of them to anyone after their interviews.

O. Pre-Interview License and Certification Verification. All Candidates will be required to produce required documents (e.g., licenses, diplomas, school transcripts, certifications, etc.) listed on the Notice of Job Opportunity prior to the completion of the last interview for the Position, but preferably prior to 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 the end of the final interview for the Position will be considered ineligible for further consideration.

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

1. Notification. At least 48 hours prior to any interview, the IIG or his or her designee will notify the OIIG Employment Plan Officer in writing of the time and place of each interview. The OIIG Employment Plan Officer may be present to monitor any interview.

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

a. The IIG will assign a Supervisor on the Interview Panel to lead and facilitate the interview process, collect required documents from Candidates, assure that Interview Evaluations Forms and Interview Ranking Forms are completed and collected after the interviews, and assure the Interview Files are complete.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

b. In the event a potential Conflict of Interest is discovered prior to or during any interview, the Interview Panel member with the Conflict of Interest shall, as soon as possible, notify the IIG or his or her designee and the other members of the Interview Panel, that a Conflict of Interest may exist and that a substitution may be needed. The IIG or his or her designee will decide if the Panel Member must be removed from the panel. If the IIG determines that a Conflict of Interest exists, the Interview Panel member with the Conflict of Interest will be excused and will not be allowed to participate in the interview or the selection process for that Candidate, and a substitute Interview Panel member will be assigned. If no substitute is available, the interview will be rescheduled. The substitute Interview Panel member shall assume the other Interview Panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If it is determined that there is no Conflict of Interest, the Interview Panel member will not be excused or replaced. If a Conflict of Interest is discovered after an interview, the IIG must be notified and he or she will make the determination of whether a second Interview Panel must be convened.

c. All Candidates interviewed for the same Position will be asked to respond to at least the same pre-approved interview questions, provided Internal Candidates for Promotional Positions may be asked different job-related questions based on their specific experience with OIIG. Additional and follow-up questions by the Interview Panel members are permitted and encouraged provided they are related to a determination of the Candidate's suitability for the Position.

d. The Interview Panel members shall ask questions that establish, at a minimum, the Candidate's: (i) willingness and ability to perform the duties of the Position; (ii) availability for work hours and willingness to work at the location where the Position is located; (iii) prior job performance; (iv) knowledge and understanding of the requirements of the Position; (v) relative qualifications for the Position as compared with other Candidates; and (vi) overall credibility. The questions asked shall be in compliance with applicable employment and labor laws and regulations, including those laws or regulations pertaining to employment discrimination. None of the above factors will be considered determinative, and Interview Panel members may assess what, if any, weight is to be given to each factor.

3. Interviewer Evaluation Form and Preparation of Ranked Validated Eligibility List. Each Interview Panel member will independently and personally complete and sign an Interviewer Evaluation Form for each Candidate at the conclusion of the interview and will score each Candidate as 1 (unacceptable), 2 (marginally acceptable), 3 (acceptable), 4 (very good) or 5 (excellent) in each category listed on the Interviewer Evaluation Form. The basis of any score of 5 or 1 must be explained in detail by the Interview Panel member on his or her Interviewer Evaluation Form. No person may alter, add to or delete from any Interviewer Evaluation Form other than the Interview Panel member who completes and signs it. The Interview Panel members will submit the original completed Interviewer Evaluation Forms to the Interview Panel member designated pursuant to Section P.2.(a), who 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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

for further consideration, and his or her name shall not be included on the Ranked Validated Eligibility List.

Q. 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 must be subject to the same test. Each pre-employment test will be administered, scored, considered, and weighted on a consistent basis for each Candidate, and a passing score for such tests will be established in writing before any test is administered to a Candidate. The names of Candidates who do not achieve the pre-determined passing score shall be removed from the Ranked Validated Eligibility List.

R. Candidate Selection Procedure. Following completion of interviews with all Candidates, the Interview Panel shall select Candidates for employment in accordance with the following:

1. Selection Meeting. Within three business days following the last Candidate interview, the Interview Panel will conduct a selection meeting at which all of the Interview Panel members are present and at which each Interview Panel member has an opportunity to freely and without fear of retaliation express his or her opinion regarding each of the Candidates. The Interview Panel will discuss the Candidates interviewed in the order they appear on the Ranked Validated Eligibility List. The Chief of BHR or his or her designee may be asked to provide the Interview Panel with advice and expertise.

2. Interview Panel Ranking Form. The Interview Panel will select and rank the top three Candidates from the Ranked Validated Eligibility List in order of preference on the Interview Panel Ranking Form. If there is more than one vacancy, the Interview Panel will select and rank the top three Candidates plus a 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. The Interview Panel will rank only those Candidates recommended for employment and deemed eligible for ranking. If there is not a sufficient number of Candidates deemed eligible, the Position will be reposted.

3. Documentation of Selection Meeting. The Interview Panel member designated pursuant to Section P.2. (a) 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 Interview Panel, as well as the basis or bases on which any Candidate was not recommended for employment and deemed ineligible for ranking. The notes, the Interview Evaluation Forms and the Interview Panel Ranking Form will be included in the Interview File.

4. Final Selection. The IIG shall review the Interview Panel's recommendation and make the final selection. If the Candidate selected by the IIG 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 IIG shall prepare a written explanation of the basis or bases on which he or she made the selection and include it in the Interview File, along with a NPCC.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

5. Justification to Hire. The IIG or his or her designee shall prepare the Justification to Hire, which will be sent to the Chief of BHR or his or her designee along with the Interview File. A copy of the Interview File shall also be made available to the OIIG Employment Plan Officer.

S. Final Screening. The IIG or his or her designee and BHR will conduct a final screening of the Candidate or Candidates selected by the IIG pursuant to Section R.4 as follows:

1. Documentation Review. The IIG or his or her designee will review the Interview File to ensure it contains all required documentation relating to the posting, and no offer will be extended prior to the receipt of all required documents and supporting materials from OIIG.

2. Verification of Past Employment. The IIG or his or her designee shall attempt to contact at least one professional reference (preferably the most recent employer) listed on the application of selected Candidates who are External Applicants in order to verify the accuracy of information contained on the application. Any Candidate who the IIG 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 IIG or his or her designee will document in the Interview File the basis of his or her finding of ineligibility and provide a copy of such documentation to the OIIG Employment Plan Officer.

3. Grant of Authority. The IIG or his or her designee will prepare and submit a Grant of Authority Form for signature by the Chief of BHR. The Grant of Authority Form will include at a minimum the name(s) of the selected Candidate(s) and the proposed salary. A copy of the completed Grant of Authority shall be sent to the IIG.

T. Offers of Employment. The IIG or his or her designee will extend employment offers in accordance with the following:

1. Extension of Offer. After receipt of the fully executed Grant of Authority Form, the IIG or his or her designee will extend a written offer of employment to the selected Candidate(s) with a copy to the Chief of BHR. All offers of employment will be made in writing. All offers of employment will be contingent upon the Candidate's successful completion of all post-offer tests described in Section V.U. If a selected Candidate begins employment before the results of any post-offer test has been received, the Candidate will be advised in writing 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.S and offered contingent employment pursuant to Section V.T.1.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

3. No Acceptance. If no Candidate interviewed is determined eligible or accepts the offer of employment, a new pool or pools will be created pursuant to Section V.I until the Validated Eligibility List has been exhausted, at which time the Position will be reposted. This Section V.T.3 is subject to the provisions of Section V.M.

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

1. Drug Test. All selected Candidates selected to fill a Position, except for those Candidates who are then employed by the County and have undergone a drug test within the preceding twelve months will be required to submit to a drug test prior to the commencement of employment in accordance with Cook County Government policy and applicable law. Those whose drug tests indicate the use of a controlled substance other than a prescribed medication being taken as prescribed will not be considered eligible and the offer of employment will be withdrawn, or, if applicable, the individual will be terminated.

2. Medical Examination. All selected Candidates for Positions designated by the County as requiring a pre-employment medical examination who are not then employed by the County will be required to submit to a medical exam by a licensed physician or nurse practitioner. Candidates whose medical examination 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 background check conducted by the IIG or his or her designee in compliance with applicable law. If such background check reveals that a selected Candidate has been convicted of a felony or misdemeanor or has a history of another offense or activity that negatively impacts or could negatively impact his or her suitability for the Position, the matter will be referred to the OIIG Employment Plan Officer for further investigation. The IIG, with the assistance of the OIIG Employment Plan Officer, shall investigate the facts and circumstances and make a written determination of whether the conviction, offense or activity disqualifies the Candidate for employment, which shall be sent to the OIIG Employment Plan Officer. Upon receipt of a determination of ineligibility, the IIG or his or her designee shall withdraw the offer or, if applicable, terminate the individual. If the background check reveals a selected Candidate has withheld or given materially inaccurate, incomplete or misleading information concerning his or her background, 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.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

VII. EXCEPTIONS TO THE GENERAL HIRING PROCESS

The limited exceptions contained in this Section VII shall apply to OIIG as follows, provided no exception described in this Section VII shall be interpreted to permit any Employment Actions to be based on any Political Reasons or Factors.

- A. Settlements and Awards. OIIG may comply with any judgment, negotiated settlement of a claim, complaint or arbitral award that requires OIIG to take an Employment Action with respect to a specific individual or individuals which would otherwise be contrary to the requirements of this OIIG Employment Plan.
- B. Layoffs. OIIG shall follow the OIIG Policies and Procedures Manual with respect to Layoffs.
- C. Recall and Re-employment. OIIG shall follow the OIIG Policies and Procedures Manual with respect to Recalls and Re-employment.
- D. Promotional Positions. Except as provided in this Section VII.D, OIIG shall follow the General Hiring Process in Section V for all Promotional Positions.

OIIG may exclude the names of Internal Applicants from the randomization processes described in Sections V.I.2, V.K.1, and V.K.2 Promotional Positions provided OIIG complies with the following procedures:

- 1. Submission of RTH for Promotional Position. The IIG may specify on an RTH submitted pursuant to Section V.B that a Position be considered a Promotional Position, including a description of the basis or bases for such designation and a NPCC. Such request will be sent to the OIIG Employment Plan Officer.
- 2. Review of Submission of RTH for Promotional Position. The OIIG Employment Plan Officer shall review the RTH and confirm the Position is appropriate for consideration as a Promotional Position based on the IIG's justification, the nature and level of the Position compared to others within OIIG, and the likelihood that the experience of Employees would be beneficial in carrying out the duties and responsibilities of the Position. If the OIIG Employment Plan Officer believes the Position is not appropriate for consideration as a Promotional Position, he or she shall notify the IIG and meet with the IIG to discuss the matter. In the event the IIG and OIIG Employment Plan Officer do not reach an agreement, the IIG shall make the final decision, provided he or she shall prepare a written report of the OIIG Employment Plan Officer's concerns and the IIG response to those concerns and submit it to the Chief of BHR for inclusion in the file.
- 3. Exclusion from Randomization. The names of all Internal Applicants who work within OIIG who complete the application process pursuant to Section V.F. shall not be subject to randomization pursuant to Section V.I.2. and shall be included on the Preliminary Eligibility List. The names of such Internal Applicants who are validated pursuant to Section V.J. and determined to possess the Minimum Qualifications of the Promotional Position shall not be

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

subject to randomization pursuant to Sections V.K.1 and 2 and shall be included on the Validated Eligibility List.

4. Compliance with General Hiring Process. OIIG shall comply with all other provisions of Section V with respect to Promotional Positions unless specifically provided otherwise in this Section VII.D.

5. NPCC. Individuals promoted or hired under this Section VII.D must sign a NPCC, and those persons participating in the hiring must also sign a NPCC certifying that no Political Reasons or Factors were considered in the designation of a Promotional Position or in the promotion or hire.

E. Demotion. OIIG shall follow the OIIG Policies and Procedures Manual with respect to Demotions

F. Reclassifications and Upgrades. OIIG shall follow the OIIG Policies and Procedures Manual with respect to Reclassifications and Upgrades.

G. Transfers. OIIG shall follow the OIIG Policies and Procedures Manual with respect to Transfers.

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

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

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

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

4. Reporting of Transitional Assignments. Copies of all requests, NPCCs, RTHs, employment applications, and other documents involving a Transitional Assignment shall be sent to the OIIG Employment Plan Officer.

VIII. OIIG ACTIVELY RECRUITED POSITION HIRING PROCESS

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

A. No Political Reasons or Factors. No Employment Action covering an OIIG Actively Recruited Position may be based on any Political Reasons or Factors. All individuals involved in any Employment Action relating to an Applicant or Candidate for an OIIG Actively Recruited Position must execute a NPCC when participating in such Employment Action, and all Candidates selected for an OIIG Actively Recruited Position must execute an Applicant/Candidate Certification upon hire.

B. Recruiting Activities. In addition to recruiting activities pursuant to Section V.A., OIIG may recruit Applicants and Candidates for OIIG Actively Recruited Positions in accordance with the following:

1. Solicitation of Applicants. The IIG and/or his or her designees may solicit applications for OIIG Actively Recruited Positions through Recruiting Entities; provided the IIG or his or her designee may not solicit Applicants from any Politically-Related Person or Organization. The IIG may retain a Recruiting Consultant to assist in locating and identifying potential Applicants for OIIG Actively Recruited Positions. The IIG or his or her designee may also participate directly in recruitment events as described in Section V.A.3. The IIG and his or her designees shall direct all potential Applicants to apply for OIIG Actively Positions using the ATAS, and all potential Applicants must complete and submit an application using the ATAS to be considered eligible for employment. The IIG and his or her designee may also solicit applications for OIIG Actively Recruited Positions directly from prospective Applicants and direct all potential Applicants to apply for OIIG Actively Recruited Positions using the ATAS and all potential Applicants must complete and submit an application using the ATAS to be considered eligible for employment.

2. Recruiting Consultant Contract Anti-Discrimination Terms. Any contracts between a Recruiting Consultant and OIIG shall contain a provision that prohibits participation in Unlawful Political Discrimination and requires the Recruiting Consultant to report all Political Contacts to OIIG.

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

D. Preparation of Notice of Job Opportunity. The Notice of Job Opportunity shall be prepared in accordance with Section V.D. Such notice shall include a requirement that all Applicants attach a resume to their ATAS applications.

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

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

G. Application Screening. Each Applicant will be required to answer Disqualifying Questions and any applicable Prescreening Questions on ATAS. Applicants whose answers

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

indicate they do not have all of the Minimum Qualifications will not be considered eligible for the OIIG Actively Recruited Position. The same Disqualifying Questions and Prescreening Questions will be asked of all Applicants applying for the same OIIG Actively Recruited Position.

H. Creation of Preliminary Eligibility List. After the final posting closing date, BHR will create a Preliminary Eligibility List for each OIIG Actively Recruited 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. All Applicants on the Preliminary Eligibility List shall be vetted and the population of Applicants on the Preliminary Eligibility List will not be reduced through any random selection of a small number of Applicants.

I. Creation of a Validated Eligibility List. BHR will validate the information contained on the online applications and resumes in accordance with Section V.J.

J. Appointment of an Application Review Panel. The IIG shall appoint an Application Review Panel consisting of the IIG or his or her designee and at least two other Supervisors who have received validation and interview training pursuant to Section IV.F. If there are an insufficient number of Supervisors available, the IIG may request the participation of the Chief of BHR or his or her designee, at the discretion of the IIG. Alternatively, the IIG may appoint a Senior Investigator of OIIG to serve on the Application Review Panel if the OIIG Actively Recruited Position under consideration is a lower level than the Senior OIIG Investigator Position and the Senior Investigator has received validation training pursuant to Section IV.F.

K. Creation of Interview List. Upon receipt of the Validated Eligibility List and Job Description from BHR, the Application Review Panel shall review the applications and resumes of all Candidates listed on the Validated Eligibility List and select at least three Candidates to put on the Interview List based on the extent to which each Candidate meets any Preferred Qualifications, if applicable, and has the work-related experience, education, knowledge, skills and abilities needed for the Actively Recruited Position. In order to determine whether an Applicant possesses Preferred Qualification(s), the Application Review Panel 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 Prescreening Questions. If there is more than one vacancy for an OIIG Actively Recruited Position, the Application Review Panel shall endeavor to select at least three Candidates per vacant position. If fewer than three Candidates are on the Validated Eligibility List, the Application Review Panel may request BHR to either repost the OIIG Actively Recruited Position or the Application Review Panel may place the Candidate(s) on the Interview List. The OIIG Employment Plan Officer will be notified at least 48 hours in advance of the Application Review Panel's meeting to review applications and select Candidates for the Interview List. The Application Review Panel shall send the Interview List to the IIG, along with a NPCC completed by each member.

L. Interview Preparation.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

1. Appointment of an Interview Panel. The IIG shall appoint an Interview Panel consisting of the IIG or his or her designee and at least two Supervisors who have received interview training pursuant to Section IV.F. If there is an insufficient number of Supervisors available, the IIG may request the participation of the Chief of BHR or his or her designee, at the discretion of the IIG. Alternatively, the IIG may appoint a Senior Investigator of OIIG to serve on the Interview Panel if the OIIG Actively Recruited Position under consideration is a lower level than the Senior OIIG Investigator Position and the Senior Investigator has received interview training pursuant to Section IV.F. The IIG may choose the same panelists for the Interview Panel as he or she chooses for the Application Review Panel.

2. Interview Scheduling. The IIG or his or her designee will schedule interviews of all Candidates listed on the Interview List and provide the schedule to the OIIG Employment Plan Officer at least 48 hours in advance of the date of the first interview.

3. Interview Questions. The IIG or his or her designee will create a minimum of five interview questions relating to each OIIG Actively Recruited Position. The IIG will provide written notice of the five or more selected questions to the OIIG Employment Plan Officer at least five business days in advance of conducting interviews for a posting. All interview questions shall be considered and treated as confidential. The questions must be based on the specific job duties of the OIIG Actively Recruited Position and designed to assess the Candidate's job-related qualifications, skills and suitability for employment. The interview questions developed for a particular OIIG Actively Recruited Position may be used for subsequent vacancies for that OIIG Actively Recruited Position, provided appropriate precautions are taken to prevent advance dissemination of answers and provided the questions remain related to the duties of the OIIG Actively Recruited Position. Candidates should be counseled not to divulge questions asked of them to anyone after their interviews.

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

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

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

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

a. The IIG or his or her designee will facilitate the conduct of interviews by informing the Interview Panel of the interview process, providing the Interview Panel

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

with the Job Description and copies of the applications and resumes of all Candidates on the Interview List, requesting that any applicable forms be completed, and picking up completed forms after the interviews.

b. In the event a potential Conflict of Interest is discovered prior to or during any interview, the Interview Panel member with the Conflict of Interest shall, as soon as possible, notify the IIG or his or her designee and the other members of the Interview Panel, that a Conflict of Interest may exist and that a substitution may be needed. The IIG or his or her designee will decide if the Panel Member must be removed from the panel. If the IIG determines that a Conflict of Interest exists, the Interview Panel member with the Conflict of Interest will be excused and will not be allowed to participate in the interview or the selection process for that Candidate, and a substitute Interview Panel member will be assigned. If no substitute is available, the interview will be rescheduled. The substitute Interview Panel member shall assume the other Interview Panel member's duties (asking questions, completing the Interviewer Evaluation Form, etc.). If it is determined that there is no Conflict of Interest, the Interview Panel member will not be excused or replaced. If a Conflict of Interest is discovered after an interview, the IIG must be notified and he or she will make the determination of whether a second Interview Panel must be convened.

c. All Candidates interviewed for the same OIIG Actively Recruited Position will be asked to respond to at least five of the same pre-approved interview questions, provided that Internal Candidates may be asked different job-related questions based on their specific experience with OIIG. Additional and follow-up questions by the panel members are permitted and encouraged provided they are related to a determination of the Candidate's suitability for the OIIG Actively Recruited Position. All responses provided by a Candidate, including responses to follow-up questions, are to be considered by Interviewers.

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

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

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

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

1. Interview Panel Meeting. Within three business days following the last Candidate interview, the interviewers will conduct a meeting at which all of the interviewers are present and at which each interviewer has an opportunity to freely and without fear of retaliation express his or her opinion regarding the Candidates. The Interview Panel will discuss the Candidates interviewed and identify Candidates they would recommend for hire. The Interview Panel will select a member to take notes at the Interview Panel meeting. The notes will indicate the objective basis or bases on which any Candidate was recommended for hire. The notes will be included in the Interview File. The OIIG Employment Plan Officer and the IIG if not a member of the Interview Panel may attend Interview Panel meetings.

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

3. Final Ranked Candidate List and Final Selection. After the Interview Panel meeting, the delivery to the IIG of the Interview Panel notes, Interview Evaluation Forms, and Interview File, and any second interview, the IIG shall review the Interview Panel's recommendations, create a Final Ranked Candidate List, and select the successful Candidate. The IIG may choose to reject all of the Candidates interviewed. If so, the Position shall be reposted in compliance with Section V.E, and the application, interview and selection process shall be repeated. The IIG may also select Candidates from the Final Ranked Candidate List for other vacancies for the same Position arising during a period of 12 months from the date the Final Ranked Candidate List was created.

4. Future Vacancies. The IIG may select Candidates from the Final Ranked Candidate List for other vacancies for the same Position arising during a period of 12 months from the date the Final Ranked Candidate List was created.

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

P. Final Screening. The IIG or his or her designee and BHR will conduct a final screening of the Candidate selected for each open OIIG Actively Recruited Position in accordance with Section V.S.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

Q. Offers of Employment. The IIG or his or her designee will extend employment offers in accordance with the following:

1. Extension of Offer. After receipt of the fully executed Grant of Authority Form, the IIG or his or her designee will extend a written offer of employment to the selected Candidate(s) with a copy to the Chief of BHR. All offers of employment will be made in writing. All offers of employment will be contingent upon the Candidate's successful completion of all post-offer tests described in Section V.U. If a selected Candidate begins employment before the results of any post-offer test has been received, the Candidate will be advised in writing 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 IIG may select another Candidate in the same manner as set forth in VIII.O.3 and will be screened pursuant to Section VIII.P and offered contingent employment pursuant to Section VIII.Q.1.

3. No Acceptance. If no Candidate interviewed is determined eligible or accepts the offer of employment, the Position will be reposted. This Section VIII.Q.3 is subject to the provisions of Section V.M.

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

S. Union Membership. In the event an OIIG Actively Recruited Position or an OIIG Executive Assistant Position becomes covered under a CBA, the OIIG Actively Recruited Position or the OIIG Executive Assistant Position, and any vacancy for such Position will be subject to Section V.

IX. OIIG EXECUTIVE ASSISTANT POSITIONS

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

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

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

C. Submission of RTH. The IIG must submit a RTH to the Chief of BHR or his or her designee. The RTH must be signed by the IIG. The IIG must receive written confirmation from

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

the Cook County Budget Director that the Position is fully funded. The IIG or his or her designee shall provide a copy of the RTH to the OIIG Employment Plan Officer.

D. Identification and Selection of Candidate. The IIG shall send a written selection notification with the RTH to the Chief of BHR or his or her designee. The Chief of BHR or his or her designee shall submit a copy of the written selection notification with the RTH to the OIIG Employment Plan Officer. Such notification shall include: (1) the name of the individual he or she has selected to perform services as his or her OIIG Executive Assistant; (2) a description of the basis on which the IIG has selected the individual (e.g., past knowledge of his or her employment history, past working relationship, etc.); (3) copies of any licenses or certifications required; (4) a NPCC signed by the IIG.

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

1. Job Description. The IIG, with the assistance of the Chief of BHR, shall create a current and accurate Job Description for each OIIG Executive Assistant Position as described in Section V.B.2. Each such Job Description shall meet the definition of OIIG Executive Assistant contained in this OIIG Employment Plan. A copy of the Job Description shall be provided to the OIIG Employment Plan Officer.

2. Entry of Job Description on ATAS. The OIIG Executive Assistant Job Description shall be entered on ATAS and the Content Librarian shall create a Notice of Job Opportunity for all OIIG Executive Assistant Positions on ATAS as described in Sections V.D. Entry on ATAS of the OIIG Executive Assistant Position does not require public posting.

3. Submission, Screening and Verification of Application. The individual selected by the IIG to fill the OIIG Executive Assistant Position shall complete an employment application in paper format or, when feasible, an application on ATAS. The IIG and OIIG Employment Plan Officer shall validate the application as described in Sections V.J. and N, and verify that the individual selected by the IIG: (a) possesses the Minimum Qualifications and, if applicable, Preferred Qualifications of the OIIG Executive Assistant Position; (b) has provided any licenses and certifications required; and (c) if he or she was or is an Employee or an employee in any County Office Under the President during the preceding 12 months, he or she was not terminated for cause during the previous five (5) years. If the IIG or OIIG Employment Plan Officer concludes that the selected individual does not meet any one of the three (3) criteria, the selected individual will not be considered eligible for the Executive Assistant Position, and he or she will not be offered employment as an OIIG Executive Assistant. If the IIG and the OIIG Employment Plan Officer determine that the individual selected is eligible, such determination shall be recorded on ATAS or in the employment file, the IIG and OIIG Employment Plan Officer shall each execute a NPCC.

F. Hiring. Upon completion of the verification and testing described in Section IX.E, the IIG and BHR will take steps to complete the hiring process and send written notice (including a copy of all the required documents) to the OIIG Employment Plan Officer.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

X. OIIG INTERN AND EXTERN POSITIONS

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

XI. MISCELLANEOUS POLICIES

A. Reclassifications/Promotions. Reclassifications, including Promotions, of Employees shall be decided based on the operational and business needs and goals of OIIG in accordance with the OIIG Policies and Procedures Manual. Reclassifications, including Promotions, of Employees will not be based on Political Reasons or Factors.

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

C. Transfers. Transfers of Employees shall be decided based on the operational and business needs and goals of OIIG in accordance with the OIIG Policies and Procedures Manual. Transfers of Employees will not be based on Political Reasons or Factors.

D. Training. Training of Employees shall be conducted in accordance with the OIIG Policies and Procedures Manual, and no training will be provided or denied to Employees based on Political Reasons or Factors.

E. Compensatory Time and Overtime. Compensatory Time and Overtime will be awarded and earned in accordance with the OIIG Policies and Procedures Manual and applicable law. Compensatory Time and Overtime for Employees will not be awarded or withheld based on Political Reasons or Factors.

F. Discipline. Discipline will be administered in accordance with the OIIG Policies and Procedures Manual and applicable law. Discipline of Employees will not be based on any Political Reasons or Factors.

G. Desk Audits. Desk Audits will be performed in accordance with the OIIG Policies and Procedures Manual. Desk audits of Employees will be conducted in a uniform manner and will not be based on Political Reasons or Factors.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

H. Demotions. Demotions will be given in accordance with the OIIG Policies and Procedures Manual and applicable law. Demotions of Employees will not be based on Political Reasons or Factors.

I. Layoffs/Recall. Layoffs and Recall of Employees shall be conducted in accordance with the OIIG Policies and Procedures Manual and applicable law. Layoffs and Recall of Employees will not be based on Political Reasons or Factors.

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

XII. CONCLUSION

OIIG is committed to continuing to serve as an equal opportunity employer within Cook County government and enforcing the prohibitions of Unlawful Political Discrimination. This OIIG Employment Plan is designed to both support these important goals and create a transparent and fair process. By ensuring that these goals are met by adherence to these procedures, OIIG will maintain its high standards in selecting qualified Candidates to serve within OIIG with integrity, independence, professionalism and respect for the rule of law and the citizens of Cook County. It is not possible to anticipate and address every situation that may give rise to an Unlawful Political Contact or circumstance of Unlawful Political Discrimination. Nonetheless, OIIG is prepared to address such circumstance should they arise in the future by complying with the law and the spirit of this OIIG Employment Plan.

OIIG EMPLOYMENT PLAN

May 3, 2013, Amended 6-24-13, 8-26-13, 10-31-18

OIIG Employment Plan Exhibits

- A: Political Contact Log Reporting Form
- B: Grant of Authority
- C: Interview Panel Ranking Form
- D: Interviewer Evaluation Form
- E: Job Description Form
- F: No Political Consideration Certification
- G: Request to Hire

EXHIBIT 5



BUREAU OF HUMAN RESOURCES
VELISHA L. HADDIX
BUREAU CHIEF
115 North Clark Street, Room 840 • Chicago, Illinois 60602 • (312) 603-3300

TONI PRECKWINKLE

PRESIDENT

**Cook County Board
of Commissioners**

RICHARD R. BOYKIN
1st District

DENNIS DEER
2nd District

FERRY BUTLER
3rd District

STANLEY MOORE
4th District

DEBORAH SIMS
5th District

EDWARD M. MOODY
6th District

JESUS G. GARCIA
7th District

LUIS ARROYO JR.
8th District

PETER N. SILVESTRI
9th District

BRIDGET GAINER
10th District

JOHN P. DALEY
11th District

JOHN A. FRITCHEY
12th District

LARRY SUFFREDIN
13th District

GREGG GOSLIN
14th District

TIMOTHY D. SCHNEIDER
15th District

JEFFREY R. TOBOLSKI
16th District

SEAN M. MORRISON
17th District

CERTIFICATION OF SUBSTANTIAL COMPLIANCE

After due inquiry, based upon the information and documents that I have reviewed and the knowledge that I possess as result of my position as Chief of the Cook County Bureau of Human Resources, I believe Cook County is in substantial compliance as required by the Supplemental Relief Order and Cook County 1994 Consent Decree as evidenced by the fact that I certify, under penalty of perjury as provided by law, that, to the best of my knowledge:

1. the County has implemented the new Employment Plan, including procedures designed to ensure compliance with the New Plan and identify instances of non-compliance;
2. the County has acted in good faith to remedy instances of non-compliance that have been identified, and to prevent a recurrence;
3. the County does not have a policy, custom or practice of making employment decisions based on political factors except for positions that are exempt under the SRO/Exempt Positions; and
4. the County has implemented procedures intended to effect long-term prevention of the use of impermissible political considerations in connection with County employment.

Signature

Velisha Haddox
Printed Name

8-29-2018
Date

EXHIBIT 6



OFFICE OF THE PRESIDENT
BOARD OF COMMISSIONERS OF COOK COUNTY

118 NORTH CLARK STREET
CHICAGO, ILLINOIS 60602
(312) 603-4600
TDD: (312) 603-5255

TONI PRECKWINKLE
PRESIDENT

CERTIFICATION OF SUBSTANTIAL COMPLIANCE

After due inquiry, based upon the information and documents that I have reviewed and the knowledge that I possess as result of my position as Cook County Board President, I believe Cook County is in substantial compliance as required by the Supplemental Relief Order and Cook County 1994 Consent Decree as evidenced by the fact that I certify, under penalty of perjury as provided by law, that, to the best of my knowledge:

1. the County has implemented the new Employment Plan, including procedures designed to ensure compliance with the New Plan and identify instances of non-compliance;
2. the County has acted in good faith to remedy instances of non-compliance that have been identified, and to prevent a recurrence;
3. the County does not have a policy, custom or practice of making employment decisions based on political factors except for positions that are exempt under the SRO/Exempt Positions; and
4. the County has implemented procedures intended to effect long-term prevention of the use of impermissible political considerations in connection with County employment.

Toni Preckwinkle
Signature

Toni Preckwinkle, President
Printed Name

08/30/18
Date