# CITY OF CHICAGO
EMPLOYMENT PLAN

Table of Contents

CHAPTER I  GOALS AND PRINCIPLES .................................................................4
  A. Organization of this Employment Plan..............................................4
  B. Definitions ..................................................................................5
  C. Department of Human Resources ..................................................10
  D. Office of Budget & Management ..................................................11
  E. Office of the Inspector General ....................................................11

CHAPTER II EMPLOYEE DUTY TO REPORT, TRANSPARENCY OF CITY
HIRING, AND GOVERNING RULES ..............................................................12
  A. Employee Duty to Report .............................................................12
  B. Transparency of City Hiring .........................................................12
  C. Rules Governing All Hires Made Pursuant to the General Hiring Process13

CHAPTER III GENERAL HIRING PROCESS – INITIAL STEPS .........................16

CHAPTER IV GENERAL HIRING PROCESS – NON-INTERVIEWED POSITIONS 19
  A. Applicability ..............................................................................19
  B. Process .....................................................................................19

CHAPTER V GENERAL HIRING PROCESS – POSITIONS REQUIRING AN
INTERVIEW .................................................................................................21
  A. Applicability ..............................................................................21
  B. Process .....................................................................................21

CHAPTER VI GENERAL HIRING PROCESS – SENIOR MANAGERS ...........25
  A. Applicability ..............................................................................25
  B. General Process for Hiring Senior Managers ..............................25
  C. Record-keeping .........................................................................27

CHAPTER VII CONDITIONAL OFFERS AT CAREER EVENTS ...................28
  A. Applicability and Principles ..........................................................28
  B. General Process ..........................................................................28
  C. Process for Department Representatives .................................28
D. Conditional Offers at Career Events ........................................ 29

CHAPTER VIII PROMOTIONS & CAREER PROGRESSIONS ......................... 30
A. Applicability .............................................................................. 30
B. General Process ......................................................................... 30

CHAPTER IX EXEMPT POSITION HIRING PROCESS ................................... 32
A. Applicability and Principles ....................................................... 32
B. Modifications to Exempt List ...................................................... 32
C. Process ....................................................................................... 33
D. Removal ..................................................................................... 33
E. Maintenance of Exempt Position Status ..................................... 33

CHAPTER X PRIVATE SECRETARIES OR ASSISTANTS, SECURITY
SPECIALISTS .................................................................................. 34
A. Applicability and Principles ....................................................... 34
B. Process ....................................................................................... 34
C. Removal ..................................................................................... 35

CHAPTER XI WARD SUPERINTENDENTS .............................................. 36
A. Applicability and Principles ....................................................... 36
B. Process ....................................................................................... 36
C. Removal ..................................................................................... 36

CHAPTER XII INTERNS, EXTERNS, JOB TRAINING PROGRAMS, AND
VOLUNTEER WORKERS .................................................................. 37
A. Applicability .............................................................................. 37
B. General Selection Process ......................................................... 37

CHAPTER XIII ACTING UP ................................................................. 39
A. General Considerations ............................................................. 39
B. Exceptions .................................................................................. 40

CHAPTER XIV COMPLIANCE AND GOVERNANCE ................................. 41
A. Complaints ................................................................................ 41
B. Escalations by Recruiters and Analysts ....................................... 41
C. Reviews and Audits of Hiring Data ............................................. 42
D. OIG Monitoring and Investigation of Hiring Processes ................ 43
E. Reporting Requirements ................................................................. 44

CHAPTER XV APPLICABILITY TO OTHER EMPLOYMENT ACTIONS NOT DETAILED IN THIS EMPLOYMENT PLAN ........................................... 45
A. Assignments................................................................................. 45
B. Terminations ................................................................................ 45
C. Layoff Lists .................................................................................. 45
D. Reinstatement ............................................................................. 45
E. Duty Disability ............................................................................. 45
F. Transfers ...................................................................................... 45
G. Demotion .................................................................................... 45
H. Reclassifications ......................................................................... 45
I. Promotions and Career Progressions .......................................... 45
J. Reasonable Accommodations ..................................................... 45
K. Return of Seasonal Employees ................................................... 45
L. Approved City Training Programs ............................................. 45
M. City Affirmative Action Plans .................................................... 45
N. Screening Preferences ................................................................. 45
P. Emergency Appointments ........................................................... 45
Q. Settlements, Awards, Judgments, and Decisions ...................... 45
S. Ineligible for Rehire List and Maintenance ............................... 45
CHAPTER I
GOALS AND PRINCIPLES

The City of Chicago is committed to hiring practices that:

• Base employee selection on a Candidate’s knowledge, skills, and ability to perform effectively on the job;
• Provide equal employment opportunity to all qualified Applicants;
• Prohibit the entry of Political Reasons or Factors and other Improper considerations into any stage of the selection and hiring processes for Covered Positions;
• Provide the Hiring Authority with maximum lawful discretion in making selection decisions; and
• Create a transparent hiring system that minimizes the ability to manipulate employment decisions.

This Employment Plan sets forth the general principles which will govern hiring and Other Employment Actions in the City of Chicago (the “City”). The principles presented here apply equally to internal and external Applicants and Candidates for hiring and promotion.

Violations of this Employment Plan may result in disciplinary action, up to and including discharge and ineligibility for rehire.

A. Organization of this Employment Plan

This Employment Plan sets out the principles and procedures for all City of Chicago hiring and Other Employment Actions with the exception of sworn and uniformed titles in the Chicago Police and Fire Departments, the Department of Law, and the Office of Inspector General (“OIG”). The Department of Law’s and the OIG’s Employment Plans are attached as Exhibits. All hiring of City employees in non-excepted departments and non-sworn and non-uniformed titles in the Chicago Police and Fire Departments shall be done pursuant to the General Hiring Process except for hiring for Exempt Positions, which are covered by Chapter VIII, and hiring effected through Other Employment Actions, which are covered by Chapter XIII.

The City has created several policies that affect employment with the City and may impact policies under this Employment Plan. There is a separate policy governing the use of contractors and other non-City employees (“Contractor Policy”), which is attached as Exhibit # and will be made publicly available as detailed in Chapter II of this Employment Plan.

The City has also created policies that further its commitment to ensuring that all personnel, including the City Council are of the highest character. The Policy Regarding Ineligibility for Rehire details circumstances where former City employees have been designated as ineligible for rehire by the City, is attached as Exhibit #. The Conflict of Interest Policy details disclosure procedures when a conflict of interest has arisen during a hiring sequence.

This Employment Plan is not an exhaustive document and cannot contemplate every variation that could occur in employment activity. This Employment Plan is intended to provide a framework
for City hiring and Other Employment Actions that will survive changes in collective bargaining agreements, technology, management practice, and law. The principles of this Employment Plan should be construed broadly.

The City may modify this Employment Plan so long as the modifications are not contrary to applicable law. Prior to the effective date of any modification of this Employment Plan, the Commissioner of the Department of Human Resources ("DHR") shall give thirty (30) days' public notice in one or more newspapers of general circulation. Such public notice shall include information concerning where the rules can be reviewed and where comments may be directed. The City will also post on its publicly available internet site any modifications to this Employment Plan. Additionally, prior to the opening of the public notice period, the DHR Commissioner shall also give thirty (30) days’ notice to OIG. OIG may make comments or raise objections to the proposed modifications, to which the DHR Commissioner must respond in writing prior to the opening of the public notice period and the effective date of the modifications.

B. Definitions

**Acting Out of Title**- Occurs when an employee performs job duties that fall substantially outside the duties listed under “Essential Duties” of the Class of their Position.

**Acting Up** – Occurs where an employee is directed to, and does perform, or is held accountable for, substantially all the responsibilities of a higher-graded, Covered Class.

**Applicant** – An individual who completes an application for a specific open City Position.

**Application** – An electronic or paper document that is completed by an Applicant or Bidder to apply for an open Position. The Application contains information about the prospective Applicant or Bidder, such as their education, previous employment history, and other relevant information to be considered for employment with the City.

**Applicant Tracking System ("ATS")** – An electronic system that selects or sorts Applicant data according to designated criteria and otherwise processes and presents information for the hiring process.

**Bid Announcement** – Is a type of job announcement posted on the Applicant Tracking System ("ATS") and according to applicable Collective Bargaining Agreement ("CBA") terms, gives notice of an open Position for which CBA-covered employees can exercise their bidding rights. A Bid Announcement shall include the job duties and predefined minimum qualifications from the Class Specification, predefined screening criteria, and predefined minimum testing score when applicable, whether or not an interview and/or test will be conducted, and any other relevant information.

**Bidder** – An employee who is covered by a Collective Bargaining Agreement and exercises their contractual right to bid when applying for a specific open city Position.
Budgetary Hiring Plan- An annual document submitted to Office of Budget Management (OBM) that includes the gross amount of all budgeted vacancies, reduced by an estimated personnel turnover amount calculated by OBM. This Budgetary Hiring Plan proposes a staggered schedule of hire dates for vacancies known or expected on January 1.

Candidate – An Applicant or Bidder who meets the minimum qualifications of the job for which he or she applied and is eligible to be referred.

Career Event – A recruitment event, such as job fair or hiring fair, consisting of job seekers and prospective employers wishing to be considered for a Position.

Class of Positions – A category of Position(s), each of which is sufficiently similar in respect to duties and responsibilities such that the same word(s) may be used to designate each Position in the group, the same salary range may be equitably applied, the same qualifications required, and the same examination used to select qualified employees. A Class of Positions is equivalent to a job title.

Class Specifications – Descriptions of the duties and responsibilities of a Class of Positions that distinguish one Class from another. They are, in effect, the general descriptions utilized to determine the proper level to which a Position should be assigned, and they include the general job duties and minimum qualifications of the Position. Class Specifications shall include sufficient detail to accurately reflect the job duties

Collective Bargaining Agreement (“CBA”)– Any bargaining agreement between the City and any legally recognized collective bargaining unit or representative of employees of the City.

Conditional Offer – A legally binding offer of employment that is contingent upon the Candidate successfully completing the onboarding process and/or employment requirements, such as a background check or verification of residency.

Consensus Meeting – A discussion that is led by the Recruiter held at the conclusion of the interview process. During the Consensus Meeting, the interviewers and the Hiring Manager review their respective interview results and any other relevant information to arrive at a hiring recommendation.

Covered Position – Any City Position other than an Exempt Position as listed on the Exempt List, which is attached as Exhibit #.

Discipline– An Employment Action taken by the City in response to an employee’s behavior or performance, including oral and written warnings, suspensions, and terminations.

Eligible Candidate – A Candidate who has successfully completed the requirements for a Non-Interview Position and is thus eligible for hire.

Escalation Procedure – A process that requires a DHR Recruiter, Classification Analyst, or Testing Administrator involved in a hiring process who has reason to believe that any individual
involved in a hiring sequence may have committed a violation of this Employment Plan or may have allowed Political Reasons or Factors or other Improper considerations to influence the hiring process to suspend the process and immediately notify OIG and the DHR Commissioner for further review and action.

**Exempt Position** – A City Position that is excepted from the requirements governing Covered Positions and is listed on the Exempt List, which shall be published on the publicly available internet site of the Department of Human Resources and is attached as Exhibit #.

**Hiring Authority** – The individual who has the ultimate responsibility and authority for the hiring of a Candidate. This role will typically be held by a Department Head.

**Hire Certification** – A form filled out by (1) selected Candidate(s) and (2) all City employees involved in any hiring process, other than for Exempt Positions. This form shall certify under penalty of perjury, that no Political Reasons or Factors or other Improper Considerations were considered in the action taken. DHR, with advance notice to OIG, may modify the form from time to time.

**Hiring Criteria** – Factors which elicit job-related knowledge, skills, and abilities, identified in the Intake Meeting, that are used to evaluate Candidates to determine which Candidates will be offered the Position.

**Hiring Manager** – A high ranking manager that is responsible for managing the selection process for Positions requiring an interview. This individual will typically be the manager to whom the new hire will report but may be a higher-level manager in the department reporting structure.

**Improper Consideration** – A consideration constituting preferential treatment which is not job related.

**Intake Meeting** – A meeting where the DHR Recruiter works with the hiring department, and the Hiring Manager, to establish Screening and Hiring Criteria for the Position and create a Notice of Job Opportunity or Bid Announcement (for those Positions covered by a CBA).

**Intern**– Any temporary worker who works for the City in a trainee capacity while attending an accredited academic institution/school either part time or full time.

**Interview List** – A list of Candidates that have advanced to the interview process pursuant to section #. Also commonly referred to as a referral list.

**Job Training Program**– Any program designed to provide on-the-job training to training participants to provide them with skills for future employment.

**Justification Memo** – A memorandum from the Hiring Authority or Commissioner that explains why an employment action was taken, or not taken. This memo shall be maintained with the relevant hiring documentation.
Notice of Job Opportunity – The publicly available notice of an open Position posted on the ATS that includes the Position’s job duties and minimum qualifications from the Class Specification, the predefined Screening Criteria, the predefined minimum testing score when applicable, whether or not an interview and/or test will be conducted, whether or not the Position will be filled through random selection, and any other relevant information.

Other Employment Action – Any change in the terms and conditions of employment in addition to those detailed in this Employment Plan and includes, but is not limited to: hiring, firing, promotion, demotion, lay-off, reinstatement, reemployment, transfer, reclassification, granting overtime, assignment, withholding of any job benefit and imposition of any employment sanction or detriment including discipline.

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

Political Reasons or Factors – Any reasons or factors relating to political matters with any hiring or Other Employment Action. Where this Employment Plan refers to Political Reasons or Factors this shall include:

1. Recommendations for hiring, promotion or any Other Employment Action for specific persons from public office holders (and/or their staffs) or political party officials that are not based on actual knowledge of the person’s work skills, work experience or other job-related qualifications.

2. Recommendations for hiring, promotion or any Other Employment Action based on the fact that the person worked in a political campaign or belongs to a political organization or political party; or the fact that the person chose not to work in a political campaign or to belong to a political organization or a political party. The mere fact that a person worked for a political campaign for elective office does not prohibit consideration of a recommendation related to that person insofar as the basis for that recommendation relates to the person’s relevant work experience.

3. Recommendations for hiring, promotion or any Other Employment Action based on the fact that the person contributed money, raised money, or provided something else of value to a candidate for public office or a political organization; or the fact that the person chose not to contribute or raise money for a candidate for public office or a political organization.

4. Recommendations for hiring, promotion or any Other Employment Action based on the fact that a person is a Democrat or a Republican or a member of any other political party or group; or the fact that the Applicant is not a member.

5. Recommendations for hiring, promotion or any Other Employment Action based on the fact that the person expressed views or beliefs on political matters such as what candidates or elected officials he or she favored or opposed, what public policy issues he or she favored or opposed, or what views on government actions or failures to act he or she expressed.
**Position** – A job to be performed by the full or part time employment of one individual. A Position exists whether it is filled or unfilled.

**Private Secretary**- An Executive Assistant II that reports directly to an Exempt employee and primary duties include the performance of executive level secretarial and clerical services. Private Secretaries are (1) not covered by any collective bargaining agreement, (2) exempt from career service under the Personnel Rules, (3) at will, (4) not Exempt positions.

**Progressive Discipline** - A systemic approach to prevent unwanted behavior and deter its occurrence by administering disciplinary actions based upon various factors, including, but not limited to, the severity of the infraction, the number of times it has occurred, and the totality of the circumstances surrounding the misconduct.

**Promotion** - The appointment of a current Employee to a higher graded Position than their current Position.

**Promotional Committee** – A working group consisting of at least four senior or supervisory employees within the hiring department, preferably in the division, selected by the Department Head (or designee).

**Pre-Qualified Candidate** – An Applicant who meets the minimum qualifications and Hiring Criteria, is found to be suitable for the Position, and would have been hired as the result of a hiring sequence but for the lack of a vacancy.

**Promotion** – The appointment of a current City employee to a higher paid and/or graded Position than their current Position within the same department.

**Reclassification**- The process by which a determination is made by the Classification and Compensation section of DHR to change the classification of a Position to another lower or higher classification pursuant to the Personnel Rules.

**Request to Hire or A-Form**- An electronic request to fill a vacancy submitted by the Hiring Department.

**Requisition** – An electronic document within the ATS requesting approval to hire for a particular Position which describes relevant information about the Position including minimum qualifications, Screening and Hiring Criteria.

**Screening Criteria** – Factors that a hiring department may use to screen minimally qualified Candidates to determine which Candidates will be further considered. They consist of the preferred qualifications and are identified in the Intake Meeting.

**Screening Preference** - Qualified Applicants who are found to be eligible for a Position may be given a preference in processing as described in the Notice of Job Opportunity. Currently the City
recognizes the following preferences: Veterans, Line of Duty, and Chicago Public School Graduate for certain Positions.

**Senior Manager** – Classification of Positions that are (1) not covered by a CBA; (2) not career service Positions (i.e. they are employees-at-will); (3) not Exempt; and (4) involve significant managerial responsibilities.

**Volunteer** – An individual who offers to provide free service to the City in a temporary capacity.

**Ward Superintendent** – Employee hired to serve as a liaison between the Department of Streets and Sanitation and the Alderman for a specific ward. One Ward Superintendent may be appointed for each ward.

**C. Department of Human Resources**

This Employment Plan depends on a robust Department of Human Resources (“DHR”) which shall act as the gatekeeper to the City’s processes governing actions covered by this Employment Plan and Other Employment Actions. Although ultimate responsibility for hiring decisions rests with the hiring department, DHR’s Employment Services Division (“Employment Services”) shall be responsible for facilitating City hiring, recruitment and selection processes and other related HR functions. DHR’s Classification and Compensation Division implements a job evaluation system for classifying Positions, pay structuring, performance evaluation, and organizational and workforce planning which includes job analysis, salary administration and classification and pay plan. DHR’s Testing Division is responsible for the development and administration of pre-employment tests used to evaluate the suitability of Candidates for jobs. The Testing Division is also responsible for working in conjunction with outside consultants and vendors for City-wide promotional examinations. DHR’s Training Division is responsible for developing and delivering a variety of City-wide training initiatives.

The DHR Commissioner has the authority to act on recommendations made by OIG or on their own initiative to impose remedial actions as they relate to a hiring sequence, which can include, but are not limited to the following: suspending a hiring sequence, terminating the hiring sequence and/or ordering that the hiring sequence be restarted. The DHR Commissioner shall provide immediate written notification with justification to OIG of the remedial action taken. Also, DHR Recruiters have the authority to suspend a requisition at any point in the process pursuant to the Escalation procedures detailed in Chapter XII.

In implementing this Employment Plan, the City shall also ensure that all Applicants have equal employment opportunities and shall use all resources at its disposal to fulfill its commitment to diversity and equity as an equal employment opportunity employer. In furtherance of this goal, DHR shall file quarterly reports with the City Council Committee on Budget and Government Operations identifying the race, ethnicity, sex, and gender identity of the City’s hires during the quarter and the current workforce. Nothing in this paragraph authorizes deviations from the provisions of this Employment Plan.
D. **Office of Budget Management**

The Office of Budget and Management (OBM) prepares and implements the City’s annual budget. OBM evaluates the efficiency of all City operations and drives management reforms that enhance the City’s financial condition and increase taxpayer value. In furtherance of facilitating City hiring and Promotions, OBM is responsible for approving all departmental Budgetary Hiring Plans and shall do so without undue delay.

Hiring a City employee involves two subsequent processes between the hiring department, and DHR and OBM. OBM’s primary role is to monitor personnel costs and ensure that they do not exceed department-level turnover adjusted appropriations. The turnover amount represents the dollar value of the time between an employee leaving City employment and a new employee being hired, or the time that the position is vacant and thus no salary or wages are paid.

E. **Office of the Inspector General**

The Compliance section of Office of Inspector General (OIG) shall be responsible for overseeing, monitoring, auditing, and training assistance on the City’s employment actions and related activities. To this end, OIG shall have full and continual access to all information, electronic and otherwise, to review all employment related activities. OIG shall oversee this Employment Plan’s Compliance and Governance system as outlined in Chapter XV.

OIG also participates in risk-based in-person monitoring of hiring activities and Other Employment Actions as it deems necessary or by request. OIG in conjunction with DHR will develop, revise, participate and/or conduct training to ensure City employees are aware of and knowledgeable about this Employment Plan and its accompanying policies and manuals.
CHAPTER II
EMPLOYEE DUTY TO REPORT, TRANSPARENCY OF CITY HIRING, AND GOVERNING RULES

A. Employee Duty to Report

Any City employee who knows or should know that a Hiring Manager, Hiring Authority, or other City employee may have allowed Political Reasons or Factors or other Improper Considerations to influence any term or aspect of employment shall report the incident to OIG directly and without delay. Any employee who knowingly fails to report such a potential violation to OIG may be subjected to discipline, up to and including termination.

B. Transparency of City Hiring

1. DHR

In order to promote transparency, DHR shall post quarterly reports on the City’s website detailing: (1) the total number of hires/promotions for all Covered Positions; (2) the department where the hire(s) occurred; and (3) the ward where the hired/promoted employee(s) reside(s).

On a quarterly basis DHR shall also post the following information on the City’s publicly available website for the public to review:

   a. The Class Specification for each Class, including the minimum qualifications.

   b. A list of all Classes for which interviews are not required prior to hire.

   c. A list of all Classes for which interviews are required prior to hire.

   d. A list of all Classes for which testing is required prior to hire.

   e. A list of all Classes that may be filled using the Senior Manager Hiring Process.

   f. A list of all Classes that may be filled using the Exempt Position Hiring Process.

   g. All of the City’s policies governing actions covered by this Employment Plan and Other Employment Actions, including but not limited to, the City’s Acting Up Policy, Conflict of Interest Policy, Ineligible for Rehire Policy, Contractor Policy, and Declining to Interview Candidates Policy.

2. OIG Compliance Section

OIG shall post the following on its website, which shall be linked to the City’s website, and will be made available for the public to review:

   a. Quarterly reports as detailed in Chapter XV.
b. Contractor Policy.
c. Acting Up Policy.
d. Ineligible for Rehire Policy.

C. Rules Governing All Hires Made Pursuant to the General Hiring Process

1. Contacts by Hiring Departments. Hiring departments shall not contact DHR to lobby for or advocate on behalf of actual or potential Applicants or Bidders for Covered Positions, nor may hiring departments request that specific individuals be added to any referral or eligibility list except as permitted in this Employment Plan. Hiring departments may contact DHR to inquire about the status of selected Candidates. Any DHR employee receiving a contact violating this section shall report it to the DHR Commissioner and OIG within forty-eight (48) hours.

2. Non-Political and Impartial Actions. For actions covered under this Employment Plan and Other Employment Actions concerning all Covered Positions, Political Reasons or Factors or other Improper Considerations otherwise prohibited by law or the City’s Personnel Rules may not be considered. No CBA or other agreement shall provide otherwise.

3. Hire Certification Forms. All employees who participated in the selection process or Other Employment Action are required to sign, in either electronic or hardcopy a Hire Certification form. The successful Candidate(s) shall also execute a Hire Certification Form.

4. Recommendations from Elected and Appointed Officials. Nothing in this Employment Plan shall limit the right of any citizen, including elected officials, to make recommendations not based on Political Reasons or Factors or other Improper Considerations to personnel involved in making employment decisions on behalf of the City. In the case of hiring for Covered Positions, recommendations from public office holders or political party officials that are based on their personal knowledge of the person’s work experience, skill or other job-related qualifications are permitted and may be considered, to the extent that the department considers any recommendations for a particular Position.

5. Reporting of Contacts by Elected and Appointed Officials. All contacts, including solicited contacts, whether in person, in writing, by telephone, by facsimile, by e-mail, or any other means from any elected or appointed official of any political party or any agent acting on behalf of an elected or appointed official, political party, or political organization, attempting to provide a recommendation for a Candidate or affect any hiring for any Covered Position or Other Employment Actions shall be reported to OIG within 48 hours. Political contacts can be reported to OIG online through the Political Contact form on the OIG website or through telephone communication.
6. **Internal Candidates Attendance and Disciplinary Policy.** The City shall require internal Candidates to meet certain attendance and disciplinary criteria at the time of selection, to the extent such a requirement does not violate the terms of any applicable CBA. The City must apply any such attendance and disciplinary criteria uniformly. The City shall post its attendance and disciplinary policy on the City’s website. The City may modify such attendance and disciplinary criteria as necessary if such criteria are applied uniformly and are posted on the City’s website. If an internal Candidate is passed over for selection based solely on the application of the attendance and disciplinary criteria referred to above, such Candidate shall remain a Pre-Qualified Candidate, and may be considered for later vacancies if the Candidate then meets the attendance and disciplinary criteria. The hiring department must notify both DHR and OIG any time they determine a candidate will be passed over due to the Attendance and Disciplinary Policy. Such notice must be provided within two (2) days of making this determination.

7. **Internal Candidate Performance Evaluations as Part of Hiring Criteria.** Written Performance Evaluations of internal Candidates shall be used as part of the Hiring Criteria to the extent required by the terms of any CBA, and in all cases where all internal Applicants/Bidders in the hiring sequence have been subject to a uniform performance evaluation system.

8. **Consistency of Interviewers.** Whenever feasible, the same employees should interview all Candidates for any interview Position, including Senior Manager Positions. If an interviewer must change during the hiring process, the hiring department must provide advance notification to DHR, and to OIG prior to the start of the interview(s). With prior approval from DHR, Departments may use panels of interviewers in cases where there is a large volume of candidates to be interviewed.

9. **Confidentiality of Test and Interview Questions.** No City employee may disclose any test or interview questions to any Applicant or Candidate prior to the test or interview.

10. **Advance Notice of Hiring Activity to OIG.** OIG may participate in random, in-person monitoring of Intake Meetings, tests, interviews, and Consensus Meetings as it deems necessary or by request. To facilitate OIG monitoring of hiring processes, hiring departments shall provide the scheduled time and locations of Intake Meetings, tests, interviews, and Consensus Meetings to OIG at least four (4) days in advance of the activity.

11. **Background Checks.** The Commissioner of Human Resources may investigate the background of Candidates including, but not limited to, education, training, experience, knowledge, skills, abilities, personal characteristics, past job performance, seniority, time in grade, physical and/or mental fitness, past behavior, criminal background, and any other factors as determined to be appropriate by the Commissioner of Human Resources. Candidates who accept an offer of employment will be required to submit to a criminal background check conducted by DHR pursuant to the City of Chicago Policy on Background Checks.
12. **Anti-Retaliation.** The City continues to prohibit retaliation, punishment, or penalty against any employee(s) who reasonably and in good faith has filed a grievance, charge, or complaint regarding the terms or conditions of employment, including allegations of violations of this Employment Plan, and/or against employee(s) who has properly testified, assisted or participated in any manner in an investigation, proceeding or hearing regarding such grievance, charge or complaint.

13. **Emergency Appointments.** Whenever a serious emergency exists in which substantial impairment, harm or loss to the citizens, the property of the City, or a program of the City will result, and which makes it impossible to fill a position in the Career Service by the normal procedure, a department head, with the consent of the Commissioner of Human Resources, may appoint any qualified person to such position under an emergency appointment. Such person shall be employed only during such emergency and for a period not to exceed ninety (90) calendar days. Any such appointments shall be promptly forwarded to OIG within twenty-four (24) hours.
CHAPTER III
GENERAL HIRING PROCESS – INITIAL STEPS

The initial steps in the hiring process detailed in this chapter apply to all hires made pursuant to the general hiring process. Once these steps have been completed, the hiring process will differ, depending on the Position being filled.

The subsequent three chapters, which lay out the rest of the general hiring process, are organized as follows: (1) Positions for which an interview is not required prior to hire (Chapter IV); (2) Positions requiring an interview (Chapter V); and (3) Positions designated Senior Managers (Chapter VI).

INITIAL STEPS IN THE GENERAL HIRING PROCESS

1. **Budgetary Hiring Plan.** On an annual basis, typically December, each City department submits a Budgetary Hiring Plan that ensures that each department realizes its budgeted turnover amount. When unanticipated vacancies or leave of absence(s) occur during the year, departments should amend their Budgetary Hiring Plans with OBM since it affects the department’s turnover rate.

2. **Requesting approval to start the Hiring Process.** Hiring departments must submit and receive an approved A-Form from OBM for each Position they seek to fill. Each A-Form must include the number of openings, a current Class title code and be approved by the OBM Budget Director.
   a. OBM will evaluate each request to ensure compliance with the department’s approved Budgetary Hiring Plan. OBM will consider the following factors:
      i. Consequences of not filling the relevant vacancy (i.e. overtime or acting up pay);
      ii. The departments requested start date and its impact on the turn-over rate; and
      iii. The departments actual expenses compared with the department’s budget.
   b. The OBM Compensation Analyst will also evaluate each request to ensure the salary conforms with the applicable salary schedule when approving an appointment into a vacancy. The Compensation Analyst will consider DHR’s position review to ensure the correct job title is utilized.
   c. An A-Form may be delayed or rejected for the following reasons:
      i. The hiring department is attempting to fill the position with the incorrect job title.
      ii. The hiring department is attempting to fill the Position prematurely without having attained its required turn-over rate.
      iii. The department’s salary expenses has exceeded its salary budget.
      iv. It is determined that the position is no longer needed.
3. Approved A-Form. Recruiters will work with the OBM Budget Analysts and the hiring department to ensure hiring priorities are being met and amended as necessary. The Hiring Manager will initiate an Intake Meeting with their assigned Recruiter to begin coordinating the posting, recruiting, and evaluating of candidates.

4. Intake Meeting. DHR and the Hiring Manager shall review any previously used Screening and Hiring Criteria for the Position and work together to create a Notice of Job Opportunity or Bid Announcement (for those Positions covered by a CBA) which shall include the Position’s predefined Class Specification, predefined minimum qualifications, Hiring Criteria, predefined minimum testing score when applicable and interview requirements, whether or not an interview will be conducted, whether or not the Position will be filled through random selection, and any other relevant information. If there are no preexisting Screening or Hiring Criteria, or if the hiring department wishes to modify the existing Screening or Hiring Criteria, the Recruiter will work with the Hiring Manager department to create or modify them (unless, in the case of no preexisting Screening Criteria, the hiring department chooses not to use them). In addition, the Recruiter will determine whether a classification review is needed. Any changes to the minimum qualifications or Class Specification shall promptly be sent to OIG before posting, and any changes to Screening and Hiring Criteria, including the justifications, shall be documented in the hiring file.

5. Waiving an Intake Meeting. A Hiring Manager, in conjunction with the Recruiter may choose to waive an Intake Meeting if there are no changes to the previously determined Hiring Criteria (for bid and Covered Positions) and Screening Criteria (for Covered Positions). The Recruiter shall prepare a Justification Memo documenting the rationale for not conducting an Intake Meeting. This Justification Memo shall be promptly sent to OIG and maintained in the hiring file.

6. Posting the Notice of Job Opportunity/Bid Announcement. All Positions filled through the General Hiring Process require the Position be posted, except in cases where a Position will be filled from a list of Pre-Qualified Candidates as described in this Employment Plan. DHR shall post the Notice of Job Opportunity or Bid Announcement for at least fourteen (14) days, or at least seven (7) days for Senior Manager Positions, on the City’s ATS and any other sites where the City chooses to post such Notice of Job Opportunity or as required by the terms of a CBA.

A department head may submit a Justification Memo to the DHR Commissioner requesting that a Position be posted indefinitely. A copy of the request will be included in the hiring packet. With the approval of the DHR Commissioner, Positions may be posted for an indefinite and ongoing basis, provided they are posted at least fourteen (14) days. The posting period will close after the last vacancy has been filled or after twelve (12) months from the initial posting. While the Notice of Job Opportunity is active, DHR may access the applicant pool no sooner than fourteen (14) days to create the list of Eligible Candidates.
7. **Notices of Openings.** For all Covered Positions, DHR shall post and advertise open Positions in a manner designed to maximize the pool of Applicants.

8. **Applications.** Interested Applicants and/or Bidders shall submit their Applications and/or bids for the Position electronically to the ATS within the applicable period listed in the Notice of Job Opportunity or Bid Announcement. Applications shall include all application materials that are required to meet minimum qualifications including all required certifications and licenses, and shall remain active for twelve (12) months from the expiration date of the posting, unless (1) otherwise required by the terms of a CBA or (2) if the Position is re-posted.

9. **Notice of Meeting Minimum Qualifications.** Once an Application or bid is submitted electronically, the Applicant or Bidder shall receive prompt electronic notification of whether or not he or she meets the minimum qualifications based on their self-assessment for the Position for which he or she applied or bid.

10. **Hire Certification Forms.** Every person who participated in the selection process shall execute a Hire Certification form. The successful Candidate(s) shall also execute a Hire Certification Form.

From this point forward, the general hiring process will differ based upon whether the Position is a non-interview Position, requires an interview, or if the Position has been classified as Senior Manager.
CHAPTER IV
GENERAL HIRING PROCESS – NON-INTERVIEWED POSITIONS

A. **Applicability**

DHR has identified Positions for which interviews are not required prior to hire. Instead, an Applicant may be required to pass a test to be eligible for hire, or the Position may be filled by random selection.

B. **Process**

1. **Minimum Qualification Screening and Certification.** DHR will verify that Applicants/Bidders meet the predetermined minimum qualifications for the Position. If there are no additional criteria, a list of minimally qualified Candidates shall be created in random order by DHR, unless otherwise required by the applicable terms of a CBA. If additional criteria are applied, DHR shall include Candidates on the list of Candidates to be tested or selected based on the Candidates’ match to the additional criteria, unless otherwise required by the applicable terms of a CBA.

2. **Testing.** If testing is to be done for the Position, DHR shall determine the number of Candidates that shall proceed to the testing phase based on the number of vacancies to be filled. DHR shall work with the Hiring Manager to determine the best candidate assessment method, consider whether to develop the relevant test or utilize a vendor assessment. The Candidates will be offered the test in the order they appear on the list described in Paragraph 1 above, unless otherwise required by the applicable terms of a CBA.

3. **Determination of Eligible Candidates.** If the test is pass/fail, DHR shall remove those Candidates who have not passed the test from the list described in paragraph 1 above. Those Candidates remaining on the list shall be Eligible Candidates.

4. **Offers to Eligible Candidates Taking Pass/Fail Tests.** As Positions using a pass/fail test become available for hire, offers of employment shall be made to the Eligible Candidates in the order they appear on the random list described in paragraph 3 above, unless otherwise required by the terms of a CBA.

5. **Offers to Ranked Candidates.** As Positions using a rank-ordered test become available for hire, offers of employment shall be made to Eligible Candidates in the order in which they appear on the rank-ordered list described in paragraph 5 above, unless otherwise required by the terms of a CBA.

6. **Test Scores Availability and Useful Life; Retesting.** Test scores shall be made available to individual Candidates when a final eligibility list is completed. Test scores shall be valid during the time an application remains active. (Candidates may only test one (1) time during a twelve (12) month period for a Position, unless otherwise required by the terms of a CBA. This limitation does not apply to skills assessments.)
7. **Pre-Qualified Candidates as Eligible Candidates for Limited Vacancies.** DHR shall place Eligible Candidates who were not selected for employment due solely to limited vacancies available at the time on a list of Pre-Qualified Candidates in the order they appeared on the list of Eligible Candidates created above. The Pre-Qualified Candidates shall remain on the Pre-Qualified list if their applications have not been withdrawn but not to exceed twelve (12) months from the date of the application, unless otherwise required by the terms of a CBA. However, a Pre-Qualified Candidate list shall be retired and thus considered inactive when a new eligible list for the same Position is created as described above.

8. **Priority for Pre-Qualified Applicants/Bidders.** If a department chooses to use an active Pre-Qualified Candidate list for a particular vacancy, the Position shall not be reposted, and the Pre-Qualified Candidates will be hired in order of their respective rankings on a ranked list while their applications remain active, subject to the terms of a CBA.

9. **Extension of Pre-Qualified Candidate List.** The DHR Commissioner may extend a Pre-Qualified Candidate list for one additional twelve (12) month period, unless otherwise required by the terms of a CBA, and will prepare a Justification Memo for the extension that shall be sent to OIG.

10. **Predetermined Testing Requirements.** Pre-determined minimum testing requirements shall be developed for all non-interviewed Positions to be tested. DHR shall design, select, or approve tests created by vendors and shall be responsible for ensuring that such tests are fairly administered and scored.

11. **Test Proctoring and Certification.** A DHR Testing Administrator shall proctor as many tests as possible, prioritizing the proctoring of tests for Positions regarding which complaints have arisen. A DHR Testing Administrator who proctors the tests shall certify that the testing process has been followed. In the event proctoring and certification by a DHR Testing Administrator is not possible, the hiring department shall designate a proctor and such individual shall serve as a substitute and have the same responsibilities and obligations as the DHR Testing Administrator.

12. **Willing and Able.** When a Position’s minimum qualifications only require an interested Applicant to be willing and able to perform the duties of the Position, DHR shall refer all Applicants who successfully applied in random order. Candidates must complete a Willing and Able Questionnaire developed by the hiring department and DHR. In order to be offered the Position, Candidates must answer all questions in the affirmative on the Willing and Able Questionnaire.
CHAPTER V
GENERAL HIRING PROCESS – POSITIONS REQUIRING AN INTERVIEW

A. Applicability

DHR has identified Positions for which interviews are required prior to hire. Candidates may also be required to take and pass a test or skills assessment as part of the selection process. DHR may modify the list and shall provide prompt notification to OIG of any modifications.

For Positions that require an interview prior to hire, the following steps shall be undertaken:

B. Process

1. Interview Training. Interviewers shall be trained by DHR on proper interviewing procedures prior to conducting interviews.

2. Interview Questions and Skills Assessments. Interview questions and skills assessments shall be developed by DHR and the Hiring Manager from job-specific content related to the Hiring Criteria for the vacant Position. Interviews shall be designed to assess the Candidates’ match to the Hiring Criteria.

3. Certification of Minimum Qualifications. DHR will verify that Applicants/Bidders meet the predetermined minimum qualifications for the Position. If there are no additional criteria, a list of minimally qualified Candidates shall be created in random order by DHR, unless otherwise required by the applicable terms of a CBA.

4. Screening for non-tested Positions. For interviewed Positions not requiring testing prior to hire, DHR shall include Candidates on a Candidate list based on the Candidates’ relative match to Screening Criteria, unless otherwise required by the terms of a CBA, or unless the list of all minimally qualified Candidates has been created in random order by DHR as described in paragraph 3 above.

5. Departmental Screening for non-tested Positions. For interviewed Positions not requiring testing prior to hire, the Hiring Manager may conduct a secondary screening of a Candidate list that was created pursuant to paragraph 4 above. The Hiring Manager shall be provided with all relevant application materials and shall designate which Candidates will be advanced for an interview. The Hiring Manager must provide a brief, written explanation as to why any Candidate on a Candidate list will not be offered an interview. A copy of the explanation will be maintained in the hiring file. The Candidates who will be offered an interview shall comprise the interview list for purposes of paragraph 6 below.

6. Interviews. The hiring department shall offer interviews to all Candidates on the interview list and shall notify DHR and OIG of the interview schedule no later than four (4) days before the interviews begin.
7. **Screening for tested Positions.** For interviewed Positions requiring testing prior to hire, DHR shall include Candidates on the list of Candidates to be tested based on their match to the Screening Criteria. DHR shall then create an Interview List of everyone who passed the test in the case of pass/fail tests or, in the case of ranked order tests, of everyone who meets a predefined minimum threshold score, unless otherwise required by the terms of a CBA. The hiring department shall offer interviews to Candidates on the Interview List and shall notify DHR and OIG of the interview schedule no later than four (4) days before the interviews begin.

8. **Testing.** If the Position requires a test and an interview, DHR, in consultation with the Hiring Manager, shall determine the number of Candidates that shall proceed to the testing phase based on providing a good range of choice for the selecting party and the number of vacancies to be filled. DHR shall work with the Hiring Manager to develop any relevant test and schedule testing of those Candidates described in paragraphs 1 or 2 above, unless otherwise required by the terms of a CBA.

9. **Optional Screening Interview.** With prior DHR approval the hiring department may conduct a screening interview to determine whether Candidates will be offered a formal interview. Screening interviews may be conducted via telephone or videoconferencing. The Hiring Manager shall designate the departmental employee who will conduct the screening interview. The department personnel will ask the same set of pre-approved questions to each Candidate and evaluate the Candidate’s response based on objective criteria. The screening questions shall relate to minimum qualifications, preferred qualifications, and the Candidate’s application materials. Each Candidate’s response to questions must be documented and be included in the completed hiring file submitted to DHR. If a Candidate is not offered a formal interview, as a result of the Screening Interview, the screening interviewer shall provide a written justification that shall be included in the hiring file. In any instances where it is determined during the screening interview that the Candidate does not meet the minimum qualifications, they will no longer be considered for the Position.

10. **Conduct of Interviews.** Candidates for the same Position shall be asked the same core interview questions. Follow-up questions are encouraged so long as they relate to a candidate’s resume or previous questions asked to draw out more detailed information from the Candidate. Interviewers are prohibited from discussing the candidates with each other during the interviewing process. If necessary, a second round of interviews may be conducted utilizing different interview questions. In the case of mass hires, or positions with over ten (10) vacancies, departments, in consultation with DHR may choose to utilize interview panels.

11. **Interviewers Recommendations.** At least two (2) City employees from the hiring department or other DHR authorized subject matter experts who are familiar with the Position’s requirements shall interview each Candidate. Each interviewer shall independently and personally complete a candidate assessment form for each Candidate immediately following the interview (same day). Candidate assessment forms shall not be altered or revised once completed. Each interviewer shall provide all documentation from
the interviews, including extraneous notes, in the hiring packet that is submitted to DHR. There shall be no discussion between the interviewers regarding the Candidates until the Consensus Meeting.

12. Consensus Meetings; Selection; Creation of Pre-Qualified Candidate List. After the interviews for the vacancy are completed, the selection process for interviewed Positions shall be based on a Consensus Meeting led by a DHR Recruiter and attended by all interviewers, along with the Hiring Manager for the Position. The participants in the Consensus Meeting shall make a selection decision at the meeting. The DHR Recruiter facilitating the hiring process shall take detailed notes of the discussion at the meeting which shall be added to the hire packet. If applicable, interviewers shall discuss bid candidates and make selection decisions before discussing external candidates. Interviewers shall create a list of those interviewed Candidates who (i) are determined to be suitable for the vacancy and (ii) would have been selected but for the lack of a vacancy (Pre-Qualified Candidate list). In instances in which the department reaches a consensus decision to not hire any of the eligible Candidates the Hiring Manager shall provide a Justification Memo to DHR which shall be promptly provided to OIG and included in the hire packet provided to OIG.

13. DHR Monitoring of Selection Process; Records. The DHR Recruiter shall ensure that the selection is based on the Hiring Criteria, the interviewers' assessment forms, test results, the applicable terms of a CBA, if any, and other relevant factors and not on any Political Reasons or Factors or other Improper considerations. The DHR Recruiter shall maintain the notes of Consensus Meeting discussions, decisions, and all original hiring documentation in accordance with the record keeping requirements of the Local Records Act.

14. No Consensus Decision. If no selection consensus can be reached, the Hiring Manager shall make the final selection decision and shall provide a Justification Memo for the selection decision for review and approval by the DHR Commissioner prior to extending an offer of employment.

15. Second Round Interviews. If the interviewers decide at the Consensus Meeting that more information is needed before they can make a successful decision, they may choose to conduct second round interviews with all or some of the Candidates who were interviewed in the first round. The second round of interviews shall proceed per the requirements of this Chapter.

16. Department Head Interview. Prior to extending an offer of employment, the Department Head of the hiring department or their designee may choose (if they have not done so already) to interview the recommended Candidate(s) or Pre-Qualified Candidates. If the Department Head opts to conduct an additional interview prior to extending an offer of employment, the Department Head of the hiring department (or their designee) shall review all the candidate assessment forms prepared by the interviewers.
17. **Department Head Justification Memo.** At the conclusion of the department head’s interview, they shall prepare a Justification Memo and complete and sign the Hire Certification form. Additionally, the Justification Memo shall detail how the selected Candidate’s experience meets the Screening and Hiring Criteria for the Position. If the department head chooses to reject the recommended Candidate(s), the Justification Memo should include the reasoning behind the decision. The Justification Memo should also list any selected Pre-Qualified candidates in rank order and be included in the completed hire packet given to DHR.

13. **Pre-Qualified Candidates as Eligible Candidates.** The Pre-Qualified Candidates shall remain on the Pre-Qualified list created under Paragraph 11 above as long as their applications have not been withdrawn but not to exceed twelve (12) months from the date of the posting unless otherwise required by the terms of a CBA. However, a Pre-Qualified Candidate list shall be retired and thus considered inactive when a new eligibility list for the same Position is created as described above.

14. **Priority for Pre-Qualified Candidates.** If a hiring department chooses to utilize an active Pre-Qualified Candidate list, the Position will not be reposted, and the Pre-Qualified Candidates will be hired in order of their respective ranking on the list while their applications remain active, subject to the terms of a CBA.

15. **Extension of Pre-Qualified Candidate Lists.** The DHR Commissioner may extend a Pre-Qualified Candidate list for one additional twelve (12) month period, unless otherwise required by the terms of a CBA and will prepare a Justification Memo for the extension that shall be sent to OIG and maintained in the completed hire packet.
CHAPTER VI
GENERAL HIRING PROCESS – SENIOR MANAGERS

A. Applicability

1. **Class Specifications and Minimum Qualifications.** Senior Manager Positions must have Class Specifications, which will include minimum qualifications, which shall be publicly maintained on DHR’s website.

2. **Senior Manager List Maintenance.** DHR shall maintain a list of Classes where use of the process detailed in this chapter is allowed. DHR must review the list annually to ensure that the selected Classes are appropriate for use with this process. The Senior Manager List shall specify the identifying code for each Senior Manager Class and in which department each Senior Manager Position is located.

3. **Senior Manager List Modifications.** Modifications to the Senior Manager List shall be made by the DHR Commissioner, who shall provide fourteen (14) days’ prior written notification to the affected department and OIG. Where a Class does not meet the requirements listed above, that Class must be hired using the procedures detailed in Chapter IV or V *supra*.

B. **General Process for Hiring Senior Managers**

1. **Candidate Application.** Candidates shall apply using the Applicant Tracking System (ATS). All Candidates who successfully complete an application will be shared with the hiring department. The hiring department will review application materials and select candidates they wish to interview. Selected candidates will be forwarded to DHR for qualification review. The hiring department may forward an application to DHR, and if DHR determines such Applicant meets the minimum qualifications for the Position, DHR shall add the Candidate to the list.

2. **Option for Additional Screening Criteria.** The hiring department may elect to have additional screening criteria beyond minimum qualifications developed to further screen applications for “desirable characteristics.” These characteristics can be added as questions to the ATS to allow additional filters to be utilized by the department when screening applicants. If Screening Criteria do not exist, the hiring department may elect to work with DHR to create them for the purpose of utilizing this option.

3. **Qualification Review.** DHR will verify each selected Candidate’s application materials include specific details to support the determination that the Candidate meets the predetermined minimum qualifications for the Position and is eligible to be added to the Interview List.

4. **Interview Selection.** The Hiring Manager shall review the submissions and may schedule and conduct interviews for the Position for those Candidates, if any, who, in the sole discretion of the hiring department, should be interviewed. The hiring department shall...
forward DHR and OIG a list of those Candidates who will be offered an interview at least four (4) days before the first interview. The hiring department may begin interviewing such Candidates upon receipt of the Candidates’ documents from DHR and successful verification of qualification review but need not wait for the expiration of the applicable advertising period before initiating interviews.

5. **Rejection of All Referrals by Hiring Department.** The Hiring Manager may reject all Candidates forwarded by DHR with or without conducting interviews. The Hiring Manager must submit a justification for the decision to reject all Candidates to the DHR Commissioner, who shall promptly provide the justification to OIG. If all Candidates are rejected by the Hiring Manager, DHR shall purge the applications and post the Notice of Job Opportunity again.

6. **Interviews; Number of Candidates.** Subject to the presence of enough Candidates meeting the minimum qualifications, the hiring department shall interview at least one more Candidate than open Positions for three or fewer openings, two more Candidates than open Positions for four or five openings and three more Candidates than open Positions for greater than five openings.

7. **Interviews; Number of Interviewers.** Every Candidate selected for an interview must be interviewed by at least two interviewers who are familiar with the Position’s requirements. Candidates for the same Position shall be asked the same core interview questions. Follow-up questions are encouraged as long as they relate to a Candidate’s resume or previous questions asked to draw out more detailed information from the Candidate. If necessary, a second round of interviews may be conducted.

8. **Assessment Forms.** Each interviewer shall independently and personally complete an assessment form for the Candidate immediately following the interview. Interview evaluation forms shall not be altered or revised once completed.

9. **Selection.** The Hiring Manager shall collect the assessment forms and documents submitted by the Candidates and forward the materials to the Department Head, who shall make a selection. The Department Head may solicit the recommendations of the Interviewers if desired. The Department Head may choose to reject all the Candidates submitted for consideration pursuant to paragraph 5 above.

10. **Interview by Department Head.** Prior to extending an offer of employment, the Department Head of the hiring department may (if he or she has not done so already) interview the selected Candidate utilizing different interview questions.

11. **Justification Memo.** Prior to extending an offer of employment, the Department Head of the hiring department (or his or her designee) shall review all of the evaluation assessment forms prepared by the interviewers of the Candidate whose hire is being recommended, prepare in writing the reasons for selecting the successful Candidate (“Reasons for Hire”), and shall complete and sign the Hire Certification form. In addition to explaining the rationale for selecting a Candidate, the Justification Memo shall detail how the selected
Candidate’s experience meets the Screening and Hiring Criteria for the Position. The Justification Memo should also list any selected Pre-Qualified candidates in rank order. The Department Head shall provide this letter and all documentation from the interviews to DHR.

12. **Hire Certification Forms.** Every person who participated in the selection process shall complete a Hire Certification form. The successful Candidate(s) shall also execute a Hire Certification form.

C. **Record-keeping**

The name, Position, and department of each Senior Manager hire shall be posted on DHR’s website within fourteen (14) days of the hire date and remain posted for a period of three (3) years from the date of hire. DHR shall receive and maintain all original hiring documentation in accordance with the record keeping requirements of the Local Records Act.
CHAPTER VII
CAREER EVENTS AND CONDITIONAL OFFERS OF EMPLOYMENT

A. Applicability and Principles

With the prior approval of DHR and advance notice to OIG, departments may use career events or job fairs to identify potential Candidates for consideration in the hiring process or to make Conditional Offers of employment for a Covered Position provided that no Political Reasons or Factors or other Improper Considerations are taken into account.

B. General Process for Career Event Participation

1. Participation at career events is encouraged to promote the City of Chicago as an employer of choice. Under this section, general participation provides for DHR representatives to attend events both virtually and in-person.

2. Representatives may provide information regarding current and anticipated vacancies. These events may be used to help provide a realistic job preview to candidates of certain hard to fill roles within the City.

3. Representatives may collect hard copy resumes but all candidates wishing to be considered for a hiring sequence will be required to submit an Application for any positions using the ATS.

C. Process for Department Representatives at Career Events

1. Approval. Consistent with the requirements of Chapter III, departments wishing to utilize Career Events must: (1) identify the Position(s) the department wishes to potentially consider Candidates for; and (2) have an approved A-Form from OBM with the verified number of vacancies to be potentially filled;

2. DHR approval with notification to OIG. The department must submit a detailed request to utilize a Career Event to identify candidates at least 14 days prior to the Career Event. The request shall include: (1) the event format; (2) the sponsor of the event; (3) a brief description of the process the department wishes to adhere to at the event; (4) a list of names of the department representatives who will attend; and (5) whether or not the department wishes to consider Conditional Offers consistent with Section D below. Upon DHR approval, OIG will be sent notification.

3. Applications. All Applicants will be required to apply via the ATS. Resumes may be accepted by the department or DHR representatives. If the Applicant wishes to be considered for a particular Position the Applicant must submit their application via the ATS by the close of the posting period listed on the Notice of Job Opportunity. Any individual that does not timely submit an application will not be considered eligible for the Position and their name will be removed from consideration.
4. **Candidate Introductions.** The department or DHR representative is encouraged to have a professional conversation with potential Applicants at the Career Event. The department or DHR representative may ask questions about topics including, but not limited to position types of interest, previous experience, and alignment with future aspirations.

5. **Standout Candidates.** DHR representatives may refer “Standout Candidates” to a hiring department based on the conversation with the Applicant at the time of the Career Event. The Applicant must meet the required minimum qualifications of the position. All standout candidates will be captured on a shared document within DHR.

**D. Conditional Offers at Career Events**

1. **Prior to the Career Event.** Any department representative that wishes to make Conditional Offers of employment at a Career Event must provide a detailed plan that includes the following information for DHR approval at least fourteen (14) days prior to the event: (1) include a detailed overview of the format of the event and the process the department will follow to ensure fair and equitable screening of candidates for potential Conditional Offers; (2) include approved A-form number(s) from OBM for any Positions that on site Candidates will be considered for; (3) include approved Job Specification and/or prepared posting to ensure understanding of Minimum Qualifications are adhered to; (4) complete an Intake Meeting with a DHR Recruiter prior to the submission of the plan to DHR for review and approval; (5) provide a list of all departmental representatives who will attend; (6) ensure that all departmental representatives have completed the City’s Interview and Consensus Training; and (7) detailed and documented process that all departmental representatives will follow as part of the on-site Candidate screening process which shall include (a) capturing the applicants name and contact information; (b) resume; and (c) any other applicable source of professional background, etc.

2. **Process During the Career Event.** During the Career Event, department representatives must: (1) use Candidate Assessment Forms to document the interviews conducted at the career event; (2) use a consistent method to screen Candidate for minimum qualifications; (3) conduct a Consensus Meeting on-site prior to leaving the event; and (4) complete Hire Certifications.
A. **Applicability**

A Promotion process may apply to positions that are (1) not covered by a CBA; (2) not Exempt; (3) within the same Class of Positions; and (4) within the employee’s same department.

B. **General Process**

1. **Qualifications.** A Department Head may request to use this Promotion process to promote qualified internal Candidates, provided the Position is within the same Class of Positions and is at least one level higher class grade than the employee’s current Position. Promotion to the next higher rated title shall be made based on satisfactory continuous service for at least the period specified in the relevant Class Specification. DHR will verify that all requests meet the predetermined minimum qualifications for the use of this process.

2. **Request to Use Promotional Process.** To request to use the Promotion process the department head must submit a Justification Memo to the Commissioner of DHR indicating their desire to use the Promotion process. This Justification Memo shall include the Position title and an OBM approved A-form number.

3. **Notice.** Notice of intent to use the Promotion process within a hiring department shall be provided to DHR and OIG at least fourteen (14) days before convening the Promotional Committee meeting. OIG will inform DHR of any objections prior to the department moving forward with the process.

4. **Notice of Promotional Opportunity.** Hiring departments must provide written notice of the opportunity of Promotion to all department staff holding lower graded Positions. Any eligible employee seeking a Promotion must submit a Promotional Interest Form expressing their desire to be considered for the Promotion to their supervisor.

5. **Recommendations and Required Documentation.** Supervisors may recommend an employee under their supervision for a Promotion. Supervisors will ensure that the employee meets the minimum qualifications for the Promotion and provide their written justification for the recommendation, a current resume, proof of any required degrees and/or licenses/certifications and any existing annual employee performance evaluations or other relevant information to the Promotional Committee. All materials shall be made part of the Promotion File.

6. **Promotional Committee.** The Promotional Committee shall consist of at least three (3) senior or supervisory employees within the hiring department, preferably in the division, selected by the Department Head (or their designee). The Promotional Committee shall invite the recommended employee(s) before the Promotional Committee to discuss their qualifications. During the meeting, the Promotional Committee shall review the written
recommendation letter, resume, proof of any required degrees and/or licenses/certifications and performance evaluations or other relevant information and discuss the qualifications of the recommended employee(s). The recommending supervisor of the employee shall present to the Promotional Committee their views on why they recommend the employee for Promotion.

7. **Selection.** The Promotional Committee shall meet with the department head (or their designee) as soon as practicable to discuss the qualifications of the recommended employee(s). Each member of the Promotional Committee shall share their assessment of each recommended employee and the summary of the collective assessment shall be recorded in writing and detail whether the employee(s) should be Promoted to the vacant Position. This written summary shall be made part of the Promotion File.

8. **Justification Memo.** Prior to extending an offer for Promotion, the Department Head of the hiring department (or their designee) shall review all of the assessments prepared by the Promotional Committee and prepare an additional Justification Memo detailing (1) the reasons for selecting the successful Candidate(s); and (2) how the selected Candidate’s experience meets the minimum qualifications for the higher rated Position. This Justification Memo should also list any selected Pre-Qualified Candidates in rank order.

9. **Promotional File.** The Department Head shall provide this Justification Memo and all documentation from the Promotional Committee to DHR. Upon review and verification of qualifications, DHR will provide notice to OIG and inform the Department they may move forward with processing the candidate for appointment to the Promotion Position.

10. **Hire Certification Forms.** Every person who participated in the Promotion process shall create a Hire Certification form for each Candidate. The successful Candidate(s) shall also execute a Hire Certification form.
CHAPTER IX
EXEMPT POSITION HIRING PROCESS

A. Applicability and Principles

1. Exempt Positions are those where any factor may be considered in actions covered by this Employment Plan and Other Employment Actions, unless otherwise prohibited by law, and are listed on the Exempt List, which is attached as Exhibit D.

2. DHR shall maintain a list of Classes and updated Class Specifications where use of the process detailed in this chapter is allowed. The Class Specifications will include minimum qualifications for the position, duties to be performed, and the organizational reporting structure. If the individual does not possess the minimum qualifications or hold any applicable required licenses or certifications, they cannot be appointed into the Exempt position.

B. Modifications to the Exempt List

The City may from time to time add or delete Positions on the Exempt List. Written notice of any proposed addition to or deletion from the Exempt List shall be submitted to the DHR Commissioner with supporting documentation including, but not limited to: (1) the Class of the Exempt Position, and (2) a description of the basis on which the Exempt status of the Position should be changed. Copies shall simultaneously be provided to OIG. If a proposed addition to the Exempt List involves adding a Class not previously included on the Exempt List, the Class must meet the requirements for exempt status under applicable law.

The DHR Commissioner will respond with their approval or denial (including the reasons for the approval or denial) within thirty (30) days and copy OIG on the response. If OIG disagrees with the DHR Commissioner’s decision, it may submit a written objection to the DHR Commissioner, who must respond in writing within ten (10) days. The DHR Commissioner’s decision will not be final until this response is submitted to OIG. The DHR Commissioner’s initial justification for the decision, OIG’s objection, the DHR Commissioner’s response to OIG’s objection, and the DHR Commissioner’s final decision shall be posted on the OIG’s website.

OIG may propose changes to the positions on the Exempt List that OIG believes are necessary to ensure compliance with applicable law. OIG will provide a written explanation detailing why the changes are necessary which may include: (1) the position description does not meet proper Exempt designation, or (2) 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’s job description. The DHR Commissioner will review the request and will provide approval or objection to the proposed change within 10 business days of receipt to OIG. If the DHR Commissioner or the Mayor’s Office or Department of Law objects to the change, the parties shall meet to discuss the objection and may make modifications to the job descriptions and/or ensure that the exempt individual is performing the duties as provided in the Class Specification. The Mayor’s Office and
Department of Law bear the burden of demonstrating that the position is one for which an employer may consider political considerations when deciding whom to hire, promote, or transfer to fill the positions. Both the OIG proposed changes and accompanying written explanation will be publicly posted on the OIG website.

C. Process

1. Documentation. The department must submit the following documentation to DHR: (a) electronic A-Form; (b) Personnel Form – 14; (c) an organizational chart highlighting the reporting structure of the requested Position; (d) resume and copies of any required licenses or certifications of the selected Candidate demonstrating that they meet minimum qualifications; and (e) Class Specification of the Exempt position.

2. No specific selection process required. The employing department or official is not required to use any specific selection process in filling a Position using this process and may consider any factor in making its decision, so long as it is not an illegal factor.

3. Notice to OIG. DHR shall forward notice of hires under this section to OIG at least seven (7) days prior to the candidate(s)’s start in the position.

D. Removal

An Exempt employee may be terminated or subject to any action covered by this Employment Plan for any reason or without reason, so long as it is not an illegal reason.

E. Maintenance of Exempt Position Status

Any employee who is appointed to an Exempt Position shall retain Exempt status, even if subsequently placed into a Covered Position pursuant to an Other Employment Action, and that Exempt status shall not change unless they are subsequently hired into a Covered Position that is filled through the General Hiring Process.

Any City employee who is appointed into an Exempt Position shall continue to be considered Exempt and not subject to any union or other job protections unless hired into a Shakman covered position. DHR shall provide at least seven (7) days’ notice to OIG if a Shakman Exempt employee is placed into a Shakman covered position pursuant to any Other Employment Action as defined in Chapter XIII.
CHAPTER X
PRIVATE SECRETARIES OR ASSISTANTS, SECURITY SPECIALISTS

A. Applicability and Principles

Some hires by their nature require greater management discretion in selection. These include Private Secretaries or Assistants assigned to Schedule G Shakman Exempt Employees and Security Specialists assigned to elected officials. DHR shall maintain a list of Classes covered by this chapter, and each Class shall have a Class Specification, which will include minimum qualifications, on file with DHR. The positions covered by this chapter include Executive Administrative Assistant II, Administrative Assistant to Deputy Corporation Counsel, and Police Officer (Assigned As Security Specialist).

B. Process

1. Documentation. The department must submit the following documentation to DHR: a) approved electronic A-Form; b) Personnel Form – 14; and c) an organizational chart highlighting the reporting structure of the requested Position.

2. No Specific Selection Process Required. The employing department or official is not required to use any specific selection process in filling a Position using this process. The hiring department or official must not, however, consider Political Reasons or Factors or other Improper considerations when evaluating or selecting a Candidate. All Candidates under consideration to fill Private Secretary and Security Specialist vacancies must meet the minimum qualification for the title in which they are hired.

3. Justification Memo. Prior to their respective appointments, the employing department or official shall submit a Justification Memo to the DHR Commissioner detailing the reason the Candidate was selected.

4. Hire Certification Forms. Every person who participated in the selection process shall execute a Hire Certification form for each Candidate. The successful Candidate(s) shall also execute a Hire Certification form.

5. Security Specialists. Thirty (30) Security Specialists may be appointed pursuant to this process and the employing official does not need to provide an A-Form or an organizational chart when selecting a sworn member of the Chicago Police Department to serve as a security specialist.

6. Certification by Department or Department Designee. Prior to appointment, the Commissioner of the hiring department or the Commissioner’s designee must certify that the requested Position will be utilized as represented in the submitted documentation.
6. Notice to OIG. DHR shall forward notice of hires under this section to OIG at least seven (7) days prior to the candidate(s) start date into the position.

C. Removal

A private secretary or assistant assigned to an Exempt employee may be terminated at the discretion of the Exempt employee supervising the secretary or assistant or the Department Head, so long as the termination is not for Political Reasons or Factors or Improper considerations or other illegal reasons. Sworn members of the Chicago Police Department serving as Security Specialists may be removed and returned to their Career Service Rank at the discretion of the elected official to which they are assigned or the Superintendent of Police, so long as the removal is not for Political Reasons or Factors or Improper Considerations or other illegal reasons.
CHAPTER XI
WARD SUPERINTENDENTS

A. Applicability and Principals

Ward Superintendents serve as a liaison between the Department of Streets and Sanitation and the Alderman for a specific ward. One Ward Superintendent may be hired for each ward.

B. Process

1. Candidate Selection. As vacancies for the position of Ward Superintendent arise, the Commissioner of Streets and Sanitation shall consult with the Alderman for the specific Ward. The Alderman may provide recommendations for Candidates to be considered for the position or, alternatively, the Commissioner of Streets and Sanitation can provide recommendations to the Alderman for their consideration. Candidates must meet the minimum qualifications for the position in order to be considered further in the hiring process.

2. Interviews. The Commissioner of Streets and Sanitation or their designee shall conduct interviews for those Candidates, if any, who merit hiring consideration. The Alderman of the Ward may elect to interview or meet with Candidate(s) before a final selection is made.

3. Selection. Taking into consideration the recommendation of the alderman of the applicable ward, the Commissioner of Streets and Sanitation shall recommend a Candidate for hire, provided that they are otherwise eligible for employment with the City.

C. Removal

Ward Superintendents shall be subject to regular, periodic documented performance review by the Commissioner of Streets and sanitation or his/her designee and may be removed at the discretion of the Commissioner, so long as such removal is not for illegal reasons. The Alderman for the Ward to which the Ward Superintendent is assigned can request the removal of the Ward Superintendent in writing to the Commissioner of the Department of Streets and Sanitation.
CHAPTER XII
INTERNS, EXTERNS, JOB TRAINING PROGRAMS, AND VOLUNTEER WORKERS

A. **Applicability**

An Intern is any temporary worker who works for the City in a trainee capacity while attending school either part time or full time.

An Extern is any temporary worker who works for the City in a partnership between the City and an educational institution, regardless of who is paying the extern.

A Job Training Program is any program designed to provide on-the-job training to workers to provide them with skills for future employment.

A Volunteer is any worker, including a student, who is not paid a wage or a salary by the City of Chicago and who works for the City of Chicago.

B. **General Selection Process for Interns, Externs, Job Training Programs, and Volunteer Workers**

1. **No Specific Selection Process Required.** The employing department is not required to use any specific selection process in filling a Position using this process. The hiring department must not, however, take into account Political Reasons or Factors or other Improper considerations when evaluating or selecting a Candidate. Candidates under consideration for any position filled pursuant to this Chapter must meet any minimum qualifications for the position, if applicable.

2. **Notice to DHR.** When a department wishes to select an individual on a temporary basis pursuant to this Chapter, the department shall notify DHR.

3. **Procedure.** DHR shall work with the department to define the procedures for selecting or on-boarding any volunteers under this Chapter. These procedures may, but are not required to, include the following: a Notice of Job Opportunity; the predefined Class Specification, predefined minimum qualifications, and predefined Screening or Hiring Criteria if applicable; whether or not an interview will be conducted; who will make the selection; and any other relevant information.

4. **Unsolicited Offers.** If a department receives an unsolicited offer from an individual desiring to volunteer their time to the City, the department must give seven (7) days’ advance written notice to DHR and OIG before accepting the offer. DHR must give approval for the department to accept the offer and provide prompt written notification to OIG within seven (7) days of its decision.
5. **Documentation.** The department will provide to DHR copies of any documentation concerning the volunteer opportunity including but not limited to: program descriptions; extern/intern applications; recommendations; terms or duration of service; name of outside agency providing salary; or proposals for the placement of a volunteer worker. The department will also provide to DHR and OIG if applicable, any agreement entered between the hiring department with another agency regarding the selection of any temporary worker pursuant to this Chapter.

6. **Notice to OIG.** DHR shall forward the procedures for using volunteer workers to OIG prior to implementation.

7. **Experience Gained as an Intern, Extern, or Volunteer.** The experience gained by any volunteer worker may be used to meet the minimum qualifications for any Position with the City. The City may consider the experience when evaluating between otherwise qualified Candidates, if the process outlined in this chapter is followed.

8. **No Transfer or Detailing of Interns, Externs, or Volunteers from Legislative Offices.** Volunteers working for City legislative offices cannot be transferred or detailed to any other city department in the City’s executive branch.

9. **Hire Certification Form.** All individuals involved in the process to select a temporary worker pursuant to this Chapter must execute a Hire Certification form stating that Political Reasons or Factors or other Improper considerations did not play a part in allowing the Volunteer to work for the City. The selected worker(s) shall also execute a Hire Certification form.

10. **Removal.** A Volunteer Worker may be dismissed for any reason or without reason, so long as it is not an illegal reason.
CHAPTER XIII
ACTING UP

A. General Considerations

1. Acting Up Is the Exception, Not the Rule. Acting Up for temporary periods is sometimes unavoidable. However, it should never be the option of first resort and departments are expected to take every reasonable step to ensure that vacancies are filled in a timely and appropriate fashion. Violating the Acting Up Policy can lead to discipline, up to and including termination.

2. No Political Considerations. The Acting Up Policy relates to Covered Positions. Because of this, it is never appropriate for Political Reasons or Factors or other Improper considerations to play any part in determining whether an employee will act up.

3. Implementation Procedures. DHR shall create implementing procedures for the use of Acting Up. With advance notice to OIG, DHR may modify these implementing procedures as necessary so long as the modifications are not contrary to the provisions of this Employment Plan. DHR will post on the City’s publicly available internet site the Acting Up implementing procedures and any updates to the procedures.

4. Time Limit. Acting Up is a temporary appointment. The implementation procedures for Acting Up shall set a specified time limitation for an acting appointment that shall not exceed ninety (90) continuous days in a calendar year.

5. Waivers. In limited circumstances, a Department Head may seek an extension allowing an employee to continue in an acting appointment beyond the time limit set forth in the policy. DHR must approve all requests for waivers, which must be submitted prior to an employee reaching the time limit.


7. Violations of Law or Rules and Regulations. No person may be selected to act up to the extent that the selection would violate any City ordinance, rule, or regulation, including the Governmental Ethics Ordinance. For example, no person may be selected to act up if selecting that employee would cause them to exercise supervisory authority with respect to a relative.

8. Reporting. All departments must fully report all acting up into covered Classes monthly to DHR.
B. **Exceptions**

1. **Exempt Positions.** The Acting Up Policy does not apply to Exempt Positions. Employees cannot Act Up into Exempt Positions.

2. **Collective Bargaining Agreement Employees.** If a CBA contains specific provisions detailing the use of Acting Up, the department shall use those procedures and adhere to any limitations if the department does not take Political Reasons or Factors or other Improper considerations into account. If the CBA is silent with respect to any specific acting up rule or procedure, the specific provisions of this chapter and of the Acting Up Policy must be followed.
CHAPTER XIV
COMPLIANCE AND GOVERNANCE

A strong and effective compliance and governance system is critical to the success of this Employment Plan. This Employment Plan grants oversight to OIG. OIG shall work collaboratively with the Department of Law and DHR to redress issues regarding City employment actions.

OIG reviews, monitors, and audits key processes in this Employment Plan and receives complaints regarding the hiring process, including allegations of unlawful political discrimination and retaliation and other Improper influence in connection with any aspect of City employment. OIG shall, when appropriate, refer complaints and other instances of non-compliance to the Investigations Section of the OIG.

A. Complaints

The OIG receives complaints via email, telephone, social media, through its website and facsimile transmission. All complaints shall be logged in OIG’s case management system (CMS). The CMS shall contain the caller’s name (or noted as anonymous should the caller elect not to provide their name), the Class of the Position for which the complaint is being registered, the department in which the Position is located, the nature of the complaint, the approximate date the alleged violation took place, the identity(ies) of any party(ies) alleged to have caused or to have knowledge of the violation, contact information for the complainant if provided, any other relevant information, and the resolution of the complaint. Confidential information that may relate to official OIG investigations shall be protected pursuant to Section 2-56-110 of the Chicago Municipal Code.

Any City employee who knows or should know that Political Reasons or Factors or other Improper considerations may have influenced any term or aspect of City employment shall report the incident to OIG directly and without delay. Any employee who knowingly fails to report such a potential violation to OIG may be subjected to discipline, up to and including termination.

B. Escalations

The Recruiter shall suspend a requisition at any point in the hiring process when they have reason to believe that a Hiring Manager, Hiring Authority or other City employee may have committed a violation of this Employment Plan or may have allowed Political Reasons or Factors or Other Improper Considerations to influence the hiring process. The escalation shall proceed in the following manner:

1. Initiating Escalation. Upon suspending a requisition, the Recruiter shall immediately notify OIG and the DHR Commissioner of the suspension and the reasons for the escalation.

2. Review of Escalation. OIG shall evaluate the circumstances surrounding the escalation and may do one or more of the following: conduct a review of the hiring sequence, refer
the matter to the DHR Commissioner or appropriate department head for resolution, and/or refer the matter to the Investigation Section of OIG.

3. Escalation Log. Escalations shall be logged (the “Escalation Log”) by OIG. The Escalation Log shall contain the name of the Recruiter or Analyst who escalated the matter, the Class of the Position for which the escalation is being made, the department in which the Position is located, the nature of the violation, the approximate date any alleged violation took place, the identity(ies) of any party(ies) alleged to have caused or to have knowledge of the violation, any other relevant information, and the resolution of the escalation.

4. Release of Suspension of Hiring Process. During further review or inquiry by OIG, the DHR Commissioner shall have the authority to continue the temporary suspension of the requisition until the review or inquiry is completed or to release the suspension and allow the hiring process to proceed. The DHR Commissioner may release any suspension notwithstanding the fact that such matter is being examined by OIG and shall provide prompt notice and justification for releasing the suspension.

5. Report by OIG. After review or inquiry, any findings and recommendations of OIG shall be reported to the DHR Commissioner and, when appropriate, the department head. OIG shall maintain confidentiality as required by Sections 2-56-070 and 2-56-110 of the Chicago Municipal Code.

6. Report by the DHR Commissioner of Action Taken. The DHR Commissioner must report to OIG within thirty (30) days of the receipt of a recommendation what action, if any, they took on the recommendation and provide a written explanation of the reasons for the action taken if it is other than that recommended by OIG.

7. Notice to OIG of Self-Initiated Action Taken. If the DHR Commissioner, on their own initiative, imposes remedial actions as they relate to a hiring sequence, they will provide immediate written notification with justification to OIG of the action taken.

C. Reviews and Audits of Hiring Data

OIG may perform quarterly reviews and audits of data regarding the hiring processes. For the purpose of this section:

*Review* means a check of all relevant documentation and data concerning a matter.

*Audit* means a check of a random sample or risk-based sample of the documentation and data concerning a hiring element.

Each quarter OIG may periodically conduct the following reviews:

1. Contacts by Hiring Departments. Review of all reported or discovered instances where hiring departments contacted DHR to lobby for or advocate on behalf of actual or potential
Applicants or Bidders for Covered Positions or to request that specific individuals be added to any referral or eligibility list except as permitted in this Employment Plan.

2. **Contacts by Elected and Appointed Officials.** Review of all reported or discovered instances where any elected or appointed official of any political party, or political organization, attempted to provide a recommendation for a Candidate or affect any hiring for any Covered Position or Other Employment Actions.

3. **Exemptions.** Review of adherence to exemption requirements and Exempt Lists and propriety of Exempt List modifications.

4. **Senior Manager Hires.** Review of In-Process hires using Chapter VI, the Senior Manager Hiring Process prior to the Candidate starting in the Position.

5. **Discipline, Arbitrations and Resolution of Grievances by Settlement.** Review of disciplinary decisions, arbitration decisions and potential grievance settlement agreements that may impact the procedures under this Employment Plan.

6. **Modifications to Class Specifications, Minimum Qualifications and Screening and Hiring Criteria.** Modifications of Class Specifications, Minimum Qualifications, or Screening and Hiring Criteria. These notices shall be submitted in an electronic format to OIG.

7. **Referral Lists.** The lists of Applicants/Bidders who meet the predetermined minimum qualifications for the Position that are generated by DHR.

As necessary OIG may conduct audits of the following matters to ensure compliance with the City’s employment actions. OIG may choose to conduct additional audits.

1. **Testing.** Test development, administration, and scoring.

2. **Selected Hiring Sequences.** A risk-based sample hiring sequences from the following departments or their successors: Streets and Sanitation, Water Management, Aviation, Transportation, Buildings, Fleet, and six other City departments selected at the discretion of OIG.

3. **Acting Up.** Review of the City’s compliance with Chapter XI and any implementing procedures.

**D. OIG Monitoring and Investigation of Hiring Processes**

If at any point OIG identifies any actual or potential violations of this Employment Plan or the possible influence of any Political Reasons or Factors or other Improper considerations by a Hiring Manager, Hiring Authority or other City employee, OIG may refer the matter to the DHR Commissioner or make recommendations for appropriate corrective actions to the DHR Commissioner, the Department of Law, and/or any affected department head. OIG may also directly refer the matter to the Investigation Section of the OIG for the opening of an investigation.
OIG will develop internal protocols for the referral of such matters by OIG to the Investigations Section of the OIG.

E. **Reporting Requirements**

OIG shall issue quarterly reports that include statistics on the number of escalations and complaint, pending, received, referred to the related department/DHR and declined. The quarterly reports shall also include a description of the outcomes, findings, process recommendations, and actions taken on the recommendations of any review of an escalation, complaint, or audit. The quarterly report shall also include OIG’s comments on the DHR Commissioner’s or Department Head’s responses to recommended action based on OIG’s recommendations, outcomes of audits or reviews, and OIG notifications. In addition, OIG shall report on the reviews and audits of hiring data and monitoring of hiring processes undertaken pursuant to Sections C and D of this Chapter.

OIG shall redact any personal identifying information prior to publicly disseminating such reports.
CHAPTER XV
APPLICABILITY TO OTHER EMPLOYMENT ACTIONS NOT DETAILED IN THIS EMPLOYMENT PLAN

Other Employment Actions not detailed in this Employment Plan, including those listed below, shall not require the posting of Bids or Notices of Job Opportunities or screening requirements described in Chapter III above, unless otherwise required by the terms of a CBA. The City, however, shall not consider Political Reasons or Factors or other Improper considerations and shall adhere to the other goals and principles outlined in Chapter I in filling Positions pursuant to Other Employment Actions. The procedures for filling Positions pursuant to Other Employment Actions not detailed in this Employment Plan shall be codified in the Personnel Rules and/or applicable City policies and procedures, unless otherwise required by the terms of a CBA. Individuals employed under any such Other Employment Action, including those listed below, must meet all minimum qualifications for the Positions in order to be given priority for hire over general Applicants/Bidders. OIG shall be provided notice of the name, Position, and particular action for any person hired under any of the Other Employment Actions and may monitor and audit these actions as it deems necessary to ensure compliance with this Employment Plan. The Personnel Rules and applicable City policies and procedures shall not be contrary to the goals and principles in Chapter I of this Employment Plan.

In addition, thirty (30) days’ advance written notice of any substantive modifications of the Personnel Rules and/or applicable City policies and procedures that relate to Other Employment Actions shall be given to OIG. OIG may comment on the modifications and make written objections.

A. Assignments
B. Terminations
C. Layoff Lists
D. Reinstatement
E. Duty Disability
F. Transfers
G. Demotion
H. Reclassifications
I. Promotions and Career Progressions
J. Reasonable Accommodations
K. Return of Seasonal Employees
L. Approved City Training Programs
M. City Affirmative Action Plans
N. Screening Preferences
P. Emergency Appointments
Q. Settlements, Awards, Judgments and Decisions
R. Discipline
S. Ineligible for Rehire