

**METROPOLITAN WATER
RECLAMATION DISTRICT OF GREATER
CHICAGO
EMPLOYMENT PLAN
AMENDED AUGUST 5, 2025**



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I. INTRODUCTION

The Metropolitan Water Reclamation District of Greater Chicago (“District”) is a unit of local government responsible for sewage treatment and stormwater management for an area covering most of Cook County. It is governed by the provisions of its enabling statute, the Metropolitan Water Reclamation District Act (“MWRD Act”) (70 ILCS 2605/1 *et seq.*) and utilizes a civil service employment system for the vast majority of its approximately 1800 employees.

In 1972, the District entered into a Consent Decree with the plaintiffs in *Shakman v. Democratic Organization of Cook County, et al.* (Case No. 69 C 2145) whereby the District agreed to be prohibited from conditioning, basing, or knowingly prejudicing or affecting any term or aspect of governmental employment with respect to one who is at the time already a governmental employee.

In 1983, the City of Chicago entered into another consent decree which extended the prohibitions of the 1972 Decree to the City’s practices regarding new hires. The District did not enter into the 1983 Decree. Despite this, the District has maintained policies and practices to prevent political influence in employment actions (including new hires), except when appropriate with respect to *Shakman* Exempt employees. The District voluntarily assumed the responsibility of preventing political influence in new hires because it is committed to being an equal opportunity employer, hiring qualified candidates, and prohibiting unlawful political discrimination with respect to all employment actions. This Employment Plan memorializes the transparent and equitable processes and procedures that the District has followed and will continue to follow in all employment actions.

II. GENERAL PRINCIPALS APPLICABLE TO HIRING

The District will continue to adhere to the following general employment related policies, practices, and procedures:

- A. Commitment. The District will continue to follow transparent and equitable employment-related policies, practices, and procedures that will prevent and remedy the negative effects of unlawful political contacts and unlawful political discrimination. No collective bargaining agreement or other agreement between the District and any other individual or entity shall provide otherwise.
- B. Equal Employment Opportunity. The District is committed to equal employment opportunities regardless of race, sex, sexual orientation, age, religion, national origin, disability, or any other legally protected status.
- C. No Employment Actions Influenced by Political Reasons or Factors. No employment action affecting non-*Shakman* Exempt positions shall be influenced by any political reasons or factors.

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D. Mandatory Reporting of Political Contacts and Unlawful Political Discrimination.

“Political Contact” is defined as any contact of any kind whatsoever (oral or written, direct or indirect) with any public official/agent, or their staff, or any political organization regarding any employment action related to any non-*Shakman* Exempt position.

“Unlawful Political Discrimination” is defined as any positive or negative employment action involving an applicant, candidate, or employee who is applying for, being considered for or holding a non-*Shakman* Exempt position.

Any employee who knows of or has reasonable belief that a Political Contact or Unlawful Political Discrimination has occurred or is occurring, is required to report such information to the Office of the Inspector General (“OIG”) directly and without delay. All employees are required to cooperate fully with the OIG. Any employee who fails to report and/or cooperate as required will be subject to disciplinary action, up to and including termination.

E. Exceptions to Reporting Political Contacts. Members of the Board of Commissioners and *Shakman* Exempt employees may engage in inquiries that are within the scope of their regular District work duties. Employees are not required to report such inquiries as Political Contacts. Nothing in this section will affect any employee’s obligation to report Unlawful Political Discrimination.

F. No Political Considerations Certification (“NPCC”). By the fifth (5th) day of each month, the Executive Director and the Director of Human Resources (“HR”) are required to sign, in hard copy or electronically, a NPCC report, listing all of the following employment actions that occurred in the previous calendar month: appointment, promotion, 30-day suspension pending termination, suspension less than 30 days, termination of probation, involuntary demotion, transfer, and reassignment. All candidates for employment must complete an NPCC upon appointment, which will be incorporated into or attached to all applicable forms as described in this Employment Plan. The NPCC is appended to this Employment Plan as “Exhibit A.”

G. Exempt List and Changes to the Exempt List. The “Exempt List” consists of the job classifications at the District that are *Shakman* Exempt, i.e. classifications for which political party affiliation may be a relevant consideration for the effective performance of the classification. The District may consider political reasons or factors in taking any employment action relating to an individual applying for or holding a *Shakman* Exempt position. The District’s Exempt List is appended to this Employment Plan as “Exhibit B.”

The District may from time to time amend the Exempt List. Such changes will be made as follows:

The Executive Director or their designee will direct that written notice of the proposed amendment to the Exempt List be provided to the Director of HR, the *Shakman* Compliance Officer, and the OIG, along with supporting documentation including but not limited to (a) the identity of the exempt classification (including a copy of the current job specification

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for the classification) and (b) a description of the basis on which the position should be designated as an exempt position. The Director of HR will respond with their approval or denial (including the reasons for the approval or denial) within 30 days.

If the Director of HR or the *Shakman* Compliance Officer disagree with the amendment, the Executive Director will make the final decision. The Executive Director shall take into account (a) the opinion of the Director of HR and the *Shakman* Compliance Officer and (b) applicable case law and make the determination about whether a classification should be considered an exempt classification.

III. GENERAL PRINCIPALS RELATED TO HR

HR is responsible for establishing, directing, coordinating, and overseeing the human resources processes, policies, and procedures of the District relating to all employment actions. The following will apply to activities of HR.

A. Changes to the Employment Plan. The Director of HR may from time to time amend the Employment Plan following written notice of any proposed changes to the Employment Plan to the Executive Director. Notice of the proposed changes shall also be posted on the District's website. The Executive Director or their designee and the Director of HR will then meet to discuss the changes. The decision of the Executive Director on any proposed change to the Employment Plan will be final. Proposed changes to the Employment Plan will not be implemented until after the Executive Director approves the change. HR will post the Employment Plan, including any amendments, on the District's website.

B. Training. All District employees shall be required to complete in each consecutive twelve-month period an ethics education training course developed by the HR Department, which will include the *Shakman* principals and the District's commitment to prohibit political influence in any employment action except when appropriate with respect to *Shakman* Exempt positions.

C. Complaint Process.

All complaints of potential Unlawful Political Discrimination are reported to the Office of the Inspector General. At the end of any investigation, the OIG will create a report and provide copies to the Executive Director, the General Counsel, and the Compliance Officer. If the OIG's report contains findings of Unlawful Political Discrimination, violations of the Employment Plan, or makes recommendations, the Executive Director will submit a written response to the OIG within 45 days.

D. Tip Line. The OIG's "tip line" shall facilitate the receipt of complaints of Political Contacts (including unlawful Political Contacts) and Unlawful Political Discrimination, including provision for the following:

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The tip line will allow non-employees to call and leave a message on an anonymous or credited basis, to register complaints regarding their good faith belief of the occurrence of unlawful Political Contacts or Unlawful Political Discrimination.

Notice of the existence and number of the tip line shall be posted in HR and on the District's website.

All recorded calls will be reviewed and logged by the OIG.

E. Recordkeeping. The District will continue to comply with the requirements of the Local Records Retention Act.

IV. GENERAL EXAMINATION-BASED HIRING PROCESS APPLICABLE TO CIVIL SERVICE EMPLOYEES

The District utilizes a civil service system of employment governed by the MWRD Act. Nearly all of the District's 200+ job classifications (and its approximately 1800 employees) are part of the classified civil service and are filled in accordance with the examination requirements of the MWRD Act. A fundamental purpose of a civil service system is to remove employment from the patronage system. *Glenn v. City of Chicago*, 256 Ill. App. 3d 825, 833 (1993). Each step in the hiring process—including the classification and allocation of positions, examinations, and requisitions and eligible list certification—are in furtherance of the District's goal to keep political patronage out of employment actions and are in accordance with the MWRD Act.

A. CLASSIFICATION AND ALLOCATION OF POSITIONS

i. Classification Plan. All job classifications in the District, with the exception of those cited in Section 4.13 of the MWRD Act as not included in the classified service and services procured under contractual arrangements, shall be provided for and described in a comprehensive classification plan. No person may be given employment in any classification other than one cited in Section 4.13 of the MWRD Act, unless that classification is provided for and allocated to its appropriate class in the classification plan; nor shall any person, other than those occupying classifications cited in Section 4.13 of the MWRD Act, be given any compensation for employment in the District, unless they have been appointed to a classification provided for and allocated to its proper class in the classification plan.

ii. Class Specifications. Every class of positions shall be described by written specifications. For each class the specifications shall, by descriptive language and examples:

(1) Set forth the duties to be discharged by incumbents of positions in that class.

(2) Indicate the character and measure of responsibilities to be assumed by incumbents of that class.

(3) Specify the qualifications of education, special training, licensure and/or experience which persons applying for appointment to positions in that class are required to meet.

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(4) Specify the knowledges, skills and abilities which are necessary either for the successful performance of the duties of the position or for learning successfully to perform the duties of the position, as may be appropriate.

Specifications shall be so written as to distinguish clearly that the duties and responsibilities of positions in that class differ from positions in all other classes and shall contain sufficient examples of duties and of required knowledges, skill, and abilities to provide a basis for preparation of a test and to determine fitness for appointment to positions and to provide a basis for the designing and administration of performance ratings.

The statement of education, licensure and/or experience shall be sufficiently complete so as to include all kinds of education, licensure or experience which may reasonably qualify an applicant to perform the duties of the position and to provide an adequate basis for approving or disapproving applications for examination. It shall not be necessary to set forth in class specifications qualifications generally required of candidates for positions throughout the classified service, such as citizenship, integrity, sobriety, age, and physical ability.

iii. Absolute Qualification Requirements. Any qualification of education, licensure, or experience, for which no equivalent combination or substitution shall be permitted, is an absolute qualification requirement and shall be so stated in the specification.

iv. Desirable Requirements. A desirable requirement is not absolute and no applicant shall be disapproved solely because they lack a desirable requirement.

v. Equivalent Requirements. Whenever additional education of an appropriate kind may be substituted for all or part of the required experience, and whenever additional experience of an appropriate kind may be substituted for all or part of the required education, the requirement is an equivalent requirement and shall be stated in the specification in such a way as to clearly indicate the proportions of education and experience that are equivalent.

vi. Substitutions. Whenever another kind of education is sufficiently equivalent to the kind of education required in the qualifications, and whenever another kind of experience is reasonably equivalent to the kind of experience required in the qualifications, a substitution of education for education or experience for experience may be made. All substitutions that are reasonably likely to occur should be stated specifically in the qualification section of the specification.

vii. Promotional Qualifications. For any class of positions in which vacancies may appropriately be filled by promotion rather than by entrance examinations, the specification may include a separate promotion qualification requirement.

The promotion qualification requirement shall be stated in terms of a) the permanent civil service status required in any of the subordinate classes listed in the official lines of promotion, and b) the length of service required following appointment to any of these subordinate classes, and may also include c) attainment of the education and licensure

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requirements specified in the minimum qualification requirements for the higher-level class.

Service in a class in the same series or a closely related class in the same occupational group which is at the same or a higher classification level than the specified lower-level positions may be counted toward meeting the service requirement, provided the individual has civil service status in one of the subordinate classes specified in the official lines of promotion.

The promotion qualification requirement shall be such that the total education and experience of a person who exactly meets the promotional requirement will be reasonably equivalent to the entrance requirement stated in terms of education, licensure, and experience.

viii. Maintenance of Classification Plan. The Director of HR from time to time may seek the advice of the Executive Director and other officers of the District as to the adequacy of the classification plan for efficient administration of the District's activities, and may investigate the duties and responsibilities which are actually assigned to, performed and discharged by employees in various parts of the service.

ix. Amendment of Classification Plan. Whenever the Executive Director finds that changes in the classification plan are needed to further its purposes, the Executive Director shall prepare the necessary changes.

Changes which require the abolishment of an existing class or the creation of a new class shall be submitted to the Civil Service Board pursuant to the MWRD Act, and other changes may be made on the authority of the Director of HR, provided that the Director of HR shall promptly report any change to the Civil Service Board.

x. Advance Notice of Proposed Change. No change in the classification plan shall be made by the Director of HR until the Executive Director, the Department Head, and the officers or officer in immediate charge of the positions affected and any employees whose employment status may be materially affected by the proposed change have been fully informed of the nature of the action proposed to be taken and have been given opportunity to offer advice and enter objections.

xi. Effect of Changes on Employee's Status. Whenever an employee occupies a position in a class of positions which is changed or whenever the allocation of a particular position is changed, the change shall affect the status of the employee as follows:

(1) Such an employee, who has status only under a temporary-provisional appointment or a temporary-emergency appointment, may retain either status, if the position continues to exist but, in no case whatsoever, shall an employee with either such status obtain a higher status as the result of the change.

(2) Whenever such change affects a probationary employee and the employee is transferred with probationary status to another position, the employee shall

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continue in probationary status until completion of the probationary period. The time spent in both the former and the new position shall be combined in determining when the employee has completed their probationary period. No probationary employee shall obtain permanent status except by properly completing the probationary period.

(3) Whenever a class is changed to another class, new or existing, which has essentially the same duties, qualifications, and pay grade, or to a class which has lower duties, qualifications, or pay grade, and (whenever a position is reallocated from one class to another class) which has essentially the same, or lower duties, qualifications, and pay grade, an employee having permanent status in a position in the former class shall automatically obtain permanent status in the new class. If the total number of employees possessing and attaining permanent status in the new class is greater than the total number of positions, then the provisions regarding separation from service shall apply.

(4) If a class of positions is combined into an existing class of positions, or if a position in a class is reallocated to an existing class, then the provisions of Subsection 3 or 6 of this section shall apply.

(5) Whenever a position or a class of positions is abolished and the major duties thereof are reassigned to an existing class or a new class, the provisions of Subsection 3 or 6 of this section shall apply.

(6) Whenever a class of positions is changed to a new or existing class of positions having substantially higher duties, qualifications, and pay grade, or when a position is reallocated from one class to another class having higher duties, qualifications, and pay grade, then employees with permanent and probationary status in the former class shall not automatically attain such permanent or probationary status in the new class. In lieu thereof, they shall be granted temporary-provisional status in the new class and an appropriate competitive entrance or promotional examination shall be conducted to which shall be admitted all permanent and probationary employees whose positions are affected by the change, together with all other employees who possess the qualifications required for competing in an examination for such position. Any such employees affected, who are not within reach for appointment on the resulting eligible list, shall be subject to the provisions regarding separation from service.

(7) Whenever a class of positions is divided into two classes, one of which has duties, qualifications, and a pay grade higher than the former class, and the other which has duties, qualifications, and a pay grade lower than the former class, employees affected shall be entitled to status in the lower grade as provided in Subsection 3 of this section and in the higher grade, as provided by Subsection 6 of this section.

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(8) Whenever the class of positions is abolished, an employee in a position in that class is subject to the rules governing the separation from service and involuntary demotions.

xii. Effect on Provisional Employees of a Change in Qualification Requirements.

(a) Whenever the minimum qualification requirements for a particular classification are changed or increased at a time when there are employees who possess provisional status in that class, each provisional employee, if they possessed the qualifications of education, licensure, and experience in effect at the time they originally obtained provisional status, shall be permitted to compete in each entrance examination for that class, even though such provisional employee does not possess the current qualifications of education, licensure, and experience.

(b) Whenever the promotional qualification requirements for a particular classification are changed or increased at a time when there are employees who possess provisional status in that class, each provisional employee, if they possessed the promotional qualifications in effect at the time they originally obtained provisional status, shall be permitted to compete in each subsequent promotional examination for that class, even though such provisional employee does not possess the current promotional qualifications.

This shall apply to all persons possessing provisional status when it becomes effective or obtaining provisional status thereafter, provided that in either case they retain provisional status without interruption in that class.

xiii. Compliance with Class Specifications. Whenever the Director of HR finds that the duties and responsibilities which are actually assigned to or performed and discharged by an employee materially differ from the duties and responsibilities set forth in the specifications for the position which the employee occupies, the Director of HR shall notify the Department Head or other responsible officers that the Director of HR is required either to change the assignment of the employee so that it accords with the specifications for the position or to fill the position properly. A copy of the notification shall also be sent to the employee. It shall be the duty of the responsible officer within twenty (20) days after receiving such notification to change the assignment or fill the position properly; provided that the Executive Director, the Department Head, or the employee (if they have permanent or probationary status) within ten (10) days after receiving notification may appeal the decision of the Director of HR to the Civil Service Board.

xiv. Use of Class Titles. The title which is fixed for any class of positions in the classification plan shall be the official title of all positions allocated to that class and all positions shall be cited or referred to by the proper class title in all human resources transactions and records, budget and appropriation actions and records, payrolls and vouchers, and other official acts and records in which proper designation of position titles is necessary or desirable. No employee shall be appointed, employed, or paid under any title other than that of the class to which the position they occupy has been allocated.

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xv. Lines of Promotion. The classification plan shall specify the classes of positions to be included in the District service, as required by Section 4.7 of the MWRD Act, and shall fix lines of promotion for positions or classes of positions as required by Section 4.10 of the MWRD Act.

B. EXAMINATIONS

i. Purpose of Examinations. The purpose of each examination is to obtain for the District the best qualified employees available, by means of evaluating the knowledges, skills and abilities of the candidates and predicting the degree to which each is competent to perform the duties of the class of positions, or to learn the duties, as may be appropriate.

ii. Competitive Examinations Required. Every examination and every test except the medical and psychiatric test shall be competitive in character and no person shall be placed upon an eligible list or certified for appointment unless they have successfully passed the competitive examination.

No examination, properly announced and adequately publicized, shall be deemed not to be competitive solely because only one person applies or because only one of the persons who applies is found to meet all of the qualifications or because, in an examination with more than one part, only one competitor successfully passes the earlier part(s).

iii. Nature of Examinations. Every examination shall be competitive in nature and shall consist of tests which are designed to determine the comparative qualifications of candidates for the position or positions to be filled. Examinations shall be of two types: entrance examinations and promotional examinations.

(1) Entrance Examinations: Entrance examinations shall be open to employees of the District and to persons not employed by the District who meet qualifications for admission to the examination. Examinations for an eligible list for each position in the Classified Service above mentioned shall be held at least once in three years and at least annually for student programs and entry level engineering positions if the Director of HR has limited the duration of the registers for these positions to one year, unless the Director of HR determines that such examinations are not necessary because no vacancy exists.

(2) Promotional Examinations: Promotional examinations shall be open only to employees in the classified service who occupy positions next lower in line of promotion which has been established for the position to be filled, and who meet qualifications for admission to the examination. The Director of HR may, if the Director of HR decides it is in the best interest of the District service, hold an original entrance examination in lieu of a promotional examination.

iv. Examination Development. District examinations are based on a content-validated selection process. Evidence of content validity for a selection procedure is representative of important aspects of performance on the job. A job analysis study is conducted for every examination to provide job information required for content validation. A job analysis includes activities such as studying written documentation related to the job classification

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and meetings with incumbents and supervisors to identify and evaluate the knowledge, skills and abilities that are necessary to perform the essential functions of the classification.

Upon receipt of the approved examination plan, the test content is prepared by the Employee Selection section. Tests are developed internally or often with external consultants. Test content is reviewed and approved by an employee designated by the operating department to ensure the accuracy and validity of the questions. Strict security procedures are adhered to in all aspects related to the handling and storage of test materials.

v. Notice of Vacancies. The Executive Director shall keep the Director of HR informed, as far in advance as is feasible, of vacancies which are expected to occur.

vi. Authority of Director of HR. All examinations shall be scheduled, prepared, administered, and scored by or under the direction of the Director of HR.

vii. Consultation Regarding Examinations. In the preparation and rating of examinations, and the preparation of announcements, the Director of HR may consult with District officials and outside resource persons in order to obtain any information the Director of HR deems to be necessary or helpful.

viii. Notice of Examinations. The Director of HR shall give notice of examinations by:

(1) Publication for two (2) calendar weeks in one or more daily newspapers of general circulation in Cook County, beginning not later than two weeks prior to the last date on which applications will be accepted.

(2) Posting the official announcement, for the entire application filing period, in or near the office of the HR Department, on the website and in other prominent places readily accessible during working hours to the employees of the District.

(3) Posting the official announcement, for the entire application filing period, in such public buildings and other places as may be appropriate, in order to bring the examination to the attention of persons who may be interested and qualified for admission.

ix. Application Filing Period. A period of at least thirty (30) consecutive calendar days shall be provided in each examination for the filing of applications, except that, in emergencies or when the anticipated number of applicants is expected to far exceed the requirements for an adequate number of applicants, the Director may reduce the announcement period to not fewer than seven (7) consecutive calendar days. Amended announcements shall have an application filing period equal to the number of days provided in the original announcement or at least fifteen (15) consecutive calendar days, whichever is fewer.

x. Continuous Examinations. Notwithstanding anything to the contrary in the District's Personnel Rules, when necessary to meet continued requirements for filling positions, the final filing date for any examination may be indefinite and candidates may be tested continuously in such manner and at such times as the Director may provide. No candidate may compete again in the examination for a period to be determined by the Director and stated in the official examination announcement. The final filing date for any

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continuous examination may be set at any time by the Director, but notice of this action shall be posted in or near the office of the HR Department at least ten (10) days prior to the effective date of the action.

xi. Official Examination Announcement. The Director of HR shall issue an official announcement of each examination, which shall be distributed to all interested parties and which shall specify all of the terms governing that examination, including the following information:

- (1) The title and information about the pay for the class of positions for which the examination is being announced.
- (2) The statement of the duties and responsibilities of the class of positions and the qualifications required for admission to the examination.
- (3) The last dates on which applications will be accepted, the place and manner of making application for admission to the examination, and the date on which the official announcement was issued.
- (4) Candidates will be notified by mail as to date, time, place, type, weights, and content areas of tests, if such information has not been determined in advance of the filing period. When mail notification of such test information to candidates is necessary, a period of not less than four (4) weeks will be allowed between the date of mailing such notices and the test date. Information on content areas (knowledges, abilities, and skills) shall be sufficiently detailed so as to permit candidates to know how to prepare themselves to compete in the test(s).
- (5) A statement of the amount of fee, if any, required of each applicant who desires to take the examination.
- (6) If required, a statement that candidates will be required to pass one of more of the tests separately, in order to be eligible to compete in the succeeding test(s).
- (7) A statement that the Director of HR will determine the minimum passing grade(s).
- (8) The method of certification of eligibles, i.e., either (a) the five candidates standing highest on the eligible list, or (b) the candidates in the highest-ranking category and the category or categories upon which selection will be made.
- (9) Any other material fact which will govern the terms and conditions of competition.

xii. Extension of Period for Application. If, in the judgment of the Director of HR, it is in the best interests of the service to do so, the Director of HR may extend the period for receiving applications. Such extension shall be made by issuing an amended announcement.

xiii. Amendment of Announcement. If, in the judgment of the Director of HR, it is in the best interest of the service to amend any of the qualifications or other terms contained in the official announcement, the Director of HR shall do so by issuing an amended

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announcement which provides for a new application filing period equal to the number of days provided in the original announcement or at least fifteen (15) consecutive calendar days, whichever is fewer.

xiv. Eligibility for Admission to Examinations. The official announcement of every examination shall specify the qualifications of education, licensure and experience required by the specification and such other qualifications as the Director of HR deems appropriate. No person shall be admitted to an examination unless they possess the qualifications specified in the official announcement.

In addition to the qualifications so prescribed, the following shall be prerequisites for admission to all examinations, and failure to include any of the same in the official announcement of an examination shall not be deemed to be a waiver of any of these requirements:

- (1) The applicant must be a permanent resident of the United States.
- (2) The applicant must possess the qualities of physical fitness and command of faculties essential for acceptable performance of the duties of the position to be filled, and must be free of mental or physical maladies or deficiencies which would make their employment hazardous to themselves or other employees or in any other way be a detriment to the service of the District.
- (3) The applicant must be free of addiction to habit-forming drugs and free of excessive use of intoxicating liquors.
- (4) The applicant must be of good moral character.
- (5) The applicant must not favor the overthrow of government within the United States by force or violence nor be a member of or have affiliation with any organization which they know or have reason to believe favors overthrow of government within the United States by force or violence. Prior memberships of affiliation of any person with such an organization shall be presumptive proof that the favors overthrow of government by force or violence.

xv. Date as of Which Qualifications are Determined. The date as of which possession of qualifications is determined and by which each candidate must possess the full required qualifications of education, licensure, and experience shall be the date which is thirty (30) days after the last date for filing of applications as announced on the official announcement, except as provided below in "Anticipation of Eligibility."

xvi. Anticipation of Eligibility. Whenever the Director of HR determines that the special conditions, described hereafter, exist, the Director of HR may anticipate the eligibility of applicants in an examination by specifying in the official announcement an anticipated date for determining possession of all or specified portions of the qualification requirements. This date for eligibility may be not more than twelve (12) months after the last date for filing applications except that for determining that candidates meet the absolute requirements for typing, stenographic, and similar clerical skills, the date of eligibility may be not more than the duration of the eligible list.

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xvii. Reasons for Anticipating Eligibility. Eligibility may be anticipated for any examination, whenever the Director of HR finds any one of the following conditions to exist:

- (1) Effective recruitment requires that job offers of probationary status from an eligible list be made before graduation from high school or college and the qualification requirement includes graduation.
- (2) When the qualification requirement includes licensure and candidates otherwise eligible and qualified, may not be able promptly to obtain licensure because license examinations are held, or licenses issued, only periodically.
- (3) When there are permanent employees in the class of positions from which promotion is made who, within the period of anticipated eligibility, will meet the qualification requirements.
- (4) When the absolute requirements include typing, stenographic, and similar clerical requirements that are not tested for as part of the examination. Individuals on the eligible list would be required to demonstrate the required skills prior to appointment.

xviii. Announcement of Anticipated Eligibility. Whenever the Director of HR determines to anticipate eligibility, the official announcement shall clearly specify the terms of the anticipation.

xix. Application of Anticipated Eligibility. Anticipated eligibility shall apply equally to all applicants in an examination for which it is announced who can reasonably be expected to complete the qualification requirements within the anticipated eligibility period either by reason of their current attendance in school or college or their current employment or such other facts as may demonstrate the likelihood of completing the requirement. An applicant who cannot complete the qualification requirements within the period of anticipated eligibility shall be disapproved.

xx. Restriction on Appointment. Every candidate admitted to an examination under anticipated eligibility who, by passing all required tests, is successful in the examination, shall have their name placed on the eligible list in the position determined by their final average score, with veterans' preference, if appropriate, together with a notation that their eligibility is restricted that they may not begin employment until they have given evidence to the Director of HR that they have completed fulfillment of the qualification requirements.

xxi. Determining Possession of Qualifications. The Director of HR and their technical staff shall be responsible for reviewing the application of each applicant, together with any other information about their education and licensure and experience, to determine whether they possess the required qualifications of education, licensure, and experience. In making such determinations, interpretation of the announced qualifications, either in terms of equivalent combinations of education and experience or in terms of substitution of education for education or experience for experience, shall be limited to those interpretations that a reasonable individual of competence in the occupational field of the

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examination would ordinarily make. A record in the examination folder shall be made of all interpretations authorized hereunder.

Should the interpretation be one which a reasonable person, of competence in the field, would not ordinarily make, then the interpretation should not be made. Instead, the official announcement should be amended and reissued.

xxii. Waivers. Waivers of qualification requirements shall not be granted. In lieu thereof, if necessary, the specification and the official announcement shall be amended and a new filing period shall be allowed.

xxiii. Application for Admission to Examinations. All applications for admission to examinations shall be made on forms supplied by the Director of HR. The original signature of the applicant shall be obtained on the application prior to the first day of employment.

xxiv. Falsification of Applications. Information called for by the application form shall be conscientiously supplied and all statements must be truthful to the best knowledge of the applicant. Falsification of a material statement in an application shall constitute grounds for:

- (1) Rejecting the application.
- (2) Exclusion from the examination.
- (3) Removal from the eligible list.
- (4) Discharging an employee from their position in the classified service.

xxv. Stamping of Applications. Each application for admission to an examination, immediately upon its receipt by the HR Department, shall be stamped to show year, month, day, and hour of the receipt.

xxvi. Payment of Fee. Any fee required of applicants for admission to an examination shall be paid at the time of filing the application with the HR Department. If the examination is cancelled, the fee shall be returned to the applicant.

xxvii. Rejection of Applications. The Director of HR shall reject an application for admission to an examination and shall exclude the applicant from participation in the examination or any test thereof whenever the Director of HR finds:

- (1) That the application contains untrue statements which, in the judgment of the Director of HR, are material.
- (2) That the application has not been properly filled out or that the fee, if required, has not been paid, or that the applicant refuses to be fingerprinted.
- (3) That information or evidence on the application, or other knowledge which the Director of HR may possess, indicates that the applicant has failed to meet all of the required qualifications for admission to the examination.
- (4) That the application was filed after the last date for accepting applications, as specified in the official announcement.

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xxviii. Determining Test to be Used. The Director of HR shall determine the number and kind of test(s) which make up the examination. At the Director's discretion, these may be (a) included in the announcement or (b) included in the information furnished to candidates subsequent to the close of the filing period as provided for in the examination announcement.

xxix. Weights of Tests. Whenever an examination consists of more than one test, the Director of HR shall determine the weights to be assigned to each test, so that this information (a) may be included in the official announcement, if known at that time, or (b) furnished to candidates at a later date. If such information is not included in the announcement or is not later furnished to candidates, each test shall have equal weight, except that in promotional examinations, the test of seniority and the test of efficiency, while being equal to each other, shall not together amount to more than one quarter of the total weight of the entire test.

Weights may be expressed in percentages, and the total of all weights shall be 100 per cent, or weights may be expressed by any other system of numbers, in which case the total of the weights of individual tests shall be equivalent to 100 per cent.

The weights to be applied to each test shall be uniform for all candidates.

The weights assigned in promotional examinations to the test of seniority and the test of efficiency (Section 4.10 of the MWRD Act) shall not together amount to more than one-quarter (25 per cent) of the total weight of the entire examination. The Director of HR may require candidates to separately pass the efficiency and seniority parts of the examination in order for the candidates to be eligible to take the subsequent parts of the examination. If the Director of HR requires candidates to separately pass the efficiency and seniority parts of the examination, then any candidate who does not pass the efficiency and seniority parts of the examination shall fail the entire examination.

xxx. Subdividing Weights. The weight assigned to any test may be subdivided among subtests which make up that test, or among questions which make up that test, provided that the decision to subdivide the weights is made before any part of the test is administered to the candidates and provided further that the subdivided weights are announced to the candidates.

xxxi. Weights of Questions or Parts. The weights of individual questions in each multiple-choice or essay written test and the weights of individual parts of each performance test shall be determined in advance of the administration of the test to the candidates and shall be announced to candidates not later than the beginning of the test to which the announcement applies. In the case of written tests, this announcement shall be made by a clear written statement on the cover or at the beginning of the written test booklet to which applicable. In the case of performance tests, or other tests in which there is no written test booklet, the announcement shall be in appropriate written form and given to each candidate before commencement of the test to which applicable.

xxxii. Rating of Seniority. Seniority shall be rated in accordance with an approved rating scale, on which the ratings are in proportion to the length of service, but not necessarily in

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direct proportion. The same rating scale shall be applied to all candidates in any examination. Different rating scales may be used for different examinations.

xxxiii. Rating of Efficiency. The rating of efficiency required as a weighted test in every promotional examination shall be the performance evaluation. The most recent regular performance evaluation on file in the HR Department on the thirtieth day after the last date for filing applications shall be the rating which shall be used.

xxxiv. Passing of Tests Required. Whenever the official announcement requires candidates to pass one or more tests separately of the entire examination, the Director of HR shall determine the minimum passing score on that test. Every candidate whose score is below the minimum passing score on such test shall thereby fail both that test and the entire examination and shall be removed from competing in subsequent tests of that examination. If, for administrative reasons, candidates had been permitted to compete in a subsequent test, before passing and failing on the prior test had been determined, then the candidates who fail the prior test shall be eliminated from consideration on the subsequent test and their competition on the subsequent test shall be regarded as though they had not competed.

xxxv. Concealment of Candidates' Identities. The identity of each candidate shall be concealed so as to eliminate any possibility of any candidate being given an unfair advantage or preferential treatment or being unfairly discriminated against, either in scoring, in determining the scoring key, or in establishing the minimum passing score.

In every written test and every performance test, the identity of each candidate shall be concealed from the beginning of the test and until the final rating scale has been determined, the scoring completed, and the minimum passing score established and, thereafter, until the identity of the candidate needs to be disclosed whether to notify them to participate in a subsequent test or to establish an eligible list.

In oral tests and other tests, the identity of candidates shall be similarly concealed, wherever it is practicable and meaningful to do so.

xxxvi. How Identity is Concealed. The identity of candidates shall be concealed by the use of prenumbered identification sheets and identification envelopes. The identification sheet shall be the only document which records both the candidate's name and their identification number in that examination. The identification sheets will be distributed at random to candidates at the test. Each candidate shall enter their name and other identifying data and shall sign the identification sheet. Only the candidate's identification number shall be shown on their multiple-choice answer sheet or on each essay answer page or on the rating sheet for the performance test and on any other papers which record the candidate's responses to tests. Before the test commences, the identification sheet(s) shall be sealed into an identification envelope(s).

The identification envelopes for each examination shall be stored under maximum security conditions. The Identification envelopes shall be stored separately from the answer sheets, and procedures shall be implemented so that candidate identities are appropriately concealed.

No candidate shall write their name or any other identifying mark on their multiple-choice answer sheet or their essay answer pages or their rating sheet for a performance test or on

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any other papers which record the candidate's responses to tests. Deliberate violation of this provision shall be a basis for disqualifying the candidate from the examination.

xxxvii. Date and Place of Holding Test. The first test in each examination shall be held on the date and at the place stated in the official announcement or furnished to candidates subsequent to the filing period, except that the Director of HR, for administrative reasons, may change the place of holding the test and, in the event of an emergency, may postpone the date of holding the test, for not more than a maximum of sixty (60) calendar days. In either event, all candidates shall be notified in writing of the change, at least one week in advance of the specified date.

In the event that the first test is not held within sixty (60) days after the specified date, the examination shall be re-announced with a new application period before the test is held.

xxxviii. Notice to Take Subsequent Test. Whenever an examination involves more than one test, held on different dates or at different places, every candidate who is to be admitted to each subsequent test shall be notified of the time and place of that subsequent test. Such notice shall be delivered by mail, not less than seven (7) days in advance of the date of holding except that, in emergency, less notice may be permitted, provided every candidate signs a waiver of the full notice.

xxxix. Security of Tests. The purpose of this provision is to provide that all tests shall be prepared and rated under conditions of maximum security so that no candidate has any unfair advance knowledge of the questions or of the tests.

All files of examination questions shall be stored under lock and key in secure, steel, storage cabinets or files whenever they are not in use. All tests or subtests compiled of examination questions and all scoring keys shall be reproduced under maximum security conditions, not sooner than is administratively necessary for the prompt administration of the test to candidates, they shall be stored under maximum security conditions under lock and key in steel cabinets or safes, they shall be transported under maximum security conditions and, when no longer needed, they shall be destroyed under maximum security conditions by burning, shredding, or maceration.

xl. Disclosure of Questions or Tests. No officer or employee of the HR Department or of the District, who has any access to or knowledge of the questions or tests in any examination, shall disclose any information to any candidate or any other unauthorized person whatsoever. Violation of this provision shall be a violation of Section 4.21 of the MWRD Act. The penalty for the violation shall be dismissal of the employee who disclosed the information and such other penalties as may be applicable under the MWRD Act.

xli. Denial of Further Participation and Disciplinary Failure. The Director of HR shall exclude any candidate from further participation in an examination, shall record disciplinary failure for any candidate, and may subject the candidate to the penalties of Section 4.21 of the MWRD Act, if, at any time in the course of the examination, the Director of HR finds:

- (1) That in the course of the examination the candidate engaged in any conduct deleterious to the administration of the examination or participation in the examination by other candidates, or received any aid other than that made available

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to all candidates from the person administering the examination, or gave aid to any other candidate, or refused to obey any lawful instruction of the examination monitor or engaged in or was a party to any deceit.

(2) That before, during, or after the examination the candidate offered to give or gave any inducement, monetary or otherwise to any person with the intention of or which may have the effect of influencing the character of the examination, or affecting the administration of the examination or affecting the scoring of the examination or the marks or points given, or affecting the placement of the candidate's name on an eligible list, or affecting their subsequent appointment.

xlii. Simultaneous Administration of Tests. All candidates authorized to take any written test shall be given that test simultaneously, except that in a promotional test, if simultaneous administration cannot be accomplished without seriously stripping operating facilities of employees to the extent of creating the danger of an emergency, the Director of HR may authorize the administration of the test in two consecutive sessions, under conditions designed to minimize the likelihood of any loss of security.

Performance tests, oral tests, and other tests shall also be administered simultaneously to all candidates in every case in which it is administratively feasible and practicable so to do. In tests in which the Director of HR determines that simultaneous administration is impracticable, each candidate shall be required to execute an affidavit, under penalty of perjury, which states that they have not in any way disclosed the nature or contents of the test to any other candidate nor have they received any disclosure from any other candidate.

xliii. Administration of Tests to Candidates. Every test shall be administered under the Director of HR by employees of the HR Department. The Director of HR may engage persons not in the service of the District to assist in the administration of the tests.

Persons administering or assisting in the administration of tests shall give no undue or improper aid to any candidate or candidates and shall, in all their behavior, seek to further fair and impartial examinations of all candidates.

Tests shall be administered in appropriate buildings of the District, school rooms, lecture halls, or any other places determined to be adequate and convenient.

All candidates taking an examination shall be identified at each test of the examination by appropriate means, such as by one or more of the following: fingerprinting, signature, and/or photo identification.

xliv. Oral Examinations. Where oral tests are provided for in any examination, the oral examination for any candidate shall ordinarily be conducted by at least three examiners except that for on-campus examinations and other examinations where it is impractical to convene an examination board, the examination may be conducted by one or more examiners. In all cases, each examiner shall have knowledge and understanding of some substantial and significant part of the duties and responsibilities of the positions to which the examination applies.

Every precaution shall be taken to assure that no examiner has any personal interest in the employment or advancement of any candidate appearing before the examiner, and to assure

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that all examiners will conscientiously endeavor to examine and evaluate all candidates with complete fairness and impartiality.

xlvi. Scoring of Tests. Written tests shall be scored, either by employees of the Director of HR or by experts, if the Director of HR deems it advisable, not in the service of the District, who are employed on a consultative basis to score the tests.

Scoring of oral tests, performance tests, and other tests shall be done either by employees of the Director of HR or by the Examining Board, engaged for that purpose, or by consultants as the Director of HR may determine.

In every test, scoring shall be as objective as is possible and practicable and shall fairly represent the relative degree of possession of the knowledges, skills, and abilities by each of the several candidates.

xlvi. Scoring Oral Tests. Each oral test candidate shall be scored on several rating factors, each of which shall clearly define the trait or traits to be rated as part of that factor.

Numerical ratings shall be assigned in accordance with a predefined scale, in which the score of seventy (70), or its equivalent, is assigned to a candidate who is barely acceptable, in which higher scores are assigned for higher degrees of acceptability, and lower scores are assigned for lower degrees of unacceptability. The established scale shall be applied fairly and equally to all competitors by the Oral Examining Board.

For each candidate whose average score of all examiners combined is less than seventy (70) and who fails the examination therefore, the Oral Board shall prepare a statement of its reasons for finding that this candidate is less than acceptable.

xlvi. Scoring Keys for Multiple-Choice Tests. Before a multiple-choice test, or subtest, is administered to candidates, the Director of HR shall establish the key answer to each question. The key answer shall be the best, or most correct, of the alternative answers to the question.

The Director of HR shall also establish an official scoring key, which shall be used in scoring all of the candidates' answers. The official scoring key shall be established before any candidate's identity is disclosed by the opening of identification envelopes.

A preliminary scoring key may be established and used for a preliminary scoring of candidates' answers, as part of item analysis procedure.

Upon the basis of item analysis data or of appeals, or both, the Director may, for good and sufficient reason, make changes in the key answer to any question. All such changes shall be made before the official rating key is adopted and before the identification envelopes are opened.

xlvi. Kinds of Changes Permitted. The kinds of changes permitted in key answers are as follows:

- (1) The Director of HR may determine that the answer, originally established as the key, is not the best or most correct answer and that another answer is the best

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and most correct answer, and the Director of HR may change the key to whichever choice the Director of HR determines to be the best and most correct answer.

(2) The Director of HR may determine that two or more answers are so nearly equivalent that it is impractical to determine that one is better than the other and the Director of HR may therefore determine that there are two or more key answers, so that any candidate who chooses either of the key answers receives full credit for the question.

(3) The Director of HR may determine that there is no correct answer to a question or that it is impossible to determine that any answer is better than any of the other answers and the Director of HR may therefore omit that question from scoring and from the total number of questions in the test.

xlix. Model Answers for Essay Questions. Before any essay question test, or subtest, is administered to candidates the Director of HR shall establish a model answer to each question. The Director of HR may cause a preliminary scoring of candidates' essay answers to be made. On the basis thereof, or of appeals, or both, for good and sufficient reason, the Director of HR may change the model answer.

After all necessary changes in the model answer are completed, and before any candidate's identity is disclosed by opening the identification envelopes, the Director of HR shall establish a final official model answer which shall show the numerical point scores to be given for the various parts of the model answer. The official model answer and scoring chart shall be applied uniformly to all candidates in the essay test.

l. Application of the Minimum Passing Score. In each test, and/or in the entire examination, there shall be a minimum passing score as specified in the official announcement. Every candidate who attains the minimum passing score or a higher score, shall be admitted to compete in subsequent tests, if any, or, if there are no subsequent tests, shall be included on the eligible list, and any candidate who fails to attain a score as high as the minimum passing score shall have failed that test and shall not be admitted to any subsequent test or placed on the eligible list. Such failing score shall be conclusive evidence that the candidate has been found not adequately qualified for the class of positions and not to possess the business capacity necessary for the proper discharge of the offices, positions, and place of employment for which the examination is held.

li. 70% Minimum Passing Score. Unless the official announcement of the examination clearly specified that the Director of HR shall determine the minimum passing score the minimum passing score shall be 70%.

lii. Determining the Flexible Minimum Passing Score. Whenever the Director of HR is authorized by the official announcement to determine a minimum passing score other than 70%, the Director of HR shall make that determination finally and irrevocably before any identification envelope is opened or the identity of any candidate is disclosed. This determination will ordinarily be made after all candidates' papers have been scored and when the scores without identities are known to the Director of HR.

The determination shall be recorded on an official form which clearly states the minimum passing score and the method of conversion and is signed and dated by the Director of HR.

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This determination shall be made only by the Director of HR, or, when the Director of HR is absent from duty, by the Assistant Director of HR.

liii. Scores Between 69.500% and 70.000%. Any candidate whose score is 69.500% or higher and is less than 70.000%, shall be a passing candidate and be admitted to subsequent tests and/or placed on the eligible list. However, such score shall not be changed or corrected.

liv. Minimum Passing Scores Above 70%. In tests in which a high degree of accuracy is essential to competence on the job, such as stenographic dictation tests, name and number checking tests, and other similar tests, the minimum passing score may be set as high as 95% if, in the judgment of the Director, such a high level of accuracy is necessary.

lv. Tests Not to be Converted. In every oral test and in any other test which uses an official rating scale on which the score of 70 is set to represent the minimum level of acceptable competence, the minimum passing score shall be 70%, and the following considerations regarding the determination of the flexible minimum passing score shall not apply.

lvi. Considerations in Determining the Minimum Passing Score. In determining a minimum passing score, the Director of HR may take into consideration any or all of the following factors which may be pertinent: (a) the minimum competence required for the performance of the duties of the class; (b) the quality of the competitors competing; (c) the difficulty and length of the test; (d) the number of existing and anticipated vacancies to be filled; (e) the recommendations of appointing authorities or other experts; (f) reasonable economy of examining time and expense; (g) the shortage or surplus of qualified competitors; and (h) any other pertinent considerations.

lvii. Method of Conversion of Test Scores. The raw score, based on a scoring procedure approved by the Director of HR, shall be converted to a final test score based on a scale of 10 through 100 by the following procedures:

- (1) The raw score determined to be the minimum passing score shall be converted to a score of 70.
- (2) Formulae will be determined to convert scores above and below the minimum passing score.

Such scoring procedures may include penalties for wrong answers.

lviii. Final Average Score. The final average score of each candidate in an examination shall be determined by multiplying each passing percentage score or converted score, as may be appropriate in each test of the examination, by the respective weights assigned in the official announcement to such tests, adding the products thus arrived at and dividing by the total weight of 100%.

lix. Veterans' Preference. Veterans' preference shall be granted only to those candidates who have attained passing scores on all of the tests on the entire examination.

The preference for veterans which is provided for by Section 4.32 of the MWRD Act, or which may be provided for by subsequent legislation, shall be credited by adding to the

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points which the candidate attained in the examination, the number of points to which the candidate is entitled by statutory provision, and the total number of points arrived at in this manner shall determine their position on the eligible list which is prepared as a result of the examination. Veterans' preference shall be validated in accordance with the following provisions:

- (1) Proof of military or naval service by virtue of which a candidate is entitled to claim veterans' preference shall be furnished to the Director of HR within ten (10) days after the date of mailing of notice by the Director of HR to do so. The Director of HR, upon good showing, may extend the time for furnishing such proof; provided that in any event such proof must be furnished before any certification which would be affected by the grant of preference is made from the eligible list.
- (2) In addition, any candidate requesting grant of veterans' preference in a promotional examination shall certify in writing to the Director of HR that the candidate has not previously received a promotion by certification from an eligible list resulting from an examination held after September 1, 1949, in which examination the candidate was given points for veterans' preference.
- (3) In any case where a claim for veterans' preference is denied because not allowable under the statutory provisions, or because not properly validated, or for any other reason, the Director of HR shall promptly notify the applicant of such denial, giving reasons for the Director of HR's action.

lx. Notification of Results. Each person who participates in any part of an entrance or promotional examination, immediately after the final average scores of all candidates have been computed and the list of eligibles has been prepared, shall be notified by mail, as to whether they passed or failed, and if they passed, their rank or category on the eligible list.

lxi. Preservation of Records. The records relating to any examination shall be kept on file in the HR Department until such time as the Director of HR may order their retirement or destruction pursuant to the applicable statute. Records to be kept on file shall include the following: a master-keyed copy showing administrative procedures and contents, names and addresses of all candidates admitted to the examination, the marks and points attained by each candidate in each test and for the entire examination, test papers, materials submitted by candidates which are not returned to them, reports of interview, and notations relating to performance or evaluation of candidates.

lxii. Correction of Scoring Errors. At any time before or after an eligible list is established, and prior to the expiration or cancellation of said eligible list, the Director of HR may correct any clerical or arithmetic error in scoring or averaging which the Director of HR may discover or which may be brought to their attention. The candidate's score and rank or category on the eligible list, after the correction is made, shall be the score and rank or category to which the candidate would have been entitled if no error had been made. If such correction changes a failing score to a passing score, the candidate's name shall be added to the eligible list. If such a correction changes a passing score to a failing score, the candidate's name shall be removed from the eligible list. Every candidate whose score is corrected under this section shall be notified of their corrected score and informed as to the reason therefore.

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lxiii. Voiding of Test or Examination. If at any time the Director of HR is of the opinion that the established examination standards have not been adhered to, the Director of HR may declare such test or examination void.

lxiv. Right to Review Papers. Any candidate who completed all tests of an examination which the candidate was required and permitted to take shall, if the candidate so requests within ten days of the District's mailing of the examination results, be given an opportunity to review their examination.

C. REQUISITIONS AND ELIGIBLE LIST CERTIFICATION

i. Overview. Whenever a position becomes vacant, the Director of the corresponding Department will send to the Executive Director a memorandum stating that a vacancy exists and requesting to fill that vacancy. When the Executive Director provides approval to fill a vacant position, the Employee Selection section creates a requisition. Attached to the requisition are a certified eligible list and interview results—both of which are explained below:

- The certified eligible list is a list of candidates who are eligible to be considered for appointment to the vacancy in the job classification. The candidates within the A category on the eligible list are certified first. When there are fewer than five (5) names in the A category, the names in the B category are also certified; and when there are fewer than five names (5) remaining in the A and B categories, the names in the C category are certified.
- The interview results are a summary of the departmental interviews of candidates on the eligible list. These interviews are conducted after the eligible list is created in order to evaluate how a candidate's knowledge, skills and experience will best meet the District's needs. The interview results are attached to the requisition to assist the department when making a recommendation for appointment.

ii. Preparation and Maintenance of Lists. It shall be the duty of the Director of HR to prepare and maintain lists of employees and applicants for employment, which lists shall determine the order in which employees shall be returned to duty and candidates for employment shall be certified for employment.

iii. Types of Employment Lists. The following types of employment lists shall be prepared and maintained:

- (1) Reemployment Lists: These contain the names of employees awaiting reinstatement.
- (2) Extended Leave Lists: These contain the names of employees who are on authorized leave.
- (3) Eligible Lists: These contain the names of persons who have been found qualified by competitive examination for appointment to the service. Eligible lists are of two types: Entrance Eligible Lists and Promotional Eligible Lists.

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- iv. Eligible List Establishment. It shall be the duty of the Director of HR, promptly after scoring any examination, to prepare an eligible list containing the names and scores of candidates who passed the examination. Eligible lists shall consist of (a) a list of the names of candidates who passed the examination in the order of their final average scores in the examination with allowance for Veterans' preference, or (b) a list of the names of candidates who passed the examination grouped into categories based upon their final average scores in the examination with allowance for Veterans' preference.
- v. Preparation of Eligible Lists – Numerical Rating. When an eligible list is prepared on the basis of numerical ratings, and two or more candidates received an equal number of total points, the names of such candidates shall be placed on the eligible list in the order of the mark attained in the test to which the greatest weight was attached, and, if two or more of such candidates receive the same mark in such test, their names shall be placed on the eligible list in accordance with the priority of time when their application for admission was received.
- vi. Preparation of Eligible Lists – Categories. When an eligible list consists of the names of candidates who passed the examination grouped into categories based upon final average scores, the Director of HR shall determine the range of scores to be included in each category finally and irrevocably before any identification envelope is opened or the identity of any candidate is disclosed. Candidates subsequently may be placed into a different category if their final score in the examination is affected by Veterans' preference.
- vii. Order in Which Names Appear on Categorical List. The order in which names appear within any category on the categorical lists shall be alphabetical.
- viii. Duration of Eligible Lists. Eligible registers shall remain in force for 3 years, except the eligible register for laborers, which shall remain in force for 4 years, and except for the eligible registers for student programs and entry level engineering positions which, in the Director's discretion, may remain in force for one year.
- ix. Replenishment of Eligible Lists. Any eligible list may be replenished from time to time by the addition of names of candidates who have passed examinations subsequently given for the class of positions to which the eligible list applies. Such persons shall take rank or be placed in the appropriate category upon the eligible list as determined by examinations, without preference as to priority of time of examination.
- x. Restricted Eligibility. Whenever the official announcement of an examination specifies that the date as of which candidates must possess the qualifications is more than thirty (30) days after the last date for filing, candidates who pass all tests of the examination, will be placed on the eligible list, with the restriction that the candidate shall not be certified until the restriction is removed. The list shall state the qualification requirement yet to be met, which creates the restriction, and the date by which the requirement must be met.

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As soon as the candidate has given evidence that the qualifications have been met, the Director of HR shall order the restriction removed from the eligible list.

While the restriction remains, the eligible shall not be certified, but, rather, shall be regarded for certification purposes as though their name did not appear on the eligible list.

However, when eligibility has been anticipated, a restricted eligible may be certified and conditionally offered employment, as long as employment does not begin until all requirements have been met.

xi. Correction of Lists. If at any time the Director of HR finds that an error was made in placing a name on a list, or in omitting a name from a list, or in determining the order in which names appear on a list, the Director of HR shall make such changes as may be necessary to correct the error.

A correction which removes a name from the list shall affect all outstanding certifications, so that the person whose name is removed from the list shall not be appointed from the outstanding certification. A correction which adds a name to the list shall not affect outstanding certifications. However, the Director of HR, with concurrence of the Executive Director, may cancel the outstanding certification and make a new certification which shall include the name added to the list, if within reach for certification.

The Director of HR shall also remove names from lists where such action is required for any of the following reasons:

- (1) If the candidate has died.
- (2) If the candidate is found not to be a permanent resident of the United States.
- (3) If the name is subject to removal for accepting or refusing appointment.
- (4) If at the time when the name is reached in the order of certification, the candidate is found to be permanently incapacitated, physically or mentally, to perform the duties of the position to which the list applied.
- (5) If at any time after a candidate's name was placed on the eligible list it is found:
 - a. That the candidate does not possess every qualification requirement for admission to the examination which resulted in the placement of the candidate's name on the list,
 - b. That the candidate was subject to exclusion from the examination under the provisions of the above section "Rejection of Applications,"
 - c. That the candidate should have been marked failed in the examination,

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- d. As a result of a correction of a scoring error,
- e. That the candidate cannot be reached at the latest address supplied to the Director of HR, or
- f. That the candidate no longer has status in the subordinate classification for the promotional qualification requirements due to voluntary or involuntary demotion.

xii. Interviews. Interviews are conducted after the eligible list is created in order to evaluate how a candidate's knowledge, skills, and experience will best meet the District's needs. Interview panels, when utilized, consist of 2-4 people. Upon completion of the interview process, the interview panel must review, organize, and submit all original interview notes to HR.

The Director of HR sends the interview results to the department where the vacancy exists to assist with its recommendation for appointment.

xiii. Procedure of Certification of Eligible List. Upon receipt of a request for certification, the Director of HR shall:

- (1) Fill the position by return of an employee to duty if it can be filled in that manner.
- (2) Whenever a position is to be filled, the Executive Director shall make requisition upon the Director of HR, and the Director of HR shall certify the names (a) of the five (5) candidates standing highest upon the register of eligibles for the position, or (b) of the candidates within the A category upon the register of eligibles if the register is by categories designated as A, B, and C provided, however, that any certification shall consist of at least five (5) candidates, if available. If fewer than five (5) candidates are in the A category so certified, then the Director of HR shall also certify all of the candidates in the B category. If fewer than five (5) candidates are in the A and B categories combined, then the Director of HR shall also certify all of the candidates in the C Category.

The Executive Director shall notify the Director of HR of each position to be filled separately and shall fill such position by appointment of one of the certified candidates.

- (3) If the position cannot be filled by certification from an eligible list, the Executive Director may authorize the position to be filled by a temporary-provisional appointment.

xiv. Temporary-Provisional Appointment. When there is no eligible list, the Executive Director may, with the authority of the Director of HR, make a temporary appointment to remain in force only until a permanent appointment from an eligible register or list can be made in the manner specified in the previous provisions of this section, and examinations to supply an eligible list therefor shall be held and an eligible list established therefrom

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within one year from the making of such appointment. The acceptance or refusal by an eligible person of a temporary appointment does not affect their standing on the register for permanent appointment.

xv. Effect of Accepting Appointment. When any person is appointed to a position after certification from an eligible list, their name shall immediately be removed from the eligible list for the class to which they have been appointed.

xvi. Effect of Refusing Appointment. From time to time as the need for certification of names for appointment makes appropriate, the Director of HR shall ascertain whether persons whose names appear on the eligible lists will accept appointment to a position to which the list applies. Each person shall be given opportunity when such inquiry is made to indicate the approximate date and the circumstances under which they are willing to accept appointment. The Director of HR may remove the names of any candidate from an eligible list for any of the following reasons:

(1) If any person states over their signature that they will not accept appointment.

(2) If, when the name of any person is reached in the order of certification, that person cannot be reached at the latest address supplied to the Director of HR, or if that person does not respond within ten (10) days from the date of certification.

(3) If any person specifies a date and circumstances of their availability for appointment which, in the judgment of the Director of HR, are not compatible with the best interest of the service and make it desirable to remove their name from the eligible list.

xvii. Appointment. After receiving the requisition packet from HR, consisting of the certified eligible list and interview results, the department where the vacancy exists shall recommend a candidate for appointment to the Executive Director.

The Executive Director is the District's appointing authority and decides whether to approve the department's recommendation.

V. EXCEPTIONS TO THE GENERAL EXAMINATION-BASED HIRING PROCESS

Nearly all of the District's 200+ job classifications (and its approximately 1800 employees) are part of the classified civil service and are filled in accordance with the examination requirements of the MWRD Act. However, some job classifications (Civil Service Classifications that are Examination Exempt, Classifications that are Civil Service Exempt, Laborers, and 119-Day Employees) are exceptions and do not follow the general examination-based hiring process applicable to civil service employees.

Except for job classifications included on the Exempt List ("Attachment A"), the job classifications in the exception categories are not *Shakman* Exempt. Therefore, whenever the District takes an employment action involving a non-*Shakman* Exempt employee (including Civil Service

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Classifications that are Examination Exempt, Classifications that are Civil Service Exempt, Laborers, and 119-Day Employees) it shall not be influenced by any political reasons or factors.

A. Civil Service Classifications that are Examination Exempt. Pursuant to Section 4.7 of the MWRD Act, the following classifications are exempt from examination: Deputy Director of Maintenance and Operations, Assistant Director of Engineering, Assistant Director of Maintenance and Operations, Deputy General Counsel, Head Assistant Attorney, Assistant Director of Monitoring and Research, Assistant Director of Information Technology, Assistant Director of HR, Comptroller, Assistant Treasurer, Assistant Director of Procurement and Materials Management, and Laborers.

B. Classifications that are Civil Service Exempt. Pursuant to Section 4.13 of the MWRD Act, the following classifications are exempt from the hiring requirements of the classified civil service: All Elective Officers (i.e. Commissioners), Director of HR, Clerk, Treasurer, Director of Engineering, General Counsel, Executive Director, Director of Maintenance and Operations, Director of Procurement and Materials Management, Director of Monitoring and Research, Director of Information Technology, Public and Intergovernmental Affairs Officer, Administrative Services Officer, Secretary and Administrative Aide to the President of the Board of Commissioners, Secretary to Officer, and Secretary to Commissioner.

The District adheres to the following protocols whenever a vacancy exists in the classifications listed in Section V(A-B) of this Employment Plan (except when appointing Laborers and *Shakman* Exempt classifications):

- A job announcement will be created outlining opening and closing dates, minimum qualifications, and the application process.
- The HR Department will post the job announcement on the website and may advertise the opening in other locations to generate a pool of applicants.
- The HR Department will receive and review applications and/or resumes to identify applicants who meet the minimum qualifications for the position.
- The HR Department will forward a list of qualifying candidates and their applications and/or resumes to the hiring department.
- The hiring department may select candidates to be interviewed from the qualified list of candidates. The hiring department must document the interview selection criteria and explain why each of the candidates selected for interview were chosen. The hiring department will send the names of the selected candidates and the written explanation to the HR Department.
- Selected candidates will receive notification from the HR Department to contact the hiring department's interview coordinator to schedule an interview.
- The hiring department will appoint at least two supervisory level employees with knowledge of the position to conduct the interview. Interview questions must be based on the minimum qualifications for the position or the knowledge, skills, and experience needed to perform the position.

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- After the interviews are completed, each interviewer shall complete an interviewer evaluation form. The interview panel will discuss and rank the candidates.
- The ranked list will be sent to the Executive Director for final decision on whether to make an appointment. If the Executive Director rejects the interview panel's recommendation, the Executive Director will document this decision.
- The hiring department shall provide all documentation, including interview selection documentation, interview questions, interview notes and scoring sheets are to be provided to the Director of HR.

C. Laborers. Since 1987, the District has used a lottery system to select candidates for its Laborer classification. The lottery is based on the Illinois Pick-Four lottery on a specific future date. Individuals whose social security number's last four digits match the winning number or come within 500 numbers thereafter are invited to apply during the filing period. The names are listed in rank order beginning with those whose last four digits match the winning numbers.

The District utilizes the following protocols in the Laborer selection process:

- A Laborer announcement will be posted and advertised in local newspapers advising the public that the Illinois Pick-Four lottery numbers on a certain date will be used to select individuals for the Laborer classification. The announcement will also be sent to candidates on the current mailing list for the Laborer classifications and to candidates on the current lottery list.
- The day after the lottery drawing, an amended announcement containing the winning numbers will be posted. The winning numbers will also be advertised in newspapers the week following the lottery drawing.
- Applications will be accepted online. Applications will only be approved from individuals whose last four digits of their social security number match the winning number or are within the required range.
- A Laborer lottery list will be established in order of the last four digits of the applicants' social security number beginning with those matching the winning numbers. Letters will be sent to the candidates telling them their rank. The list will be maintained for a period of four years.
- A basic skills written test will be administered to a short-list of candidates, based on their rank in the lottery. Those candidates failing the test or choosing not to participate in the test will not be eligible for appointment.
- Vacancies will be filled by individuals who pass both the basic skills written test and interview in rank order.
- With respect to interviews, the hiring department will appoint at least two supervisory level employees with knowledge of the position to conduct the interview. Interview questions must be based on the minimum qualifications for the position or the knowledge, skills, and experience needed to perform the position.
- After the interviews are completed, each interviewer shall complete an interviewer evaluation form. The interview panel will discuss and rate the candidates.

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- The rated list will be sent to the Executive Director for final decision on whether to make an appointment. If the Executive Director rejects the interview panel's ratings, the Executive Director will document this decision.
- The hiring department shall provide all documentation, including interview selection documentation, interview questions, interview notes and scoring sheets are to be provided to the Director of HR.
- Basic skills testing and interviews of subsequent groups of candidates will be conducted as needed if the first group becomes depleted.

D. Temporary and Transitory Employees ("119-Day" Employees). In employment of an essentially temporary and transitory nature, the Executive Director may, with the authority of the Director of HR, make temporary appointments. No temporary appointment of an essentially temporary and transitory nature may be granted for a period of more than 119 consecutive or non-consecutive working days per calendar year. The Director must include in their annual report, and if required by the commissioners, in any special report, a statement of all 119-Day Employee appointments made during the year or period specified by the commissioners, together with a statement of the facts in each case because of which the authority was granted.

119-Day Employees are often participants in the District's internship program. Interns receive hourly pay but do not receive benefits or paid days off.

Internship opportunities are posted on the District's Online Employment Center ("OEC"). Positions are posted on a rolling basis and will remain posted until filled.

To be eligible for an internship, candidates must be enrolled in a degree-seeking program in an accredited college or university or be a veteran, a permanent resident of Cook County (students may attend school outside the county limit), and a citizen or national of the United States, or an individual who is otherwise legally authorized to work in the United States.

Candidates are required to submit an online internship application, a cover letter stating interest in the position, and a recommendation letter (from a class instructor, professor, or Internship Coordinator from current school or university) through the District's OEC.

The Internship Coordinator forwards the cover letters and applications to the supervisors. The supervisors select candidates and hold personal or telephone interviews. The supervisors make selections and notify the Internship Coordinator. The Internship Coordinator emails the Internship Background Check Form and the "Summary of Rights Under the Fair Credit Reporting Act" to the candidates. The candidates email or fax the completed Background Check Forms to the Internship Coordinator, who forwards them to the HR Analyst responsible for background checks at the District. The results of the Background Checks are received and given to the Internship Coordinator. The candidates are e-mailed the website for physicals to select a convenient location that also has drug testing. The results of the physical and drug test are received by the Internship Coordinator. The candidates are notified of acceptability by phone and e-mail with a start date that is provided by the supervisors.

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VI. OTHER EMPLOYMENT ACTIONS

A. Policy. Promotions follow the same policies and procedures as hiring. All other employment actions shall not require the posting of notices of vacancy/opportunity or screening requirements unless otherwise required by the terms of a collective bargaining agreement. Excluding *Shakman* Exempt employees, the District shall not take into account political reasons or factors or other illegal considerations in relation to other employment actions, including but not limited to:

B. List of Other Employment Actions:

- Promotions
- 30-day Suspension Pending Termination
- Suspensions less than 30 Days
- Terminations of Probation
- Involuntary Demotions
- Transfers
- Reassignments

VII. COMPLIANCE OFFICER

On July 15, 2022, the District appointed Thaddeus “Ted” Kosowski as its Compliance Officer. The Compliance Officer will monitor compliance with the District’s policies and procedures governing employment actions. Beginning on September 15, 2022, the Compliance Officer will file quarterly reports with the Court reporting on the District’s implementation and compliance until the 1972 Consent Decree is terminated as to the District.

VIII. CONCLUSION

The District is committed to continuing its practices of being an equal opportunity employer, hiring qualified candidates, and prohibiting Unlawful Political Discrimination with respect to all employment actions. This Employment Plan is intended to memorialize the transparent and equitable processes and procedures that the District has followed and will continue to follow in all employment actions.

EXHIBIT

A

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No Political Consideration Certification (“NPCC”)

All Metropolitan Water Reclamation District of Greater Chicago (“District”) employees are strictly prohibited from taking political reasons or factors into consideration regarding any employment action with respect to non-*Shakman* Exempt employees or classifications. I certify that, I am aware of and am in full compliance with the aforesaid prohibitions regarding employment actions by the District insofar as they apply to me. I certify, under penalty of perjury, as provided by law, that, to the best of my knowledge and after due inquiry, political reasons or factors did not enter into consideration in the District employment action(s) facilitated by the documentation that accompanies this Certification. I understand that failure to comply with the above prohibitions and/or failure to submit an accurate No Political Consideration Certification may result in disciplinary action up to and including termination and may subject me to prosecution for perjury under Illinois law.

Signature

Printed Name

Title

Date

EXHIBIT

B

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SHAKMAN EXEMPT LIST

When taking an employment action related to the following “*Shakman* Exempt” job classifications, the District may consider political factors when appropriate:

1. Administrative Aide to the President of the Board of Commissioners
2. Secretary to the President of the Board of Commissioners
3. Administrative Assistant/Secretary to Commissioner