



KAREN A. YARBROUGH

RECORDER OF DEEDS / REGISTRAR OF TORRENS TITLES
COOK COUNTY, ILLINOIS

December 15, 2017

Karen A. Yarbrough, Recorder
Cook County Recorder of Deeds
118 N. Clark Street
Chicago, Illinois 60602

Cardelle Spangler, Compliance Administrator
Office of the Compliance Administrator
69 W. Washington
Chicago, Illinois 60602

RE: 2017 Report – June 16, 2017 through December 15, 2017

Dear Madame Recorder and Ms. Spangler:

This is the second report issued by the undersigned Director of Compliance (DOC) and covers the time frame June 16, 2017 through December 15, 2017¹ pursuant to the Cook County Recorder of Deeds (CCRD) Employment Plan that was filed on August 14, 2013. This report includes the monitoring of activities during the past six months which combines the efforts of the DOC and the RCA including the RCA's time as the Interim DOC. This report will be posted on the Recorder of Deeds website as required by the Employment Plan.

The primary role of the Office of Director of Compliance is to oversee and ensure compliance with the Employment Plan and the Policy and Procedures Manual of the Recorder of Deeds Office.

The DOC has been included in meetings, conferences, employment actions and planning sessions. The Recorder has conferred seven times with the DOC to facilitate dialogue on the office's status as it relates to compliance efforts. The DOC looks forward to continue meeting frequently with the Recorder.

NO LONGER WITH CCRD:

The Office of Cook County Recorder of Deeds (CCRD) saw two retirements and two terminations during the period of this report. The DOC was present and the RCA monitored telephonically the exit interview of the employee who retired effective December 13, 2017.

¹ The DOC was on an approved leave of absence from August 27, 2017 through November 24, 2017.



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REQUESTS TO HIRE / JOB POSTINGS:

During the time period of this report, an Investigator II was hired, in accordance with the Employment Plan, Section XI, and effective December 4, 2017. The DOC and RCA will monitor the training and probationary period.

The DOC was informed by the Chief of HR that CCRD is looking to post a Satellite Cashier and a Satellite Supervisor position but the DOC has yet to see a Request to Hire. Furthermore, the Job Description must be updated and approved prior to moving forward with the posting of the positions.

Notably, candidates from the May posting of the Cashier II position that was removed due to an error will be notified once the Cashier posting is made public and these applicants will be encouraged to reapply. The DOC will work with HR to correspond with the applicants.

The DOC and RCA reviewed and discussed the Request to Hire an Assistant to the Director of Public Information. As of today's date, this position has not been filled.

On August 23, 2017 the DOC submitted a Request to Hire an Assistant Director of Compliance. The request was ultimately denied by HR on December 12, 2017.

JOB DESCRIPTION REVIEWS / DESK AUDITS:

The HR conducted thirteen Job Description Reviews, seven of which also required desk audits during the period of this report. The DOC, Interim DOC and RCA monitored the process. It should be noted that HR and the RCA worked together in identifying the positions that require desk audits as they relate to the update of the Job Descriptions.

EVALUATIONS:

During the period of this report, the remaining three of the four employees that were recalled prior to May 1, 2017 received their final 45 day evaluations as they successfully completed the evaluation period. In a collaborative effort, the RCA and DOC ensured that the process was followed properly and the employees received proper training and evaluations. The DOC monitored the process in its entirety and considered the overall result a positive one. The DOC will, however, be issuing a report identifying areas requiring improvement and additional training that is needed for those participating in and performing 45 day evaluations.

The Director of HR and the DOC received 30, 60 and 90 day evaluations during their respective probationary periods. Both the Director of HR and the DOC received satisfactory evaluations and successfully completed their probationary period.

DISCIPLINE:

The Office of Director of Compliance is tasked to monitor all facets of the discipline process including Discipline Hearings and Level III Union Grievances.



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During the time period of this report, the DOC attended five Disciplinary Hearings. The DOC has knowledge of seven Level III Union Grievances. The DOC requests to be more informed of grievances, CCRD's responses and status of each.

INELIGIBLE FOR REHIRE:

During the period of this report, no employees were placed on the Do No Rehire Without Further Consideration list.

TRAINING:

During the period of this report, no employees received Employment Plan and Policy and Procedures Manual training. The DOC will work in conjunction with HR to ensure that the recently hired Investigator II, will receive his training within the first ninety days of employment as required by the Plan.

Annual training as prescribed by the Employment Plan has yet to be undertaken by the Recorder of Deeds.

During the period of this report, with the assistance of HR, all CCRD employees completed a web-based, IT sponsored, training through Security Mentor, Inc.

RECOMMENDED / ONGOING TRAINING:

- Employment Plan – Overall goal of annual training for all CCRD employees incorporating the changes that were agreed upon by CCRD, RCA & Plaintiff's Counsel.
- Policies and Procedures Manual – Overall goal of annual training for all CCRD employees incorporating the changes that are to be agreed upon by CCRD, RCA & Plaintiff's Counsel.
- Time & Attendance – HR, in conjunction with the DOC and RCA, has drafted changes to this section of the Manual and upon approval will commence training all CCRD employees of those changes.
- Discipline – HR, in conjunction with Labor Counsel, the DOC and RCA, is in the process of drafting changes to this section of the Manual and upon approval will commence training all CCRD employees of those changes.
- Professionalism (courtesy, supervisory & harassment) – CCRD would benefit from training regarding workplace relations.

RECALLED EMPLOYEES:

No CCRD employees were recalled during the period of this report.

DOC INVESTIGATIONS:

During the period of this report, the DOC completed two investigations and issued reports 17-010 and 17-011. The CCRD response to report 17-010 was received on December 7, 2017. The



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CCRD response for 17-011 was received today. The DOC initiated 17-013 and provided information to the RCA during her time as the Interim DOC for the completion of the investigation. The RCA as Interim DOC issued the report for 17-013 on December 1, 2017. A CCRD response is expected by December 29, 2017.

The DOC currently has four active investigations relative to allegations of misconduct into the Employment Plan or Policy and Procedures Manual. The investigations are ongoing and the status / findings of the investigations will be addressed in her next report.

DOC ONGOING / FUTURE PROJECTS:

- Job Descriptions Review & Updates (In conjunction with HR and contracted attorneys) -- All positions identified by HR and the RCA are to be reviewed and revised in accordance with the Plan.
- Employee Evaluations -- Exempt and Non-Exempt, all positions to begin being evaluated upon completion of the Job Description updates.
- Hearing Officers -- The DOC hopes to work with CCRD personnel to recommend procedures in accordance with the Plan and Manual and provide personnel with training to that effect.
- Unemployment Hearings -- The DOC hopes to work with CCRD personnel to recommend procedures for unemployment hearings and provide personnel with training or materials to that effect.
- Recommendation Letters -- In accordance with the Plan, Section III, D, 2, b, submissions of recommendation letters in Taleo must be retrieved, printed, disseminated and logged.
- Taleo Onboarding and creation of Exempt positions -- Taleo must be updated as it relates to positions that have been filled during this administration.

OBSERVATIONS / AREAS OF RISK:

The DOC has continued to observe that practices involving discipline are not uniform. The DOC plans to confer with Labor Counsel and management staff to ensure that the disciplinary process is not only being done uniformly, but to establish criteria and procedures for such. The DOC expects that establishing the procedures may require proposed changes the Manual to be reviewed by the RCA.

The DOC previously reported that an employee reported that after a promotion, she has been in the wrong salary grade for several years. This issue was forwarded to HR and is close to resolution.

The DOC previously reported the reorganizing of an area of Operations due to a retirement which left four employees without a Supervisor. The Supervisor to absorb these four employees required a Job Description Review and Desk Audit. Currently, additions must be made to the Job Description to include the duties the Supervisor will absorb upon reassignment of the four



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employees. Additional training for the Supervisor will also be required in accordance with the Plan.

The DOC became aware of questions by the HRD regarding the time and attendance database. It appears that a meeting is required with system administrators to understand the process fully. The DOC is concerned that system allowances are creating issues when it comes to compensatory time and overtime. In conjunction with the Plan & Manual, the DOC looks forward to understand this process more and improving it in order to benefit operations and oversight.

The DOC has yet to review the Standard Operations Procedures for the Operations section. This information must be updated, accurate and made readily available to the employees of the Operations Sections.

The DOC was made aware of the proposed changes to the Time and Attendance portion of the Manual by HR. Once these changes are finalized, training will commence for all CCRD employees.

HRD has identified that additional proposed changes to the Manual involving cross training, transfer policy and temporary assignments will be submitted for review.

RELATIONS:

CCRD, representatives from the Cook County State's Attorney's Office, Plaintiff's Counsel and the RCA and / or her attorney agreed to the changes in the Employment Plan and finalized the document during the period of this report. The collaboration has resulted in a significant step forward in CCRD's compliance effort.

The DOC has met with the OIIG four times during the period of this report and looks forward to maintaining a positive working relationship as CCRD works towards overall compliance. The DOC and OIIG have will continue meeting at least one time per month.

The DOC and the HRD have established a positive and collaborative working relationship with the RCA's office. Daily phone calls, weekly meetings and cooperative efforts are integral in CCRD reaching substantial compliance.

The DOC maintains the position that meetings (perhaps bi-weekly) with the Directors and or Deputies would be beneficial. Operationally, it is imperative that the DOC remains informed.

CONCLUSION:

The DOC is optimistic and excited to continue her work at CCRD. Although the time period of this report is relatively short, the DOC has learned a great deal and has great hopes for the success of CCRD's compliance efforts.



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Sincerely,

Alexis L. Serio

Alexis L. Serio
Director of Compliance
Cook County Recorder of Deeds

Cc: Matt Pryor, Recorder's Compliance Administrator's Attorney