



CITY OF CHICAGO
OFFICE OF INSPECTOR GENERAL

20
23

Quarterly Report: First Quarter 2023

April 14, 2023

DEBORAH WITZBURG | INSPECTOR GENERAL FOR THE CITY OF CHICAGO

To the Mayor, City Council, City Clerk, City Treasurer, and Community Members of the City of Chicago:

Enclosed for your review is the public report on the operations of the City of Chicago Office of Inspector General (OIG) during the first quarter of 2023, filed with City Council pursuant to Section 2-56-120 of the Municipal Code of Chicago.

As we publish this report, the City is at the edge of a critical transition in government. We look forward to opportunities to partner with the incoming mayoral administration and a new City Council, to amplify our work in pursuit of effective, efficient, and accountable City government.

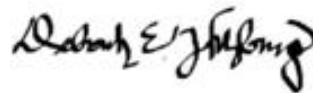
Meanwhile, OIG continues its work. We are beginning to see tremendous returns on our efforts to engage with more Chicagoans in more of the City's neighborhoods, and to improve, centralize, and modernize our intake function. In the first quarter of 2023, OIG received nearly 2,400 intakes; that's up from more than 1,800 in the last quarter and more than 1,700 during the quarter before that. More than ever before, we are hearing from Chicagoans—those who know the City best—about how to make City government better.

This month also marks the end of the first year of my term as Inspector General. I am deeply proud of the work OIG is doing and what my colleagues here have accomplished in that time. We have restructured our operations and improved our internal processes, allowing us to cast a brighter light on critical problems in City government, collaborate with our partners on meaningful solutions, and hold those who have abused the public trust to account.

Our focus on inter-disciplinary, integrative oversight work has allowed us to address a huge swath of issues across the City. As reported here, in the last quarter we successfully investigated forgery, time fraud, violence in the workplace, verbal abuse and assault, and violations of the City's residency rule, among others. An OIG investigation resulted in felony criminal charges of forgery and perjury against a former member of the Chicago Police Department (CPD). We re-examined the City's enforcement of recycling requirements and its practices around employee evaluations. We issued an advisory on the City's long-vacant administrative officer position and the opportunities to improve operations by filling and empowering that position to improve coordination among City departments. We issued notifications on City Council transitions, proper procedures for disciplining City employees, and personnel management and record-keeping at CPD. We evaluated results as the City ended the Procurement Reform Task Force, and we continued to monitor the City's employment actions and review closed police disciplinary investigations.

There is, as always, a great deal more to do. I am honored to have spent a year in this job and I so look forward to continuing to do this work.

Respectfully,



Deborah Witzburg
Inspector General
City of Chicago

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This quarterly report provides an overview of the operations of the City of Chicago Office of Inspector General (OIG) from January 1, 2023, through March 31, 2023, and includes information required by the Municipal Code of Chicago (MCC).

I | Mission of the Office of Inspector General

OIG's mission is to promote economy, effectiveness, efficiency, and integrity in the administration of programs and the operation of City government.¹ OIG accomplishes its mission through investigations of allegations of misconduct, performance audits, evaluations and reviews, data analysis and visualization, and other inquiries.

When OIG investigates and sustains allegations of misconduct, it issues summary reports of investigations to the appropriate authority, City management officials, and/or the Mayor's Office, with investigative findings and recommendations for corrective action and discipline. Narrative summaries of sustained administrative investigations, i.e., those typically involving violations of the City's Personnel Rules, Debarment Rules, and Ethics Ordinance—and the resulting department or agency actions—are released in quarterly reports. OIG's investigations resulting in criminal sanctions or civil recovery actions are summarized in quarterly reports following public action (e.g., indictment) and updated in ensuing quarterly reports as court developments warrant.

OIG's performance audits, programmatic inquiries, and advisories are directed to the appropriate agency for comment and response, and are then [published on the OIG website](#). From time to time, OIG also issues notifications to a City department for attention and comment; those notifications are summarized, along with any response, in the ensuing quarterly report.

OIG's data analysis and visualization work is available on its [Information Portal](#).

Finally, OIG issues reports as required by the City's Employment Plan and as otherwise necessary to carry out its functions in overseeing hiring and promotion processes across the City.

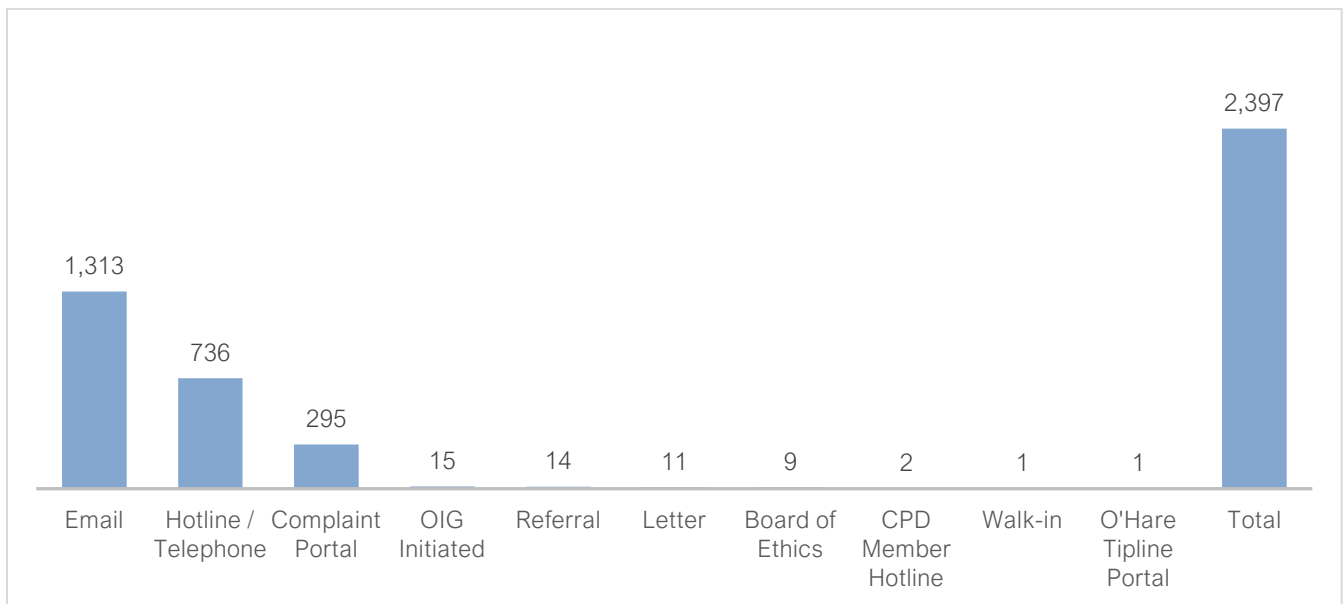
¹ "City government" includes the City of Chicago and any sister agency which enters into an Intergovernmental Agreement with the City for the provision of oversight services by OIG.

II | Intakes

1 | Intakes Received This Quarter

OIG received 2,397 intakes this quarter. The following chart shows the various reporting methods by which those intakes were received.

Intakes Chart 1: Intakes by Reporting Method



In determining whether to open an inquiry into issues raised during intake, among other factors, OIG evaluates the nature of the issue raised; which of OIG's sections might be best equipped to address the issue; and, if an intake alleges misconduct, the potential magnitude or significance of the allegations.² Following this review, OIG may open an investigative or non-investigative inquiry, decline an intake, or refer it to another agency or City department. The following information outlines the actions OIG has taken in response to intakes received this quarter.

In Q1 2023, OIG referred 1,099³ intakes to City departments or other agencies.⁴

Table 1: Referred Intakes

Referred Agency	Number of Referrals
Civilian Office of Police Accountability	641
Chicago Police Department	165

² As further described below, some intakes are discontinued when, after review in OIG's intake process, they are determined to be not amenable to further consideration.

³ OIG referred 1,099 intakes to the agencies listed in Table 1. Some intakes were referred to more than one agency, resulting in a total of 1,179 referrals.

⁴ Pursuant to MCC § 2-56-120, OIG does not report here referred intakes in which "(i) the complaint addresses potential criminal conduct and has been referred to a state or federal law enforcement agency, and (ii) the investigation of the conduct at issue is ongoing, and (iii) in the judgment of the inspector general, public disclosure of the referral would compromise the effectiveness of the investigation."

Referred Agency	Number of Referrals
Chicago Department of Finance	38
Chicago Department of Human Resources	38
Chicago Department of Streets and Sanitation	27
Chicago Department of Business Affairs and Consumer Protection	19
Chicago Department of Buildings	18
Chicago Department of Transportation	14
Chicago Department of Water Management	14
Chicago Public Schools Office of Inspector General	11
Chicago Park District Office of Inspector General	10
U.S. Department of Housing and Urban Development Office of Inspector General	10
U.S. Postal Service Office of Inspector General	10
Chicago Department of Aviation	9
Chicago Department of Family and Support Services	9
Chicago Office of Emergency Management and Communications	9
Illinois Department of Human Services Office of Inspector General	7
Chicago Fire Department	6
Chicago Department of Assets, Information and Services	5
Federal Trade Commission	5
Illinois Office of Executive Inspector General	5
U.S. Small Business Administration Office of Inspector General	5
Chicago Department of Housing	4
Chicago Department of Law	4
Chicago Department of Public Health	4
Chicago Housing Authority Office of Inspector General	4
Chicago Office of the Mayor	4
Cook County Office of Independent Inspector General	4
Illinois Commerce Commission	4
Illinois Department of Children and Family Services Office of Inspector General	4
Chicago City Council	3
Chicago Commission on Animal Care and Control	3
Chicago Department of Planning and Development	3
Chicago Department of Procurement Services	3
Cook County Sheriff's Office of Professional Review	3
Federal Bureau of Investigation	3
Illinois Department of Financial and Professional Regulation	3
Illinois Department of Public Health	3
Illinois Office of Attorney General	3
U.S. Department of Transportation Office of Inspector General	3

Referred Agency	Number of Referrals
Beaufort Police Department	2
Chicago City Clerk	2
Chicago Mayor's Office for People with Disabilities	2
Cook County Assessor's Office	2
Illinois Lottery Control Board	2
U.S. Drug Enforcement Agency	2
Amtrak Office of Inspector General	1
Beds Plus Care	1
Chicago City Treasurer	1
Chicago Commission of Human Relations	1
Chicago Department of Administrative Hearings	1
Chicago Department of Cultural Affairs and Special Events	1
Chicago Transit Authority Office of Inspector General	1
Cicero Police Department	1
City Colleges of Chicago Office of Inspector General	1
Elgin Police Department	1
Federal Reserve Board Office of Inspector General	1
Forest Park Police Department	1
Illinois Department of Child and Family Services	1
Illinois Department of Healthcare and Family Services Office of Inspector General	1
Illinois Department of Human Rights	1
Illinois Department on Aging	1
Illinois State Board of Elections	1
Illinois State Police	1
Kendall County State's Attorney's Office	1
Los Angeles Police Department	1
Montgomery Police Department	1
U.S. Attorney's Office	1
U.S. Citizenship and Immigration Services	1
U.S. Department of Health and Human Services Office of Inspector General	1
U.S. Department of Homeland Security Office of Inspector General	1
U.S. Department of Justice	1
U.S. Department of Justice Office of Inspector General	1
U.S. Equal Employment Opportunity Commission	1
U.S. Securities and Exchange Commission	1
Washington State Police	1
Total	1,179

OIG may discontinue intakes which are, for a variety of reasons, not amenable to further consideration. Specifically, if after review an intake is determined to lack sufficient information or clarity in describing the alleged misconduct, waste, or inefficiency to provide a basis for investigative follow-up, or is incoherent, incomprehensible, or factually impossible, it is designated

as “Do Not Process” and is discontinued. If a communication received and cataloged as an intake is determined to be an automated, accidental, irrelevant, or inappropriate electronic message, it is designated as “Spam” and discontinued. Finally, if a communication received and cataloged as an intake is determined to be a question or request for information that is directly answered by OIG, it is designated as an “Inquiry” and discontinued.

In Q1 2023, OIG discontinued 995 intakes.

Table 2: Discontinued Intakes

Category of Discontinued Intakes	Number of Discontinued Intakes
Do Not Process	501
Spam	305
Inquiries	189
Total	995

Pursuant to MCC § 2-56-050(b), if OIG receives an intake that constitutes a complaint alleging a violation of the Governmental Ethics Ordinance (GEO), MCC § 2-156, by any elected or appointed City officer, City employee, or any other person subject to the GEO, OIG may only: (i) decline to open an investigation if OIG determines that the complaint lacks foundation or does not relate to a violation of § 2-156; (ii) refer the matter to the appropriate authority if OIG determines that the potential violation is minor and can be resolved internally as a personnel matter; or (iii) open an investigation.

In Q1 2023, OIG declined 17 complaints alleging violations of the GEO.

Table 3: Ethics Complaints Declined

Category of Declined Ethics Complaints	Number of Declined Ethics Complaints
Complaint Lacks Foundation	10
Complaint of Same Alleged Conduct Already Received	6
Failure to Allege a Violation of MCC § 2-156	1
Total	17

III | Investigations

OIG's Investigations section conducts both criminal and administrative investigations into the conduct of City officers, employees, and other entities, including contractors, subcontractors, and lobbyists. OIG may initiate an investigation either in response to a complaint or on its own initiative.

The information to follow provides an overview of OIG's investigative work this quarter and fulfills the reporting requirements set out in §§2-56-080 and -120 of the MCC, as well as the Intergovernmental Agreement between the Public Buildings Commission (PBC)⁵ of Chicago and OIG.

A | Misconduct Investigations

1 | Investigative Activity This Quarter

As of the close of this quarter, OIG has 231 active investigations. During Q1 2023, OIG initiated 27 investigations, of which 4 were self-initiated, and concluded 23 investigations.

2 | Open Matters

OIG's 231 currently active misconduct investigations involve a range of subjects and types of alleged misconduct.

Table 4: Subject of Investigations

Subject of Investigations	Number of Investigations ⁶
City Employees	171
Elected Officials	26
Contractors, Subcontractors, and Persons Seeking Contracts	22
Licensees	4
Appointed Officials	4
Persons Seeking Certification of Eligibility	1
Other	3
Total	231

Table 5: Nature of Allegations Under Investigation

Nature of Allegations	Number of Cases
Misconduct	228
Ineffectiveness	1
Waste/Inefficiency	2
Total	231

⁵ Created by state legislation in 1956, PBC is responsible for planning, designing, and constructing municipal buildings, including schools, libraries, fieldhouses, and fire stations. See: <https://pbcchicago.com/>.

⁶ Counted here are the number of open investigations, not the number of unique subjects; that is, the same individual or entity may be the subject of more than one separate investigation.

a | *Illinois v. Chicago*, Consent Decree Paragraph 481 Investigations

Under collective bargaining agreements between the City of Chicago and certain members of the Chicago Police Department (CPD), OIG may only investigate allegations of misconduct concerning an incident or event which occurred more than five years prior to the date of the complaint or allegation with written authorization from CPD's superintendent. Pursuant to Paragraph 481 of the consent decree entered in *Illinois v. Chicago*, if OIG requests the superintendent's authorization to open such an investigation, the superintendent must respond within 30 days.

During this quarter, OIG received the Superintendent's authorization to open one (1) investigation relevant or reportable pursuant to Paragraph 481. In that case, OIG requested authorization in the fourth quarter of 2022 and received the Superintendent's response within 30 days, in the first quarter of 2023.⁷

b | Investigations Open Over Twelve Months

As required by MCC § 2-56-080, OIG reports each quarter on active investigations which have been open for more than 12 months. Of OIG's 231 pending investigations, 127 have been open for more than 12 months. Most cases remain pending because (1) they are complex or resource-intensive investigations that may require resolution of legal issues or involve multiple subjects; (2) because they involve allegations that may be the subject of criminal investigation being conducted jointly with law enforcement investigative or prosecutorial partners at the federal, state, or local level; or (3) they were extended to allocate resources to higher risk, more time-sensitive investigations. Where other explanations are relevant for cases remaining open beyond 12 months, they are noted in the table below.

Table 6: Investigations Open Over Twelve Months, Q1, 2023

Case ID ⁸	Legacy ID	General Nature of Allegations
C2022-000038625	19-0178	Criminal investigation of distribution/possession of controlled substances (steroids)
C2022-000038721	19-0303	False information submitted to the City
C2022-000040115	20-0385	Residency violation
C2022-000040491	20-0780	Violence in the workplace
C2022-000040546	20-0838	Retaliation
C2022-000040550	20-0842	Women-Owned Business Enterprise (WBE)/Minority Owned Business Enterprise (MBE) fraud
C2022-000040584	20-0876	Falsification/improper use of City resources
C2022-000040590	20-0882	Failure to follow department rules regarding COVID-19 quarantine
C2022-000040681	20-0989	Bribery
C2022-000040811	20-1128	Time fraud and submission of false documentation

⁷OIG reported this request for the Superintendent's authorization in its Fourth Quarter Report for 2022, as that is when the request was made. It is noted again here because the Superintendent's response was received this quarter.

⁸In early 2022, OIG launched a new case management system, which accounts for the new case number format.

Case ID ⁸	Legacy ID	General Nature of Allegations
C2022-000040999	20-1334	Failure to follow department rules in the course of an investigation
C2022-000041000	20-1335	Unauthorized outside employment/residency violation
C2022-000041038	20-1375	Failure to follow department rules in the course of an investigation
C2022-000041039	20-1376	False statements/violation of department rules
C2022-000041299	20-1646	Retaliation
C2022-000041400	21-0026	Bribery
C2022-000041401	21-0027	Improper use of City resources
C2022-000041454	21-0082	Theft
C2022-000041456	21-0084	Residency violation
C2022-000041504	21-0134	Procurement fraud
C2022-000041554	21-0191	Retaliation
C2022-000041580	21-0219	Failure to follow department rules regarding COVID-19 quarantine
C2022-000041693	21-0340	Falsification/improper use of City resources
C2022-000041694	21-0341	Residency violation
C2022-000041793	21-0449	Theft
C2022-000041797	21-0453	Theft
C2022-000041798	21-0454	Theft
C2022-000041802	21-0458	Theft
C2022-000041803	21-0459	Theft
C2022-000041808	21-0464	Theft
C2022-000041809	21-0465	Theft
C2022-000041810	21-0466	Theft
C2022-000041812	21-0468	MBE fraud
C2022-000041854	21-0511	Bribery
C2022-000041875	21-0533	Residency violation
C2022-000041877	21-0535	Bribery
C2022-000041911	21-0571	Retaliation
C2022-000041916	21-0576	False statements/violation of department rules
C2022-000041959	21-0621	Unauthorized outside employment/COVID-19 leave fraud
C2022-000042127	21-0798	Theft
C2022-000042128	21-0799	Sexual harassment
C2022-000042143	21-0818	Failure to follow department rules

Case ID ⁸	Legacy ID	General Nature of Allegations
C2022-000042145	21-0820	False records submitted to City
C2022-000042213	21-0889	Prohibited political activity
C2022-000042259	21-0942	Failure to follow department rules
C2022-000042357	21-1047	Residency violation
C2022-000042358	21-1048	Post-employment violation of GEO
C2022-000042359	21-1049	MBE fraud
C2022-000042390	21-1080	Battery/failure to follow department rules
C2022-000042391	21-1081	Preferential treatment
C2022-000042445	21-1141	Falsification/retaliation
C2022-000042456	21-1153	Bribery
C2022-000042504	21-1205	Procurement fraud
C2022-000042775	21-1480	Bribery
C2022-000042777	21-1482	COVID-19 leave fraud
C2022-000042779	21-1484	Procurement fraud
C2022-000042839	21-1547	Failure to follow department rules
C2022-000042867	21-1579	Residency violation
C2022-000042869	21-1581	Bribery
C2022-000042912	21-1626	Ethics violation
C2022-000042921	21-1635	Time falsification
C2022-000042923	21-1637	COVID-19 leave fraud
C2022-000042924	21-1638	Ethics violation
C2022-000042971	21-1687	Ethics violation/incompetence
C2022-000042973	21-1689	Failure to follow department rules
C2022-000043052	21-1772	Failure to follow department rules
C2022-000043133	21-1855	Bribery
C2022-000043135	21-1857	Retaliation
C2022-000043160	21-1884	Secondary employment violation
C2022-000043177	21-1902	Ethics violation
C2022-000043178	21-1903	Failure to follow department rules
C2022-000043294	21-2029	Failure to follow department rules/incompetence
C2022-000043295	21-2030	False information submitted to City
C2022-000043296	21-2031	Duty disability fraud
C2022-000043297	21-2032	Time fraud
C2022-000043298	21-2033	Secondary employment violation

Case ID ⁸	Legacy ID	General Nature of Allegations
C2022-000043299	21-2034	Ethics violation
C2022-000043300	21-2035	Forgery/fraud
C2022-000043302	21-2037	False statements
C2022-000043389	21-2125	Failure to follow department rules
C2022-000043390	21-2126	Falsification
C2022-000043391	21-2127	Misappropriating City funds
C2022-000043401	21-2137	Theft
C2022-000043402	21-2138	Misappropriating City funds
C2022-000043426	21-2162	Violation of City employment plan
C2022-000043428	21-2164	Ethics violation
C2022-000043429	21-2165	Secondary employment/improper use of City resources
C2022-000043430	21-2166	Theft
C2022-000043431	21-2167	Ethics violation
C2022-000043537	21-2275	Secondary employment/false statements
C2022-000043538	21-2276	Secondary employment violation
C2022-000043539	21-2277	Duty disability fraud
C2022-000043571	22-0006	Failure to follow department rules/incompetence
C2022-000043616	22-0051	Ethics violation
C2022-000043617	22-0052	Failure to follow department rules
C2022-000043618	22-0053	Providing false information to the City
C2022-000043756	22-0194	Time fraud
C2022-000043757	22-0195	COVID-19 leave fraud
C2022-000043794	22-0232	Bribery
C2022-000043810	N/A	Inefficiency
C2022-000043815	N/A	Failure to follow department rules
C2022-000043827	N/A	Preferential treatment
C2022-000043828	N/A	Ethics violation
C2022-000043833	N/A	Time fraud/Fraud
C2022-000043844	N/A	Failure to follow department rules
C2022-000043846	N/A	Sexual harassment
C2022-000043852	N/A	False statements
C2022-000043853	N/A	Ethics violation
C2022-000043854	N/A	Incompetence/inefficiency
C2022-000043865	N/A	Fraud

Case ID ⁸	Legacy ID	General Nature of Allegations
C2022-000043867	N/A	Retaliation
C2022-000043868	N/A	Ethics violation
C2022-000043874	N/A	Residency violation

3 | Public Building Commission Complaints and Investigations

MCC § 2-56-030 empowers OIG to exercise its powers and duties with respect to any sister agency pursuant to an intergovernmental agreement with that agency, and it does so with respect to the PBC.

This quarter, OIG received no intakes related to PBC.

B | Sustained Administrative Investigations

OIG investigations may result in administrative sanctions, criminal charges, or both. Investigations leading to administrative sanctions involve violations of City rules, policies or procedures, and/or waste or inefficiency. For sustained administrative cases, OIG produces summary reports of investigation—a summary and analysis of the evidence and recommendations for disciplinary or other corrective action. OIG sends these reports to the appropriate authority as prescribed in the MCC, including the Mayor’s Office and affected City departments.

Below is an overview of sustained investigative matters and, pursuant to MCC § 2-56-110, deidentified synopses of administrative investigations completed and eligible to be reported as sustained investigative matters. A matter is not eligible for reporting until, pursuant to the MCC, the relevant City department has had 30 days (with the potential for an extension of an additional 30 days) to respond to OIG’s findings and recommendations,⁹ and to inform OIG of what action(s) the department intends to take. Departments must follow strict protocols set forth in the City’s Personnel Rules, Procurement Rules, and/or applicable collective bargaining agreements, prior to imposing discipline or other corrective action.¹⁰

In addition to OIG’s findings, each synopsis includes the action taken by the department in response to OIG’s recommendations. These synopses are intended to illustrate the general nature and outcome of the cases for public reporting purposes and thus may not contain all allegations and/or findings for each case.

⁹ PBC has 60 days to respond to a summary report of investigation by stating a description of any disciplinary or administrative action taken by the Commission. If PBC chooses not to take action or takes an action different from that recommended by OIG, PBC must describe that action and explain the reasons for that action.

¹⁰ In some instances, OIG may defer the reporting of a matter against an individual until the conclusion of an investigation of other individuals connected to the same misconduct, so as to preserve investigative equities and to assure that the administrative due process rights of those subject to the continuing investigation are protected.

Table 7: Overview of Cases Completed and Reported as Sustained Matters

OIG Case Number	Department or Agency	OIG Recommendation	Department or Agency Action
C2022-000040586	Family and Support Services	Discharge and designate as ineligible for rehire	Intends to discharge and designate as ineligible for rehire
C2022-000040625	Buildings	Revoke company's general contractor license and refer to Department of Law (DOL) and Department of Business Affairs and Consumer Protection (DBACP) for further action	Revoked company's general contractor license and notified DOL and DBACP of OIG's findings and recommendations and DOB's response
C2022-000040552	Aviation	Discharge and designate as ineligible for rehire	Intends to discharge and designate as ineligible for rehire
C2022-000041600	Civilian Office of Police Accountability	Concur with OIG's findings and place OIG's report in the personnel file	Concurred with findings and placed OIG's report in former employee's personnel file
C2022-000043176	Aviation	Find that the evidence establishes the violations, place OIG's report in the personnel file, and designate as ineligible for rehire	Found that evidence established the violation, placed OIG's report in the personnel file, and designated as ineligible for rehire
C2022-000043238	Public Health	Discharge and designate as ineligible for rehire	Intends to discharge and designate as ineligible for rehire
C2022-000043303	Aviation	Find that the evidence establishes the violations, place OIG's report in personnel file, and designate as ineligible for rehire	Found that evidence established the violation, placed OIG's report in the personnel file, and designated as ineligible for rehire
C2022-000043711	Water Management	Discharge and designate as ineligible for rehire	Intends to discharge and designate as ineligible for rehire

1 | Residency Violation (C2022-000040586)

An OIG investigation established that a Department of Family and Support Services (DFSS) administrative assistant II lived in South Holland, Illinois, in violation of MCC § 2-152-050, which requires City employees to reside in Chicago. OIG obtained documents that revealed the employee

owns and maintains a property in South Holland, and regularly stayed at the property overnight. The employee claimed homeowner's exemptions for 2020, 2019, and 2018 for the South Holland property, their primary vehicle is registered to the South Holland property, and all the major utilities for the South Holland property were in their name. Additionally, bank records revealed that the employee made most of their necessary and important purchases in the southern suburbs. Surveillances and canvassing also established that the employee resided at the South Holland property.

OIG recommended that DFSS discharge the employee and refer them for placement on the ineligible for rehire list the Department of Human Resources (DHR) maintains, consistent with the City's residency ordinance.

In response, DFSS reported that it has requested that DOL prepare a Statement of Charges, as required by the City's Personnel Rules, in order to begin the process of discharging the employee. The matter remains pending with DOL.

2 | Forgery, False Claims, and Obstruction of OIG Investigation (C2022-000040625)

An OIG investigation established that the owner of a general contracting company showed a forged demolition permit to a City inspector. The owner and their spouse, who was also part-owner of the general contracting company, then perpetrated an elaborate scheme—including creating and maintaining an alias, calling OIG under the pretense of that alias, creating multiple fake social media and email accounts in connection with the alias, and creating a fictitious chain of emails which were sent to the Department of Buildings (DOB)—to conceal that the owner knew the permit was fake when they presented it to the City inspector.

OIG found that the owner who showed the fake permit to the City inspector violated 720 ILCS 5/17-3(a)(3) (forgery) and MCC § 1-21-010 (false claims), § 2-56-140 (obstructing an OIG investigation), and § 2-56-145 (false statements to OIG). The other owner who called OIG using an alias violated MCC § 1-21-010 (false claims), § 2-56-140 (obstructing an OIG investigation), and § 2-56-145 (false statements to OIG). Additionally, OIG found that the owners' general contracting company violated MCC § 14A-4-401.1 (permit required for demolition work), § 14A-4-401.5 (permit must be displayed at worksite), § 4-36-110 (unlawful for licensee to do work without having obtained any required permits).

OIG recommended that DOB revoke the company's general contractor license and, subject to applicable rules and law, consider this matter if either the owner or the general contractor applies for any license, registration, or certification at any point in the future. Additionally, OIG recommended that DOB refer this matter to DOL for appropriate action, potentially to include pursuing a civil action against the Co-owners pursuant to MCC § 1-21-010(a) and § 2-56-145. OIG further recommended that DOB refer this matter to DBACP for consideration of this matter, subject to applicable rules and law if either of the Co-owners applied for any business license in the future.

In response, DOB agreed with OIG's findings and recommendations. The general contracting company's license was previously inactivated by DOB, and DOB subsequently revoked the license, which in turn will bar the owners from obtaining any further licenses from DOB. DOB also notified its third-party licensing vendor that no DOB licenses shall be issued to the general contracting company, its subsequently renamed iteration, or any entity owned or controlled by either of the two

owners. DOB notified DBACP of the matter and DOB's response, and a review of the DBACP license portal indicated that neither of the owners hold any DBACP-issued license. Finally, DOB provided DOL with a copy of its response to DOB.

3 | Fraudulent Use of Leave (C2022-000040552)

An OIG investigation established that a former Office of Emergency Management and Communications (OEMC) police communications operator II (PCO II) used four days of sick leave and took a two-day leave of absence on fraudulent grounds, in violation of City personnel rules. OIG's review and analysis of the employee's time and attendance records, flight records, and social media, in conjunction with witness interviews, revealed that the employee submitted advance sick leave requests for dates just before or when they were traveling out-of-state and that the employee accepted COVID-quarantine pay while on vacation out-of-state. During the course of the investigation, the employee resigned from OEMC and was hired by the Department of Aviation (CDA).

Had the employee remained an employee at OEMC, OIG would have recommended that OEMC discharge the employee and refer the employee for placement on the ineligible for rehire list maintained by DHR. In light of the employee having been hired by CDA, OIG recommended that CDA discharge the employee, and refer the employee for placement on the ineligible for rehire list maintained by DHR.

In response, CDA reported that it has requested that DOL prepare a Statement of Charges, as required by the City's Personnel Rules, in order to begin the process of discharging the employee. The matter remains pending with DOL.

4 | Failure to Disclose a Conflict of Interest (C2022-000041600)

An OIG investigation established that a former investigator with the Civilian Office of Police Accountability (COPA) violated the City's personnel rules by failing to disclose a conflict of interest as required by COPA's rules and regulations. Specifically, the former investigator, who is also a licensed attorney, negotiated and accepted future employment with an organization while investigating members of that organization. Specifically, the employee's conduct included exchanging emails with the organization about potential employment literally between conducting investigative interviews of members of the organization and which representatives of the organization were present. The conduct of the former investigator presented a conflict of interest that was required to be disclosed to the COPA Chief Administrator. However, in violation of COPA's rules and regulations, the former investigator failed to disclose the conflict of interest.

OIG recommended that COPA find that the evidence established violations of the City's personnel rules and COPA's rules and regulations and place OIG's report in the former investigator's personnel file.¹¹ In response, COPA agreed with OIG's findings and stated that it would place OIG's report in the former investigator's personnel file.

¹¹ Because the former investigator resigned prior to the initiation of OIG's investigation, the employee's actions likely do not meet the requirements to be placed on the ineligible for rehire list maintained by DHR.

5 | FMLA Abuse and Unauthorized Outside Employment (C2022-000043176)

An OIG investigation established that a CDA custodial worker was engaged in unauthorized outside employment while on leave under the Family Medical Leave Act (FMLA). Documents revealed that the employee was on continuous FMLA leave because of a purported medical condition. During an approximately month-long period of their continuous FMLA leave, an undisclosed, unapproved, outside employer paid this employee for their services. Engaging in unapproved and undisclosed outside employment while on FMLA leave violated the City's Family and Medical Leave Act Policy. OIG's investigation also revealed that the employee used a CDA-issued parking key card for personal business. This employee resigned from their position shortly after OIG interviewed them.

Because this employee resigned from their position during OIG's investigation—an investigation which substantiated serious misconduct—OIG recommended that CDA find that the evidence established the alleged violations, place OIG's report in the employee's personnel file, and refer the employee for placement on the ineligible for rehire list maintained by DHR. In response, CDA agreed with OIG's recommendations and referred the former employee for placement on the ineligible for rehire list.

6 | Violence in the Workplace (C2022-000043238)

An OIG investigation established that an inquiry aide in the City of Chicago Department of Public Health (CDPH) violated the City's personnel rules and the City's Violence in the Workplace Policy by approaching a vendor custodial staff member who was emptying a trash can at the inquiry aide's desk, yelling at them, and grabbing the trash can. The inquiry aide's conduct caused the custodial staff member emotional distress and caused the custodial staff member to be afraid to work around the inquiry aide's desk.

OIG recommended that CDPH discharge the inquiry aide and refer them for placement on the ineligible for rehire list maintained by DHR.

CDPH agreed with OIG's findings and recommendations and reported that it would request that DOL prepare a Statement of Charges, as required by the City's Personnel Rules, in order to begin the process of discharging the employee.

7 | Verbal Abuse, Discourteous Treatment, and Assault (C2022-000043303)

An OIG investigation established that a former CDA custodial worker used derogatory language and physically assaulted a member of the public at O'Hare International Airport, in violation of Illinois law and City personnel rules prohibiting discourteous treatment, including verbal abuse, of any member of the public. OIG's review and analysis of security video footage, in conjunction with party and witness interviews, revealed that the employee used derogatory language, jabbed their right index finger close to the member of the public's face several times, and raised their right hand in a striking motion toward the member of the public's face. In an interview with OIG, the employee admitted to arguing with the member of the public, following them into their workplace, and calling the member of the public a profane term. During the course of the investigation, the employee resigned from CDA.

OIG recommended that CDA find that the evidence establishes the violations, place OIG's report in the employee's personnel file, and refer the employee for placement on the ineligible for rehire list maintained by DHR. In response, CDA agreed with OIG's recommendations and referred the employee for placement on the ineligible for rehire list.

8 | Residency Violation (C2022-000043711)

An OIG investigation established that a Department of Water Management (DWM) operating engineer lives in Lincolnwood, Illinois ("the Lincolnwood residence"), in violation of MCC § 2-152-050, requiring City employees to reside in Chicago. OIG obtained documents that revealed the employee owns and maintains the Lincolnwood residence, and regularly commuted to work from Lincolnwood. OIG conducted multiple surveillances and observed the employee commute to and from Lincolnwood, and never observed the employee at the purported City address. Utility records, tax documents, bank account information, and Lincolnwood police reports all link the employee to the Lincolnwood residence, at which the employee admitted to staying frequently to care for family members.

OIG recommended that DWM discharge the employee and refer the employee for placement on the ineligible for rehire list maintained by DHR.

C | Synopses and Developments on Charged Criminal Cases

Criminal investigations may uncover violations of local, state, or federal criminal laws, which may be prosecuted by the U.S. Attorney's Office, Illinois Attorney General's Office, or Cook County State's Attorney's Office, as appropriate. For the purposes of OIG quarterly summaries, criminal cases are considered concluded when the subject(s) of the case is publicly charged by complaint, information, or indictment.

This quarter, OIG had two updates regarding a criminal case related to an OIG investigation.

1 | United States of America v. William Mahon, 19-CR-226 (N.D. IL), OIG Case 19-0313

On December 17, 2021, William Mahon, a Department of Streets and Sanitation (DSS) deputy commissioner, was indicted on one count of conspiracy to falsify bank records and to deceive and obstruct the Office of the Comptroller of the Currency, and six counts of willfully filing a false income tax return. The charges stem from allegations that Mahon, a board member of Chicago-based Washington Federal Bank for Savings (WFBS), conspired to obstruct regulators and falsify bank records and that he filed numerous false tax returns.

On March 13, 2023, the U.S. Attorney's Office, Northern District of Illinois announced that a federal jury found Mahon's co-defendant, Robert Kowalski, a former Illinois attorney and real estate developer, guilty on two counts of embezzlement, six counts of bankruptcy fraud, and eight counts of tax fraud.

Kowalski diverted more than \$8 million, plus property which was rightly the collateral of the bank for other loans. WFBS concealed the embezzled funds by entering them on the bank's records as loan disbursements and never required Kowalski to repay the fraudulent loans. Mahon was a member of the bank's audit committee and loan committee, responsible for approving loans made by the bank.

Sentencing has been set for June 2, 2023, and Kowalski faces up to 82 years in federal prison.

2 | State of Illinois v. Jeffrey Kriv, 23CR0218601 (Circuit Court of Cook County), OIG Case C2022-000043852

On February 23, 2023, a Cook County grand jury indicted Jeffrey Kriv, a former CPD officer, on four counts of the felony offense of Perjury and five counts of the felony offense of Forgery. On January 31, 2023, OIG announced that charges had been filed against Kriv as a result of a joint investigation between OIG, the Cook County State's Attorney's Office, and CPD's Bureau of Internal Affairs.

OIG's investigation revealed that between 2009 and 2022, Kriv provided fraudulent documents and made false statements, under oath, to the City of Chicago Department of Administrative Hearings to dispute several parking tickets and moving violations related to his personal vehicles. Kriv was an active CPD officer at the time of each incident.

On March 29, 2023, Kriv pleaded not guilty on all counts. The court scheduled a status hearing for April 27, 2023.

D | Synopses and Results of Administrative Appeals, Grievances, or Other Actions

In administrative cases, a City employee may be entitled to appeal or grieve a departmental disciplinary action, depending on the type of corrective action taken, and the employee's classification under City Personnel Rules and/or applicable collective bargaining agreements. OIG monitors the results of administrative appeals before the Human Resources Board and grievance arbitrations concerning OIG's disciplinary recommendations.

This quarter, OIG has no updates on administrative appeals, grievances, or other actions.

E | Special Investigations

In addition to its reactive investigative work in response to complaints, OIG engages in certain proactive investigative projects.

1 | Campaign Finance Investigations

The MCC bans City vendors, lobbyists, and those seeking to do business with the City from contributing more than \$1,500 each year to any elected City official or candidate's political campaign. Other rules and regulations, such as Executive Order 2011-4, place further restrictions on donations.¹²

¹² Executive Order 2011-4 places a restriction on the mayor and City contractors by prohibiting City contractors, owners of City contractors, spouses or domestic partners of owners of City contractors, subcontractors to a City contractor on a City contract, owners of subcontractors to a City contractor on a City contract, and spouses or domestic partners of owners of subcontractors to a City contractor on a City contract from making contributions of any amount to the mayor. Any contract negotiated, entered into, or performed in violation of any of the provisions of this Order shall be terminable by the City.

Potential violations of the annual cap are sometimes identified through complaints; OIG also, however, engages in proactive monitoring and analysis of campaign contribution data to identify and examine potential violations. Once a potential violation is identified, OIG notifies the donor and the donation recipient of the violation and, in accordance with the MCC, provides the individual or entity 10 days to challenge the determination or cure the violation by returning the excess donation.¹³ If the excess donation is returned in a timely manner, or it is determined that a violation did not occur, OIG closes the matter administratively. In the event the matter is not cured or rightfully challenged, OIG will sustain an investigation and deliver the case to the Board of Ethics for adjudication.

This quarter, OIG did not close any campaign finance matters.

2 | O'Hare 21

OIG provides oversight for major construction initiatives across the City. Specifically, OIG has worked with CDA to oversee the multi-billion-dollar expansion project at O'Hare International Airport, commonly known as O'Hare 21.

OIG manages the work of Integrity Monitors (IMs), professional services contractors charged with investigating, auditing, and testing various processes and contracts associated with O'Hare 21. The IMs are given full access to contractor records and personnel. They monitor contractors' compliance with laws, policies and procedures, and various contractual requirements, and report to an Integrity Monitoring Committee; that committee is constituted of representatives of the Department of Procurement Services (DPS), CDA, and OIG.

Working with the IMs, OIG receives information, leads, and complaints regarding potential misconduct on the project. Participating with CDA and DPS on the monitoring committee, OIG works in concert with partner departments to develop strategies and approaches to problems considering shared interests and perspectives.

OIG has developed an [O'Hare 21-specific tipline](#) and [email address](#) to enable members of the public, employees, and contractors to more easily raise concerns about O'Hare 21 to OIG.

F | Recoveries

This quarter, there were no reports of financial recoveries related to OIG investigations.

¹³ If the donor and/or recipient was already aware that the excess donation was a violation at the time the donation was made, then they may not be entitled to notice and opportunity to cure the violation and avoid a fine.

IV | Public Safety

Pursuant to the separate powers and duties enumerated in MCC § 2-56-230, the Public Safety section supports OIG's mission of promoting economy, efficiency, effectiveness, and integrity by conducting independent, objective evaluations and reviews of CPD, COPA, and the Police Board, as well as inspections of closed disciplinary investigations conducted by COPA and CPD's Bureau of Internal Affairs (BIA).

A | Evaluations and Reviews

The Public Safety section conducts program and systems-focused evaluations and reviews of CPD, COPA, and the Police Board. Based on these audit-based inquiries, OIG makes recommendations to improve the policies, procedures, and practices of those entities. The following summarizes one Public Safety section report released this quarter.

1 | Public Safety 2023 Outlook on Police Oversight and Accountability¹⁴

Each year, OIG publishes an Outlook on Police Oversight and Accountability that lists projects under consideration for launch in that year by the Public Safety section. Potential projects are listed in categories corresponding to the Public Safety section's strategic priorities: (a) CPD operational competence; (b) discipline and accountability; and (c) constitutional policing. In October 2022, OIG published its draft Outlook for public comment. The public comment period was open from October 18 to December 2, 2022, and OIG is grateful to all those who responded with comments during that period. The final version of the Outlook on Police Oversight and Accountability was published on January 11, 2023.

The list of projects is intended to serve as a guiding document and is subject to change. The Public Safety section may initiate other projects over the course of the year and the section may not undertake each of the listed projects in 2023. Potential projects are developed from a variety of sources, including input from community members, CPD members, and OIG staff.

B | Review of Closed Disciplinary Investigations

Pursuant to its obligations under the MCC, the Public Safety section reviews individual closed disciplinary investigations conducted by COPA and BIA. OIG may make recommendations to inform and improve future investigations, and, if it finds that a specific investigation was deficient such that its outcome was materially affected, may recommend that it be reopened. Closed investigations are selected for in-depth review based on several criteria, including, but not limited to, the nature and circumstances of the alleged misconduct and its impact on the quality of police-community relationships; the apparent integrity of the investigation; and the frequency of an occurrence or allegation. The closed investigations are then reviewed in a process guided by the standards for peer review of closed cases developed by the Council of Inspectors General on Integrity and Efficiency. OIG assesses sufficiency across several categories, including timeliness, professional standard of care, interviews, evidence collection and analysis, internal oversight, and case disposition.

¹⁴ Published January 11, 2023. See <https://igchicago.org/2023/01/11/2023-oig-public-safety-outlook/>.

Further, Paragraph 444 of the consent decree entered in *Illinois v. Chicago* requires the Public Safety section to review and analyze complaints of sexual misconduct by CPD members and to report on that analysis annually.

This quarter, the Public Safety section's Investigative Analysis unit examined 309 closed disciplinary cases and opened 17 for in-depth review.

Table 9: Disciplinary Cases Reviewed

Agency	Cases Screened	Cases Opened
BIA	217	5
COPA	92	12
Total	309	17

1 | Recommendations to Reopen Closed Disciplinary Investigations

This quarter, OIG found one BIA investigation and two COPA investigations that contained deficiencies materially affecting their outcomes; one letter of recommendation to reopen was sent to BIA, and two to COPA. BIA accepted the recommendation to reopen the investigation. COPA has not responded to OIG's recommendation. Additionally, by the end of the quarter:

- OIG received responses to two recommendations that were made to BIA in Q4 of 2022; both were reopened.

There are three pending responses from agencies on recommendations to reopen materially deficient investigations.

Table 10: Responses Pending with Agencies at the End of Q1

OIG Case Number	Agency	Date Recommendation Was Sent to Agency
C2022-000044126	COPA	November 17, 2022
C2023-000000022	COPA	January 20, 2023
C2023-000000076	COPA	March 15, 2023

OIG will publish further details on these investigations once the investigating agency has responded to our recommendations or once a final decision has been made by an agency. Below is a summary of an investigation that has reached its final disciplinary decision.

a| Recommendation to Reopen to Consider All Available Evidence and Potentially Applicable Rule Violations (#C2022-000044123)

OIG reviewed a COPA investigation involving a CPD member who allegedly, without justification, punched an individual about their face while handcuffed. OIG recommended that the investigation be reopened to thoroughly account for all available evidence and potentially applicable rule violations.

In the underlying incident, several CPD members responded to a call for service regarding a domestic dispute between the caller and their child, the offender. According to civilian witnesses, the offender had allegedly broken several windows and a door and was repeatedly threatening to batter the responding members. Body-worn camera (BWC) recordings show the offender continued their threats against the members, repeatedly threatening to kill them, and eventually charging at one of the members. A CPD member responded by pushing the offender to create distance, while several other members grabbed the offender and forced them to the ground. The offender resisted the CPD members' attempts to place them in handcuffs; once handcuffed, the offender resisted the members' attempts to place them into the police van. While attempting to place the offender in the police van the offender "repeatedly made a hocking noise," giving the impression they were preparing to spit on the responding CPD members and the accused member, who was now assisting. In response, the accused CPD member punched the handcuffed offender in the face multiple times.

COPA determined that "given that [the offender] was handcuffed and laying on his back in the police van, punching [them] was not objectively reasonable, necessary, or proportional, regardless of [their] classification under the rubric created by the Department's use-of-force directives." COPA recommended a minimum 90-day suspension for the accused member.

During its investigation, COPA interviewed numerous CPD members that were present during the incident. Two of the CPD members, in their interviews, claimed that they did not witness the accused CPD member strike the offender. However, the BWC footage captured by other CPD members on the scene contradicts the statements made by both CPD members.

Another CPD member interviewed as a witness stated during their interview that they observed the accused CPD member strike the offender in the face after being spit on. The CPD member stated that the offender's face began to bleed, and they continued to spit blood at the accused CPD member. COPA asked if they generated any police reports but did not ask if they reported the accused CPD member's use of force, or if not, why not.

Despite the contradictions between the statements of the CPD members and the available BWC footage, COPA did not appear to have conducted any analysis regarding potential violations of Rule 14 of CPD's Rules of Conduct, prohibiting false reports. Further, COPA did not appear to have conducted any analysis regarding potential violations of Rules 21 and 22, which require CPD members to report misconduct, with respect to any of the CPD members whose BWC footage captured the accused CPD member use of force, or whose statements demonstrated awareness that the accused CPD member engaged in a use of force which COPA determined to be misconduct.

OIG recommended that COPA reopen this investigation to determine whether the CPD members involved violated Rules 21 and 22 when they failed to report the accused CPD member's misconduct. Additionally, OIG recommended that COPA conduct a Rule 14 analysis to determine whether the involved CPD members made false statements when they reported that they did not witness the incident.

COPA declined to re-open the investigation to conduct further analysis.

V | Reports and Monitoring Activity

A | Audits and Follow-Ups

Separate from its confidential investigative work, OIG's Audit & Program Review (APR) section produces a variety of public reports including independent and objective analyses and evaluations of City programs and operations with recommendations to strengthen and improve the delivery of City services. These engagements focus on the integrity, accountability, economy, efficiency, and effectiveness of each subject. The following summarizes two reports released by APR this quarter.

1 | Follow-up to OIG's Audit of the Department of Streets and Sanitation Commercial and High-Density Residential Recycling Enforcement (#C2022-000043938)¹⁵

OIG has completed a follow-up to its December 2020 audit of DSS's enforcement of recycling requirements for commercial and high-density residential buildings (i.e. those with five or more units). Based on DSS's responses, OIG concluded that DSS had fully implemented two corrective actions, partially implemented one corrective action, and did not implement four corrective actions related to the audit findings.

The purpose of the 2020 audit was to determine whether DSS ensured that building owners provided recycling collection services as required by the Chicago Recycling Ordinance. The Ordinance states that owners or occupants of commercial and high-density residential buildings are required to contract with a private hauler to provide recycling services. The City is required to provide buildings found in violation of this requirement 30 days to come into compliance. Continued noncompliance can result in fines. The Ordinance also requires private haulers to submit annual reports detailing the source, type, and amount of recyclables collected. Such information would assist DSS in calculating waste diversion rates, setting goals, and monitoring progress toward those goals.¹⁶ If private haulers do not submit the annual reports, DSS can notify BACP and prevent the renewal of the private hauler's business license.

In addition, OIG evaluated DSS' enforcement of reporting requirements for the City's licensed private haulers—companies engaged in hauling refuse and recyclables from commercial and high-density residential buildings. OIG found that DSS did not thoroughly enforce the Ordinance. DSS's Mobile Electronic Ticketing System (METS) did not allow DSS staff to issue citations for Ordinance violations, creating a significant barrier to enforcement. DSS did not maintain a list of commercial and high-density residential buildings subject to the Ordinance; further, DSS did not ensure that private haulers submitted complete, accurate, and timely annual reports detailing the buildings they served and the amount and type of materials hauled.

Based on the results of its audit, OIG recommended that DSS,

- configure METS to allow DSS staff to issue citations for violations of the Ordinance;

¹⁵ Published March 2, 2023. See <https://igchicago.org/2023/03/02/follow-up-to-oigs-audit-of-dss-commercial-and-high-density-recycling-enforcement/>.

¹⁶ The waste diversion rate—the percentage of waste generated that is diverted from landfills by recycling, reuse, composting, and other diversion means—is a key performance indicator in any recycling program.

- consistently record and monitor the outcomes of recycling inspections to determine, for example, whether building owners received 30-day notices and ultimately came into compliance or were issued citations;¹⁷
- develop a program, with the City's chief sustainability officer, to enforce the Ordinance proactively, in addition to responding to complaints;
- ensure that haulers submit complete, accurate, and timely reports;
- review each annual report and notify BACP of noncompliant haulers so that it can withhold renewal of the hauler's business license until the hauler files a complete report;
- develop procedures to incorporate private haulers' diversion data into a Citywide waste diversion rate;
- review the design of the annual report to ensure it supports the City's recycling goals; and
- ensure that private haulers report all customers who decline recycling services and consider requiring each hauler to submit a list of buildings it serves.

In May 2022, OIG inquired about corrective actions taken by DSS in response to the audit. Based on DSS's follow-up response, OIG concluded that DSS updated METS to allow issuance of citations for violations of the Ordinance; improved its monitoring of recycling inspections; and reminded private haulers to submit their annual reports by the required deadline. DSS worked with BACP to suspend the business licenses of private haulers who did not comply. OIG urged DSS to develop a proactive approach to enforcing the Ordinance and review the design of the annual hauler report to ensure that it captures the information necessary to assess whether the City is meeting its recycling goals. Additionally, DSS should ensure that private haulers submit accurate and complete reports, report customers who decline recycling services, and consider requiring private haulers to submit a list of buildings served.

2 | Second Follow-up to OIG's Audit of the Department of Human Resources Performance Evaluation Process (#C2022-000044057)¹⁸

OIG completed a second follow-up to its October 2020 audit of DHR's management of the performance evaluation process for City employees. Based on DHR's responses, OIG concluded that DHR had partially implemented two of the six corrective actions related to the audit findings and had not implemented the remaining four.

The purpose of OIG's 2020 audit was to determine whether DHR ensured that City departments evaluated their employees' performance periodically as required by Personnel Rule XIV, and, if so, whether the evaluation process aligned with national best practices. The audit found that DHR did not ensure that departments evaluated all employees. DHR had not clearly defined the roles and responsibilities related to periodic evaluations required by Personnel Rule XIV, nor did it ensure City departments' compliance with the rule.

As a result, 13 departments—among them comprised of more than 6,000 City employees—reported they did not conduct annual performance evaluations of all of their employees, and

¹⁷ People can make complaints about lack of required recycling services at commercial and high-density residential buildings through the 311 Call Center and the CHI311 app, this creates a work order in its software system, Salesforce. In response to the complaint, DSS staff inspect the building to determine whether there are recycling services. If not, DSS staff should issue a notice that the owner or occupants have 30 days to come into compliance. If the building is still not in compliance after 30 days, DSS staff should issue a citation.

¹⁸ Published March 15, 2023. See <https://igchicago.org/2023/03/15/2nd-follow-up-to-oigs-audit-of-dhr-performance-evaluation-process/>.

another 7 City departments—comprised of more than 10,000 employees—reported they did not conduct any performance evaluations whatsoever.

Based on the results of the audit, OIG recommended that DHR develop a Citywide performance evaluation system with standardized procedures to ensure annual evaluation of all employees, while still allowing for customization across the various departments. OIG further recommended that DHR conduct a staffing assessment to determine the number of staff needed to administer the evaluation system and consider implementing an automated evaluation process. Finally, OIG recommended that DHR revise Personnel Rule XIV to define performance evaluation expectations and responsibilities in a clear manner, and report on departmental compliance to the Mayor's Office. In its response to the audit, DHR described corrective actions it would take.

In May 2021, OIG inquired about corrective actions taken by DHR in response to the audit and determined that the Department had not implemented four of the six corrective actions, and partially implemented the remaining two. In its response to the original audit, DHR stated that it had identified ways to use existing City data systems to monitor departments' completion of annual evaluations, but at the time of OIG's first follow-up, the Department had not yet created or implemented a Citywide evaluation policy. DHR attributed this to technical issues and operational changes related to COVID-19 and stated its intention to issue a policy by the end of 2021.

In September 2022, OIG inquired again about corrective actions taken by DHR in response to the audit. Based on the Department's follow-up response, OIG concluded that the status remained the same; DHR had partially implemented two of the six corrective actions and not implemented the remaining four. DHR reported that the existing data systems it had intended to use for monitoring departments' completion of evaluations were determined to be inadequate. Therefore, it had begun the process of procuring a new IT system to record, track, and monitor performance evaluations. DHR had also added three new positions that focus on Strategic Management and Policy. The Department had not yet created or implemented a Citywide policy to define clear expectations for employee performance evaluations.

B | Advisories and Department Notification Letters

Advisories and department notification letters describe management problems observed by OIG sections in the course of its various oversight activities, which OIG determines to merit official notice to City or department leadership. OIG completed one advisory and four notifications this quarter.

1 | Advisory on Interdepartmental Coordination and the City's Administrative Officer Position (#C2022-000044054)¹⁹

In its recent inquiries, OIG has found a number of areas of inefficiency and ineffectiveness in City government attributable to poor or inadequate coordination among City departments.²⁰ In a January

¹⁹ Published March 21, 2023. See <https://igchicago.org/2023/03/21/advisory-on-interdepartmental-coordination-and-the-citys-ao-position/>.

²⁰ OIG is charged, among other duties, with promoting economy, efficiency, effectiveness, and integrity in the administration of the programs and operations of the City government by recommending policies and methods for the elimination of inefficiencies and waste. [MCC § 2-56-030\(c\)](#)

27, 2023 letter to the Mayor's Office, OIG advised of these findings and noted that the MCC requires that the Mayor appoint for confirmation by the City Council an administrative officer, among whose statutory duties is coordination among City departments. That position has not been filled during the present mayoral administration or during any recent predecessor administration.

Specifically, MCC § 2-4-020 states:

The mayor shall appoint, with the consent of the city council, an officer to be known as the mayor's administrative officer who shall serve at the pleasure of the mayor [...]

The mayor's administrative officer, subject to the direction and control of the mayor, shall supervise the administrative management of all city departments, boards, commissions, and other city agencies established by the code and the laws of this state.

In addition to such supervisory power, the mayor's administrative officer may, in [sic] respect to any or all agencies under his supervision, establish reporting procedures, require the submission of progress reports, provide for the coordination of the activities of such agencies, and shall perform such other administrative and executive functions as may be delegated by the mayor. He shall make periodic reports with such recommendations as he deems appropriate to the mayor concerning the administrative management of all departments, boards, commissioners, and agencies of the cities.

OIG suggested that, in order to improve efficiency, effectiveness, and the quality of services across City government by improving coordination among departments and in order to comply with the requirements of the MCC, the Mayor appoint and empower a City Council-confirmed administrative officer. Further, the administrative officer should assert their authority to coordinate departments across policy areas, establish performance measures for departments' implementation of policy priorities, and submit progress reports to the Mayor concerning the administrative management of City departments.

In her response, Mayor Lori Lightfoot "strongly dispute[d] [OIG's] observation that a lack of adequate communication and coordination among City departments has been a common or widespread problem at the root of various adverse events and inefficiencies" across the eleven recent inquiries summarized in OIG's letter. Mayor Lightfoot expressed the view that "it is questionable" whether the provision of MCC § 2-4-020 that "[t]he mayor shall appoint, with the consent of the city council, an officer to be known as the mayor's administrative officer" establishes a legal obligation for the Mayor.²¹ Further, the Mayor asserted that her administration has achieved

²¹ Notably, the suggestion that the word "shall" actually amounts to "may" in MCC § 2-4-020 is difficult to reconcile with the fact that Council chose to use the word "may" elsewhere in MCC Chapter 2-4, specifically in the provisions related to the Mayor's secretary and the Chief Risk Officer. See MCC § 2-4-050 ("The mayor may appoint a secretary, whose duty it shall be to preserve and keep in the mayor's office books and papers . . ."); MCC § 2-4-060 ("The Mayor may appoint an officer to be known as the Chief Risk Officer, who shall serve at the pleasure of the Mayor.").

such coordination “very effectively” under her own “organizational approach,” and characterized the structure prescribed by the MCC as “archaic and overly simplistic.”²²

In order to comply with the MCC and to improve the effectiveness and efficiency of the operations of the City, OIG continues to urge that an administrative officer be appointed for City Council confirmation and empowered to carry out the duties enumerated in the MCC.

2 | Notification Regarding City Council Transitions (#C2022-000044068)²³

OIG wrote to the Chair of the City Council Committee on Committees and Rules to note both a concern regarding transitions in City Council and an opportunity to provide guidance for incoming and outgoing members of the City Council.²⁴ Such guidance could ensure the orderliness of those transitions.

As of the writing of OIG’s letter, 16 alderpersons—an unusually large number, constituting 32% of Chicago City Council—had either left office or announced their intention to do so at the end of their term in May 2023. With these changes, six committees would require new chairs, three would require new vice chairs, and three would require both. With so substantial a percentage of City Council seats—and committee leadership seats—in transition, it is especially critical and urgent to equip incoming and outgoing members of the Council with clearly documented policies and procedures to ensure operational continuity in the coming months.

The MCC regulates, to varying degrees of detail,

- aldermanic expense allowance and vouchers;
- committee contingency expense allowance;
- recordkeeping requirements; and
- employee records.

On the issue of Council transitions, the MCC, in § 2-8-110, provides only that,

All items of personal property purchased by an alderman from his or her aldermanic contingency expense allowance are the property of the City of Chicago and are to be returned to the City of Chicago when no longer used by an alderman or an alderman’s staff in connection with the performance of the alderman’s official duties. In the event of a vacancy or change in the office of an alderman, any personal property purchased with City funds in the possession of the vacating alderman shall transfer to the alderman’s successor. If the successor alderman determines that use of any such personal property is no longer necessary, then such personal property shall be transferred to the City Council Committee

²² As noted in OIG’s letter, professional administrative management is associated with more efficient service delivery, organizational excellence, and innovation.

²³ Sent January 19, 2023.

²⁴ OIG addressed the letter to the Chair of the Committee on Committees and Rules, which has in its jurisdiction “the procedures of Council and its committees.” Other recipients included the Acting Chair of the Committee on Ethics and Government Oversight (with jurisdiction to review and hold hearings on OIG’s reports and audits), and the Chair of the Committee on Budget and Government Operations (with jurisdiction over “all matters concerning the organization, reorganization and efficient management of City government”). OIG determined each committee’s jurisdiction by reference to Council’s Rules of Order. City of Chicago Office of the City Clerk, “Rules of Order,” Rule 37, accessed January 17, 2023, <https://www.chicityclerk.com/rules-order>.

on Committees and Rules, and if not wanted by any other alderman, then to the Department of Assets, Information, and Services for treatment as surplus or salvage property.

If, on the one hundred and twentieth day after the end of the prior calendar year, any unexpended funds remain in an alderman's aldermanic contingency account, such unexpended funds shall be returned as property of the City of Chicago and shall be remitted to the City's Comptroller by the alderman within 10 days thereafter.

Sixteen newly elected alderpersons will be sworn in during the May 15th Council meeting. City Council, therefore, has an opportunity to develop and distribute guidance that would not only assist new alderpersons and committee chairs but also provide valuable operational direction to all its members, especially in light of the paucity of guidance provided in the MCC.

Pursuant to MCC § 2-8-120, "The Committee on Committees and Rules shall have the authority, subject to the approval of the City Council, to adopt such rules as are necessary for the effective implementation and enforcement of" the sections of the MCC addressing aldermanic expense allowance, council committee contingency expense allowance, recordkeeping requirements, and terms of office.

OIG urged City Council to develop and implement a transition process for alderpersons and committee chairs to assure the transfer of all City property to the incoming alderpersons and chairs, in accordance with the MCC. Furthermore, OIG suggested Council develop and implement procedures to otherwise ensure the smooth transition of power as alderpersons transition into and away from their positions.

OIG invited the Chair of the Committee on Committees and Rules to communicate any actions taken in response to the suggestions but received no response.

3| Notification Regarding Administrative Double Jeopardy (C2022-000044009)

OIG issued a notification to the Office of Public Safety Administration (OPSA) concerning administrative double jeopardy.

OIG received a complaint from OPSA alleging that an OPSA employee had submitted a falsified positive COVID-19 test, in order to request sick leave, in violation of the City's Personnel Rules. However, OIG's investigation determined that OPSA issued a written warning to the employee for the incident prior to filing a complaint with OIG. As such, OPSA had already issued discipline to the accused employee and any subsequent discipline pursuant to an OIG finding for the same misconduct would likely be barred under the theory of administrative double jeopardy.

OIG recommended that OPSA confer with OIG prior to taking any action, including but not limited to, issuing discipline, regarding allegations of misconduct which OPSA has or will refer to OIG for investigation.

In response, OPSA agreed to follow OIG's recommendation. Specifically, OPSA agreed to confer with OIG prior to taking any action, disciplinary or otherwise, related to allegations of misconduct that OPSA has or will refer to OIG for investigation. OPSA noted that after receiving OIG's notification, it communicated with OPSA senior staff and provided instructions to avoid a similar situation in the future.

4 | Notification to the Chicago Police Department Regarding Deficits in Performance-Related Documentation for Exempt Members (C2022-000042262)

OIG issued a notification to CPD concerning deficits in the documentation of performance evaluations for exempt members and in the manner in which CPD documents personnel decisions. During a misconduct investigation, OIG learned of CPD's position that it is not required that any performance-related documentation be placed in an exempt member's personnel file prior to any negative job action. According to CPD, positions above captain are appointed by the Superintendent and exempt from the provisions of any collective bargaining agreements. OIG also learned that CPD does not consistently perform performance evaluations for exempt members.

CPD's Employee Resource E05-01, "Performance Evaluations of All Sworn Members Below the Rank of Superintendent," notes that CPD "is committed to ensuring the evaluations of all full-time employees are conducted and documented annually," and that among the purposes of doing so is to "standardize the nature of the personnel decision-making process." E05-01 further states that "ongoing coaching and feedback provides supervisors with opportunities throughout the year to communicate early to members any significant problems that exist and to provide advice and guidance to correct those problems." OIG found that in the absence of documented performance evaluations, CPD is unable to meet the goals and purposes set out in E05-01. Furthermore, in the absence of any record of the circumstances—performance-related or otherwise—leading to a personnel decision or the rationale for it, CPD leadership is vulnerable to the appearance of capricious or arbitrary decision-making.

In the interest of internal transparency, in pursuit of an accountable workforce, and to realize the goals and purposes set out in its own policy, OIG recommended that CPD ensure systematic compliance with E05-01 to ensure that appropriate documentation of the circumstances leading to and rationale for personnel decisions. In response, CPD concurred with OIG's recommendation and stated that it will take the necessary steps to implement this recommendation.

5 | Notification to the Chicago Police Department Regarding Recordkeeping of Department Awards (C2022-000042443)

OIG issued a notification to CPD regarding inadequate recordkeeping of members' award histories. During an OIG investigation, CPD was unable to provide a full record of a member's award history after searching the CLEAR system, CPD's internal records, and the member's personal documents.

CPD's Special Order S01-01 requires that "all approved Department awards are maintained in the CLEAR Automated Department Award System for each recipient" and prohibits CPD members from wearing a ribbon bar unless the award associated with that ribbon bar is acknowledged in the member's complimentary history. CPD relies upon members' disciplinary and commendation records when making personnel decisions, so the accuracy of award records is especially significant.

OIG recommended that CPD ensure that it maintains accurate, complete, and up-to-date award histories in CLEAR for all CPD members, that members display on their uniforms only ribbons associated with awards reflected in their CLEAR records, and that it enforces Special Order S01-01 which governs department awards.

In response, CPD concurred, in part, with OIG’s recommendations. CPD agreed that award histories should be accurate and up to date in the CLEAR system for awards given after the implementation of CLEAR in 2005. CPD asserted that it would require significant manpower to enter all awards given prior to 2005 into the CLEAR system and that it would be “fundamentally unfair” to deny awards or not allow officers to display awards that they earned before 2005. Finally, CPD agreed that Special Order S01-01 should be enforced and stated that it will work to ensure that it is being properly enforced.

C | Other Reports and Activities

In the service of its mission to promote economy, effectiveness, efficiency, and integrity, OIG may periodically participate in additional activities and inquiries, outside of the other categories identified here, to improve transparency and accountability in City government, and may from time to time issue additional reports.

1 | Close-Out and Status Report of the Chicago Procurement Reform Task Force (PRTF)²⁵

On February 21, 2023, OIG released its evaluation of the implementation of recommendations of the Chicago Procurement Reform Task Force (PRTF). Established in 2015, the PRTF identified opportunities for the City of Chicago and its sister agencies to work together to establish and implement best practices for procurement operations. In November 2022, the Chief Procurement Officer (CPO) Committee charged with implementing the PRTF’s recommendations had issued a close-out report, declaring its work complete despite not having implemented three of the most critical recommendations: to create a single website providing contracting information and guidance from all participating governmental entities (#7); to adopt best practices for routine audits of procurement processes, ideally using shared services to that end (#19); and to implement a universal procurement system—a single point of entry for posting and responding to all participants’ contracting opportunities (#28).²⁶

In its evaluation, OIG acknowledged that the PRTF performed important public service in 2015 by closely scrutinizing the purchasing processes of the City and its sister agencies, and offering clear and comprehensive recommendations for collaborative improvement and reform, and that the participants had expended considerable time and resources between 2016 and 2019 to implement those recommendations. Beginning in 2020, however, the initiative languished, and reporting obligations went unmet. By its terms, the participants’ agreement to undertake the PRTF project contemplated that it could take up to nine years to complete. Despite this, the CPO Committee elected to stop short of the finish line without providing a clear explanation for doing so, abandoning significant investments of time and resources and failing to live up to PRTF’s mission and goals.

²⁵ Published February 21, 2023. See <https://igchicago.org/wp-content/uploads/2023/02/OIG-on-Implementation-of-Recommendations-PRTF-1.pdf>.

²⁶ On February 22, 2023, the CPO Committee informed OIG that it had provided the incorrect website in its close-out report and, for the first time, provided a new address for the Chicago Procurement Information website. OIG noted this updated information regarding Recommendation #7 on its website. Post-Close-Out Update posted March 8, 2023. See <https://igchicago.org/wp-content/uploads/2023/03/PRTF-Post-Close-Out-Update-March-2023-1.pdf>.

D | Monitoring Employment Actions

OIG's Compliance unit, situated within its Legal section, has broad oversight responsibilities under the Employment and Hiring Plans which govern the employment practices of the City, CPD, and the Chicago Fire Department (CFD). The Compliance unit came into formal existence as a product of an evolving partnership between OIG and the court-appointed monitor overseeing the City's hiring and promotion practices under the decree entered in *Shakman, et al. v. City of Chicago, et al.*, No. 69-cv-2145 (N.D. Ill.). From spring 2010 through spring 2014, the OIG-*Shakman* Monitor partnership gradually transitioned from the court-appointed Monitor to OIG for both administrative disciplinary investigative and program compliance and monitoring activities. That transition was completed in June 2014 with the court's finding the City in substantial compliance with the *Shakman* decree.

The Compliance unit's responsibilities are specific to monitoring the City's employment actions, and include issuing guidance, training, and program recommendations to City departments on a broad and complex array of employment-related actions; monitoring human resources activities including hiring and promotion; performing legally-mandated and discretionary audits; and reviewing the City's hiring and employment practices to ensure compliance with applicable rules.

OIG performs quarterly reviews and audits of data regarding the hiring processes to identify Employment Plan violations or errors. As defined in the Employment Plan, a review involves a check of all relevant documentation and data concerning a matter, while an audit is a check of a random sample or risk-based sample of the documentation and data concerning a hiring element. Employment Plan violations are actions and/or behaviors that are not in compliance with the City's Employment and Hiring Plans. Errors are deviations in processes that are not Employment Plan violations, but actions and/or behaviors that differ from established departmental processes.

The following section includes information on these activities and others on which OIG is required to report pursuant to the Employment and Hiring Plans and MCC § 2-56-035.

1 | Hiring Process Reviews

a | Contacts by Hiring Departments

OIG tracks all reported or discovered instances where hiring departments contacted DHR to lobby for or advocate on behalf of actual or potential applicants or bidders for positions that are not exempt from the requirements of the *Shakman* decree ("covered positions") or to request that specific individuals be added to any referral or eligibility list. During this quarter, OIG received notification of one direct contact occurrence.

b | Political Contacts

OIG tracks all reported or discovered instances where elected or appointed officials of any political party or any agent acting on behalf of an elected or appointed official, political party, or political organization contacted the City attempting to affect any hiring for any covered position or other employment actions.

Additionally, City employees often report contacts by elected or appointed officials that may be categorized as inquiries on behalf of their constituents, but not as an attempt to affect any hiring

decisions for any covered position or other employment actions. During this quarter, OIG received notice of one political contact that was related to one applicant:

Table 11: Political Contacts Received in Q1

Elected or Appointed Official (Position)	Reported By (Department or Title)	Reason for Contact
Interim Commissioner	General Counsel	Interim Commissioner made a recommendation for hire because she believed the position was <i>Shakman</i> -Exempt

c | Exempt Appointments

OIG tracks all reported or discovered *Shakman*-exempt appointments and modifications to the Exempt List on an ongoing basis.²⁷ During this quarter, OIG received notification of 22 exempt appointments.

d | Senior Manager Hires

OIG may review in-process hires pursuant to Chapter VI of the City's Employment Plan covering the Senior Manager Hiring Process. During this quarter, OIG reviewed six hiring packets and found one violation and one error.

e | Discipline, Arbitrations, and Resolution of Grievances by Settlement

OIG receives notifications of disciplinary decisions, arbitration decisions, and potential grievance settlement agreements that may impact the procedures outlined in the City's Employment Plans. This quarter, OIG did not receive from DHR any disciplinary decisions, arbitration decisions, or settlement agreements that may impact the procedures outlined in the City's Employment Plans.

f | Modifications to Class Specifications,²⁸ Minimum Qualifications, and Screening and Hiring Criteria

OIG may review modifications to class specifications, minimum qualifications, and screening and hiring criteria. This quarter, OIG received notification that hiring departments proposed modifications to the minimum qualifications for six titles within the following departments: DFSS, Department of Assets, Information, and Services (AIS), CDA, OPSA, and CDPH. OIG reviewed the proposed changes to minimum qualifications and expressed concern for one title within DFSS.

DFSS proposed to modify the minimum qualifications for a Senior Manager position to require work experience in Human, Homeless, or Refugee Resettlement/Immigrant services sector. In response, OIG inquired whether DFSS should restrict the areas of work experience which could potentially diminish an applicant pool. DFSS concurred with OIG's recommendation and said that it would consider a broader array of service sectors when screening applicants.

²⁷ An exempt position is a City position to which the requirements governing covered positions do not apply. These positions are cataloged on the Exempt List.

²⁸ According to the Employment Plan, "Class specifications" are descriptions of the duties and responsibilities of a class of positions that distinguish one class from another. They are, in effect, the general descriptions utilized to determine the proper level to which a position should be assigned, and they include the general job duties and minimum qualifications of the position. Class specifications shall include sufficient detail so as to accurately reflect the job duties.

g | Selected Hiring Sequences

Reviewing hiring sequences requires an examination of hire packets, which include all documents and notes maintained by City employees involved in the selection and hiring process for a particular position. As required by the Employment Plan, OIG examines some hire packets during the hiring process and examines other packets after the hires are completed. This quarter, OIG completed reviews of nine hiring sequences across five City departments that were completed within the quarter. OIG selected these hiring sequences based on risk factors such as past errors and complaints.

The table below details the hire packet reviews completed by OIG this quarter.

Table 12: Hiring Sequences Reviewed in Q1

Department	Title	Findings	OIG Recommendation	Department Action
Department of Transportation	Deputy Commissioner	No Error or Violation Found	N/A	No Response Required
Department of Transportation	Field Service Specialist III	No Error or Violation Found	N/A	No Response Required
Chicago Public Library	Librarian – Teen Districts 1-6	No Error or Violation Found	N/A	No Response Required
Office of Emergency Management and Communications	Supervising Police Communications Operator	Violation	All City departments provide notice to DHR and OIG within two days of making the determination that an internal candidate will be passed over due to the Attendance and Disciplinary policy	No Response Required
Department of Streets and Sanitation	Refuse Collection Coordinator	No Error or Violation Found	N/A	No Response Required
Department of Streets and Sanitation	Assistant General Superintendent	No Error or Violation Found	N/A	No Response Required
Department of Streets and Sanitation	Assistant General Superintendent	No Error or Violation Found	N/A	No Response Required
Chicago Department of Aviation	Operating Engineer – Group C	No Error or Violation Found	N/A	No Response Required

Chicago Department of Aviation	Stationary Fireman	No Error or Violation Found	N/A	No Response Required
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h | Review of Contracting Activity

OIG is required to review City departments' compliance with the City's Contractor Policy (Exhibit C to the City's Employment Plan). Per the Contractor Policy, OIG may choose to review any solicitation documents, draft agreements, final contracts, or agreement terms to assess whether they are in compliance with the Contractor Policy. This review includes analyzing contracts for common-law employee risks and ensuring the inclusion of *Shakman*-related boilerplate language.

Under the Contractor Policy, departments are not required to notify OIG of all contracts or solicitation agreements or task orders. However, all contracts and solicitation agreements of which OIG receives notice may be reviewed. In addition, OIG will request and review a risk-based sample of contract documents from departments. This quarter, OIG did not review any contracts.

2 | Hiring Process Audits

a | Referral Lists

A referral list includes applicants/bidders who meet the predetermined minimum qualifications generated by DHR for City positions. OIG may audit this list by examining a sample of referral lists and notifying DHR when potential issues are identified. This quarter, OIG concluded an audit in which it did not identify any errors or violations.

b | Testing

OIG may conduct an audit of DHR test development, administration, and scoring each quarter.²⁹ This quarter, OIG did not initiate any new test administration audits. OIG continues to audit one test administration from the fourth quarter of 2022.

c | Selected Hiring Sequences

Each quarter, OIG may audit in-process and completed hiring sequences conducted by the following departments or their successors: AIS, CDA, DOB, DSS, the Department of Transportation (CDOT), DWM, and six other City departments selected at the discretion of OIG. For 2023, OIG selected the following six additional departments: Chicago Treasurer's Office, Office of the City Clerk, CDPH, OPSA, OEMC, and DFSS.

Auditing the hiring sequence requires an examination of hire packets, which include all documents and notes maintained by City employees involved in the selection and hiring process for a particular position. As required by the Employment Plan, OIG examines some hire packets during the hiring process and examines other packets after the hires are completed. This quarter, OIG initiated an audit of one completed hiring sequence and found one violation.

OIG also concluded an audit that was initiated during the fourth quarter of 2022 and found one violation.

²⁹ A "test administration" is complete when a test has been administered and the final candidate scores have been sent from the DHR Testing Division to the DHR Recruiting Division for candidate selection and processing.

d | Selected Department of Law Hiring Sequences

Pursuant to Section B.7 of the DOL Hiring Process, OIG has the authority to audit DOL hiring packets. Hiring packets include assessment forms, notes, documents, written justifications, and hire certification forms. In 2018, DOL became the repository for all documentation related to the hiring sequences for the titles covered by the DOL Hiring Process. This quarter, OIG did not conduct any audits of DOL hiring packets.

e | Monitoring Hiring Sequences

In addition to auditing hire packets, OIG monitors hiring sequences as they progress by attending and observing intake meetings, interviews, tests, and consensus meetings. The primary goal of monitoring hiring sequences is to identify any gaps in internal controls. However, real-time monitoring also allows OIG to detect and address compliance issues as they occur.

OIG identifies the hiring sequences to be monitored based on risk factors such as past errors, complaints, and historical issues with particular positions. This quarter, OIG monitored 46 hiring sequences across 14 City departments. The table below shows the breakdown of monitoring activity by department.³⁰ OIG identified two errors and two violations within four hiring sequences within four City departments.

Table 13: Hiring Sequences Monitored in Q1 2023

Department	Intake Meetings Monitored	Tests Monitored ³¹	Interview Sets Monitored ³²	Consensus Meetings Monitored
Administrative Hearings	0	0	1	0
Aviation	2	1	3	1
Business Affairs and Consumer Protection	0	0	0	1
Chicago Police Department	2	1	5	2
Chicago Fire Department	0	0	3	1
City Clerk	0	0	1	0
Cultural Affairs and Special Events	0	0	0	1
Family and Support Services	0	0	1	0
Office of Inspector General	0	0	2	2
Department of Law	0	0	1	0
Mayor's Office	0	0	0	1
Public Health	4	0	4	3
Public Safety Administration	0	0	0	1
Department of Transportation	0	0	0	2

³⁰ If a department is not included in this table, OIG did not monitor any elements of that department's hiring sequence(s).

³¹ Tests monitored are totaled by exam type, i.e. Police Officer, Detective, etc.; not total number of tests monitored for exam type.

³² Interview Sets Monitored are totaled by positions monitored; not total number of interviews monitored.

f | Selected Chicago Police Department Assignment Sequences

Pursuant to Chapter XII of the CPD Hiring Plan for Sworn Titles, OIG has the authority to audit non-hiring employment actions, including district or unit assignments, as it deems necessary to ensure compliance with this Hiring Plan. Generally, OIG audits assignments that are not covered by a collective bargaining unit and which are located within a district or unit.

Assignment packets include all documents and notes maintained by employees involved in the selection processes outlined in Appendix D and E of the CPD Hiring Plan. On a quarterly basis, OIG selects a risk-based sample of assignment packets for completed process review after selections have been made and the candidates have begun their assignments.

This quarter, OIG completed one audit and found one violation.

g | Selected Chicago Fire Department Assignment Sequences

Pursuant to Chapter X of the CFD Hiring Plan for Uniformed Positions, OIG has the authority to audit non-hiring employment actions, including assignments, “as it deems necessary to ensure compliance with [the] CFD Hiring Plan.” Assignment packets include all documents utilized in a specialized unit assignment sequence, including, but not limited to, all forms, certifications, licenses, and notes maintained by individuals involved in the selection process. OIG selects a risk-based sample of assignment packets for completed process review after CFD issues unit transfer orders and candidates have begun their new assignments.

This quarter, OIG completed 5 audits and found 13 violations.

h | Acting Up³³

OIG audits compliance with Chapter XIII of the City’s Employment Plan and the Acting Up Policy. This quarter, OIG received five DHR-approved waiver requests to the City’s 90-Day Acting Up limit.³⁴

3 | Other Compliance Activity

a | Escalations

Recruiters, classification analysts, and testing administrators in DHR must escalate concerns regarding improper hiring by notifying OIG. In response to these notifications, OIG may take one or more of the following actions: investigate the matter, conduct a review of the hiring sequence, refer the matter to the DHR commissioner or appropriate department head for resolution, or refer the matter to the OIG Investigations section.

This quarter, OIG received six new escalations. One escalation has been resolved and five escalations are currently pending. Summaries of the resolved escalations are provided below. A

³³ “Acting Up” means an employee is directed or is held accountable to perform, and does perform, substantially all the responsibilities of a higher position.

³⁴ Pursuant to the Acting Up Policy, no employee may serve in an acting up assignment in excess of 90 days in any calendar year unless the department receives prior written approval from DHR. The department must submit a waiver request in writing signed by the department head at least 10 days prior to the employee reaching the 90-day limitation. If the department exceeds 90 days of Acting Up without receiving a granted waiver request from DHR, the department is in violation of the Policy.

summary of an escalation received in the fourth quarter of 2022 that was awaiting a response from the DHR Commissioner is also provided below.

Summaries for the pending escalations received in this quarter will be provided in a future quarterly.

Table 14: Compliance Escalations Reviewed in Q1 2023

Escalation Status	Number of Escalations
Newly Initiated	6
Pending	5
Closed with Investigation	0
Closed without Investigation ³⁵	1

1. DWM, Filtration Engineer (2023-000002224)

On March 7, 2023, OIG received notice from a DHR recruiter that an escalation occurred during the interview phase of the hiring sequence in which it was reported that a City employee violated the City's Employment Plan by discussing questions from the interview for the above-referenced position.

OIG reviewed the hiring sequence and found that it did not violate the Employment Plan because the applicants or candidates to whom the interview questions were disclosed had either completed their interview or were not scheduled to interview. DHR reported self-initiated action taken as a precaution that entailed re-ordering the interview questions prior to interviewing the final candidate. OIG concurred that the hiring sequence could move forward and made no further recommendations.

2. Department of Finance (DOF), Payroll Administrator (2022-000072717)

On October 14, 2022, OIG received notice from the DHR Commissioner that an escalation occurred during the interview phase of the hiring sequence. A DHR Recruiter discovered that pre-approved interview questions were not used during candidates' interviews.

OIG reviewed the hiring sequence and found that it did violate the Employment Plan because the questions used during the interviews were situational and behavioral interview questions – not job-specific as required by the Employment Plan. In further assessing the hiring sequence, OIG found that because the department did not use the pre-approved interview questions, it is unclear whether the non-bidder applicant had demonstrated greater skill and ability required by the representative collective bargaining agreement. OIG recommended that if the position is later reposted that the department consider the previous senior bidder and place a copy of the submitted memorandum in the hiring file. Pursuant to the Employment Plan, DHR was to respond to OIG's recommendations with any actions taken within 30 days of receipt of the recommendation but has not provided such response.

³⁵ Escalations categorized as Closed without Investigation are received by OIG with a self-initiated remedy from the DHR Commissioner. The escalation is considered closed after OIG reviews the escalation and concurs with the remedy issued by DHR with no further recommendations made by OIG.

b | Processing of Complaints

OIG receives complaints regarding the City's hiring and employment processes, including allegations of unlawful political discrimination and retaliation and other improper considerations in connection with City employment. Compliance-related complaints may be resolved in several ways, depending on the nature of the complaint. If there is an allegation of an Employment Plan violation or breach of a policy or procedure related to hiring, OIG may open an inquiry into the matter to determine whether such a violation or breach occurred. If a violation or breach is sustained, OIG may make corrective recommendations to the appropriate department or may undertake further investigation. If, after sufficient inquiry, no violation or breach is found, OIG will close the case as Not Sustained. If, during an inquiry, OIG identifies a non-Compliance-related process or program that could benefit from a more comprehensive audit, OIG may consider a formal audit or program review.

The table below summarizes the disposition of Compliance-related complaints received this quarter.

Table 15: Compliance Complaints Reviewed in Q1 2023

Complaint Status	Number of Complaints
Newly Initiated	20
Pending	12
Declined	7
Referred to Dept or DHR	1



The City of Chicago Office of Inspector General is an independent, nonpartisan oversight agency.

The authority to perform this inquiry is established in the City of Chicago Municipal Code §§ 2-56-030 and -230, which confer on OIG the power and duty to review the programs of City government in order to identify any inefficiencies, waste, and potential for misconduct; to promote economy, efficiency, effectiveness, and integrity in the administration of City programs and operations; and, specifically, to review the operations of CPD and Chicago's police accountability agencies. Further, Paragraph 561 of the consent decree entered in *Illinois v. Chicago* requires OIG's Public Safety section to "review CPD actions for potential bias, including racial bias." The role of OIG is to review City operations and make recommendations for improvement. City management is responsible for establishing and maintaining processes to ensure that City programs operate economically, efficiently, effectively, and with integrity.

For further information about this report, please contact the City of Chicago Office of Inspector General, 740 N. Sedgwick Ave., Suite 200, Chicago, IL 60654, or visit our website at igchicago.org.

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