



OFFICE OF INSPECTOR GENERAL
City of Chicago



REPORT OF THE OFFICE OF INSPECTOR GENERAL:

***DEPARTMENT OF HUMAN RESOURCES AND
OFFICE OF BUDGET AND MANAGEMENT
HIRING TIMELINESS AUDIT***

DECEMBER 2015

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December 22, 2015

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

The City of Chicago Office of Inspector General (OIG) has completed an audit of the City's hiring process for fiscal year 2013 to determine the timeliness of the City's processes for filling employment vacancies. We found that the City lacked official performance goals for the timeliness of the full hiring process and did not track the time-to-hire for vacancies. Our analysis found that in 2013 it took the City an average of 176 days to fill vacant positions, while many appropriated positions remained unfilled over the course of the entire year.

The City's hiring process requires a coordinated effort by the Department of Human Resources (DHR), which works with departments to conduct the hiring process, and the Office of Budget Management (OBM), which approves a department's request to start the hiring process. In addition, each year OBM estimates an expected employee turnover amount (i.e., the time that the position is vacant and thus no salary or wages are paid) for each department. OBM reduces each department's personnel budget by the turnover amount and works with the department on an annual plan to fill vacancies.

The City generally required departments to achieve OBM's estimated annual turnover amount early in the year, rather than spreading it out over the course of the entire year. Specifically, budgetary hiring plans approved by OBM at the beginning of the year as a safeguard against departments exceeding their personnel budgets led departments to delay hiring by an average of 100 days. Further analysis revealed that,

- hires occurred on average 78 days after the scheduled hire date set in budgetary hiring plans. Although departments submitted hiring requests an average of 33 days before the scheduled hire date, the average hiring process took approximately 101 days; and
- nearly one-third of new hires started work more than 120 days after departments initiated the hiring process. DHR's lack of formal standards and processes to track actual hiring times rendered it unable to identify specific points and causes of delay.

OIG recommends that OBM evaluate whether its method of managing personnel-related expenses needlessly prevents departments from maintaining necessary staffing levels to operate effectively. We also recommend that DHR set official time-to-hire goals and implement procedures to identify, measure, and remedy hiring delays. A lengthy hiring process may hinder operational effectiveness and discourage high-quality job applicants. If the City wishes to improve the speed of the hiring process and meet departments' operational needs, it should

reliably record and analyze data on the many steps in the hiring process in order to identify opportunities for streamlining the process.

We thank the management and staff of OBM and DHR for their cooperation during this audit.

Respectfully,

A handwritten signature in blue ink, appearing to read 'J. Ferguson', is positioned above the typed name.

Joseph M. Ferguson
Inspector General
City of Chicago

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I. EXECUTIVE SUMMARY

The Office of Inspector General (OIG) conducted an audit of the City of Chicago's hiring process. The audit reviewed hires completed in 2013.¹

The objective of the audit was to determine if the City filled vacant positions in a timely manner.

Hiring a City employee involves two overlapping processes:

- **Budgetary Hiring Plan:** The annual personnel budget for each City department includes a gross amount for all budgeted positions, reduced by an estimated personnel turnover amount calculated by the Office of Budget and Management (OBM).² The net of these two amounts is approved by the City Council in the annual appropriation ordinance, typically in November, for the fiscal year beginning January 1.³ Generally, during the last quarter of each year, OBM requires departments to submit a budgetary hiring plan—a proposed staggered schedule of hire dates for vacancies known or expected at January 1—that will ensure the department realizes its budgeted turnover amount.⁴ OBM then reviews and, as appropriate, revises and eventually approves each department's budgetary hiring plan. OBM stated that some departments are not required to follow the budgetary hiring plan process. Those departments include the Office of the Mayor, City Treasurer, and City Clerk.
- **Hiring Process:** Hiring departments request OBM's approval to begin the hiring process for each position they seek to fill. OBM evaluates the request for, among other things, its compliance with the OBM-approved department budgetary hiring plan. OBM stated that the approval process may vary for departments with high turnover and/or recruiting difficulty. After OBM's approval, the departments work with the Department of Human Resources (DHR) to post each job opening, identify and interview candidates, and fill vacancies.

OIG found that it took the City an average of 176 days to fill vacant positions. Further analysis revealed the following three factors contributed to the six-month average time-to-hire:

1. The budgetary hiring plans required departments to delay hiring by an average of 100 days in order to ensure that they did not exceed their net personnel appropriations.

¹ We excluded sworn police officers, Board of Elections staff, and other positions listed in the Scope section of this report from analysis because the hiring processes as described to OIG were not comparable.

² OBM uses each department's hiring and vacancy history, as well as an assessment of the department's operational needs, to estimate an expected employee turnover amount. The turnover amount represents the dollar value of the time between an employee leaving City employment and a new employee being hired—i.e., the time that the position is vacant and thus no salary or wages are paid. OBM reduces each department's gross personnel budget by the turnover amount, resulting in a net personnel appropriation that is less than the total salaries and wages budgeted for all of a department's positions.

³ See Appendix A for an example of an appropriation ordinance page showing a department's net personnel appropriation.

⁴ See Appendix B for an example of a budgetary hiring plan template and instructions.

2. Although the average hiring process took 101 days (see below), departments submitted hiring requests on average only 33 days prior to the scheduled hire date. As a result, employees were hired on average 78 days after the scheduled hire date. Neither DHR nor OBM provided guidance to departments regarding when to submit hiring requests in order to hire on or about the first allowable date for filling the position specified under the OBM-approved budgetary hiring plan.
3. An average of 101 days elapsed between the hiring department's request to hire and the new employee starting work. Nearly one-third of new hires started work more than 120 days after the department's hiring request. DHR had no formal process to track actual hiring times and was unable to identify specific points and causes of delay.

OIG concluded that a significant portion of the six month time lapse to fill a vacancy, which was intended to keep annual personnel spending within City Council appropriations, in fact reduced personnel spending below City Council appropriation amounts to the potential operational detriment of City departments. In addition, the City has not set formal performance goals for the timeliness of the full hiring process and does not otherwise track the time-to-hire for the filling of departments' vacancies. Finally, it does not have procedures in place to identify or measure delays and it has not established guidelines to assist departments in timing their hiring requests to meet the scheduled hiring dates set out in their respective OBM budgetary hiring plans.

To ensure transparency and provide clear communication to departments so that they may anticipate operational impact, OIG recommends that OBM formally and expressly communicate to hiring departments any denial of a hiring request and the reason for the denial, rather than allowing denied requests to remain in a status signifying they were still awaiting OBM approval. In addition, OIG recommends that OBM reconsider requiring departments to postpone filling vacancies until they have achieved their budgeted turnover amount. This practice forces departments to delay hiring into vacant positions and to operate with less than the turnover-adjusted *net* personnel budgets appropriated to them by the City Council. OBM should consider ways to adjust the process, allowing hiring to occur consistent with departments' operational needs over the course of a fiscal year, and thereby reduce the adverse impact to the operational effectiveness of City departments that may result. OBM could also seek alternative ways to prevent departments from overspending on personnel, intervening only with those departments that are at risk of running over budget.

We also recommend that DHR work with OBM to define time-to-hire goals that include all relevant hiring process activities. DHR should develop procedures to measure hiring process steps in order to identify and remedy sources of delay. DHR should compare actual time-to-hire to the goal for each hire, analyze the results by department, and share its findings with the departments.⁵ If OBM continues to control departmental spending by enforcing scheduled hire dates, this guidance from DHR could assist departments in determining when to submit hiring requests in order to hire employees on the scheduled hire dates.

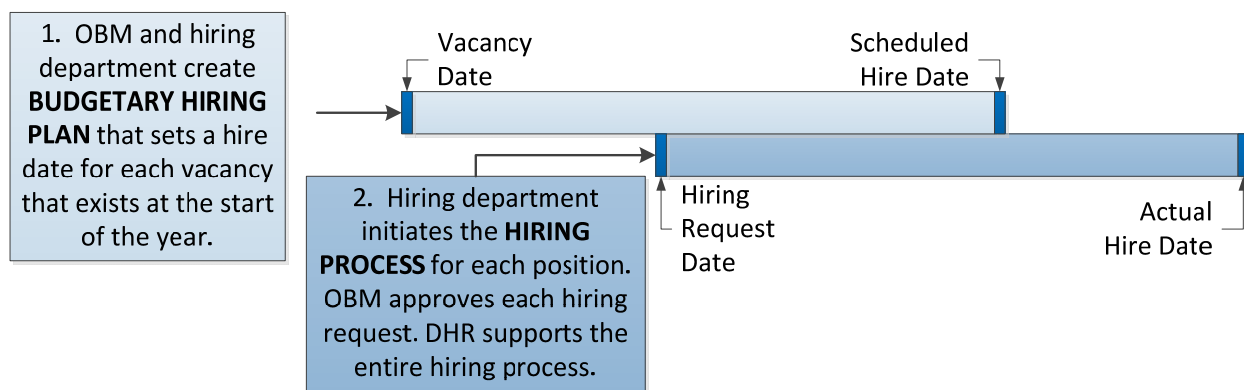
⁵ Appendix E provides time-to-hire measurements by department calculated by OIG.

In response to our audit findings and recommendations, OBM disagreed and did not propose changes to the budgetary hiring plan process. OBM stated that its current methods for communicating with hiring departments are sufficient, and that it appropriately delays hiring into certain positions in order to control costs. Furthermore, OBM said that the dates used to calculate timeliness in the audit did not adequately capture the range of decisions made by OBM, DHR, and the hiring departments. OIG maintains that we used the appropriate dates, as confirmed by OBM during the course of the audit, and that it is important to measure the impact of the budgetary hiring plan on overall hiring timeliness. OIG had sought to identify specific points of hiring delays and speak with relevant hiring departments, but found it was not possible because the necessary information was not consistently documented. DHR partially agreed with OIG, stating that it would implement new methods for tracking milestones in the hiring process and identifying sources of delay. Such analysis would not, however, consider the amount of time the position was vacant with no action taken or from the time the hiring department submitted a hiring request until OBM approved it and forwarded it to DHR. DHR also committed to setting a time-to-hire goal for each hiring sequence in collaboration with the hiring department. The specific recommendations related to the finding, and management's response, are described in the "Findings and Recommendations" section of this report.

II. BACKGROUND

The City’s hiring process requires a coordinated effort by OBM, DHR, and the department-level hiring personnel. OBM’s primary role is to monitor personnel costs and ensure that they do not exceed department-level turnover-adjusted appropriations. DHR recruits and screens candidates on behalf of hiring departments. Hiring departments select from the pool of candidates provided by DHR.

Hiring an employee involves two overlapping processes. First, OBM and the hiring department create a budgetary hiring plan with scheduled hire dates for vacant positions. Second, DHR and the hiring department work together to post the job opening, identify and interview candidates, make an offer, and fill the position. These two core processes are illustrated below and detailed in the following sections.



Source: OIG depiction of processes as described by OBM and DHR.

A. **The Budgetary Hiring Plan**

During the last quarter of each year, OBM generally⁶ requires City departments to develop a budgetary hiring plan for the upcoming year.⁷ OBM uses a department’s hiring and vacancy history, as well as an assessment of the department’s operational needs, to estimate an expected employee turnover amount. The turnover amount represents the dollar value of the time between an employee leaving City employment and a new employee being hired—i.e., the time that the position is vacant and thus no salary or wages are paid. OBM reduces each department’s gross personnel budget by the turnover amount, resulting in a net personnel appropriation that is less than the total salaries and wages budgeted for all of a department’s positions.⁸

⁶ OBM stated that some departments are not required to follow the budgetary hiring plan process. Those departments include the Office of the Mayor, City Treasurer, and City Clerk.

⁷ The budgetary hiring plan described in this report should not be confused with the City of Chicago’s Hiring Plan, which “sets forth the general principals which govern most of the hiring by the City of Chicago” and is available on DHR’s website: http://www.cityofchicago.org/city/en/depts/dhr/supp_info/hiring_plans.html.

⁸ Departmental personnel budgets include salaries and wages but not employee benefits. Benefits are budgeted separately in the City’s Finance General budget category. Therefore, the full cost of a position is not reflected in each department’s budget. City of Chicago, Office of Budget and Management, “2015 Budget Overview,” November 2014, 123, accessed May 22, 2015,

http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2015Budget/OV_book_2015_ver_11-24.pdf.

The City Council approved \$2.544 billion of salary and wages for 32,165 positions in the 2013 Annual Appropriation and Grant Detail Ordinances. The total budgetary turnover amount was \$73.2 million, resulting in a net personnel appropriation of \$2.471 billion, as shown below.⁹

Full Salaries and Wages	\$ 2,544,477,871
Budgetary Turnover Amount	\$ (73,151,984)
Net Appropriation for Salaries and Wages	\$ 2,471,325,887

Budgeting for expected turnover amounts is an accepted government practice. For instance, 10 of 11 states that responded to a 2012 request by the National Association of Legislative Fiscal Officers stated that they reduce their personnel budget by an estimated turnover amount based either on a universally applied estimated turnover rate, or on estimated turnover rates specific to each component department or agency.¹⁰ The Government Finance Officers Association *Best Practice on Effective Budgeting of Salary and Wages* recommends that governments set policies to account for anticipated vacancies in personnel budgets.¹¹

Once OBM determines a department's turnover amount, it requires the department to propose a budgetary hiring plan that sets an earliest eligible hire date for each known vacant position in a manner that will "salvage"¹² an amount of salaries and wages equal to the budgeted turnover amount. Known vacancies include existing positions that are vacant at the end of the year and new positions approved in the Annual Appropriation Ordinance. When unanticipated vacancies occur during the year, departments may amend their budgetary hiring plans with OBM.

Scheduled hire dates for vacancies existing at the beginning of the fiscal year are staggered in order to postpone salary costs and ensure that departments meet their net personnel appropriations. In essence, this forces departments to realize the *estimated* turnover amount as *actual* reductions in personnel expenses by delaying the hiring process for some positions. Departments may decide, based upon shifting operational priorities, to delay hiring to a date beyond the scheduled hire date.

B. The Hiring Process

After OBM approves a budgetary hiring plan, departments work with OBM and DHR throughout the year to fill individual vacancies. The following list summarizes the hiring process for a completed hire in 2013.¹³

⁹ See Appendix C for budgeted amounts by department and links to the 2013 Annual Appropriations and Grant Detail ordinances.

¹⁰ Utah State Legislature, Legislative Fiscal Analyst, "Vacancies, Turnover Savings, and Personnel Cost Changes," May 2012, accessed April 6, 2015, <http://www.ncsl.org/documents/nalfo/TurnoverSavingsUtahBrief.pdf>.

¹¹ Government Finance Officers Association, "Effective Budgeting of Salary and Wages," March 2010, accessed May 26, 2015, <http://www.gfoa.org/effective-budgeting-salary-and-wages>.

¹² OBM uses the term "salvage" to refer to the amount of money not spent by keeping a position vacant. See Appendix B for an example of a budgetary hiring plan template and instructions.

¹³ For the sake of simplicity, the list omits the additional actions needed when requests are denied or other steps are not completed. See Appendix J for more detail.

1. Hiring Request
 - a. Hiring department submits a hiring request to OBM.
 - b. OBM approves request and forwards to DHR for approval. (OBM's approval process may vary for departments with high turnover and/or recruiting difficulty.)
2. Recruiting and Selection
 - a. DHR and the hiring department coordinate posting, recruiting, and evaluating candidates.
 - b. DHR reviews applications and presents a list of minimally qualified candidates to the hiring department.
 - c. The hiring department selects the candidates to be hired. The selection process depends on the position. While some positions require an interview, others may require a test, or use a lottery process administered by DHR to select candidates from a list of individuals who meet the minimum qualifications to perform the job duties.
3. Approval and Background Check
 - a. The hiring department submits a hiring packet to DHR that documents the selection process and supports the department's hiring decision. Documents may include interview notes, lists of all referred candidates, and test scores.
 - b. DHR reviews the supporting documentation and approves each hire, then completes background checks.
4. Offer and Hire
 - a. The hiring department extends a contingent offer to the candidate and informs DHR when the candidate accepts.
 - b. DHR and hiring department coordinate official offer letter and acceptance, onboarding paperwork, payroll, and start date.

A detailed flowchart of the process is provided in Appendix J.

III. OBJECTIVE, SCOPE, AND METHODOLOGY

A. Objective

The objective of the audit was to determine if the City filled vacant positions in a timely manner.

B. Scope

The audit focused on hires completed during 2013. The City hired 4,025 employees in that year and our audit included 2,274 of those hires.¹⁴ We also examined the 1,161 vacancies that were unfilled as of December 31, 2013.

This audit focused on the data and activities of DHR and OBM. While we had intended to identify specific points of hiring delays and speak with relevant hiring departments, it was not possible because the necessary information was not consistently documented. Therefore, we did not inquire with the individual hiring departments about potential causes of delays for specific positions. However, it should be noted, that hiring delays may have occurred as a result of operational decisions or inefficiencies of the hiring departments.

C. Methodology

OIG met with OBM and DHR management and staff to understand the budgetary hiring plan and hiring processes.

To assess delays caused by the budgetary hiring plan, OIG measured the number of days between the vacancy dates and the scheduled hire dates.

To determine if departments completed the hiring process by the scheduled hire date, OIG measured the number of days between the scheduled hire dates and the actual hire dates.

To determine how long it took the City to fill a vacancy once a department requested permission to fill it, we measured the number of days between the date of the hiring request submission and the actual hire date.

In an attempt to identify points of delay in the hiring process, OIG reviewed hiring packets. However, we were unable to identify specific points of delay because dates were not consistently documented.

To assess the reliability of vacancy and hire data, OIG compared samples of records in each dataset to the source data in the City's personnel system.¹⁵ Based on this review, OIG determined that the data were sufficiently reliable to support further analysis.

¹⁴ We excluded the following positions from analysis because the hiring processes as described to OIG were not comparable: Board of Elections positions, the majority of City Council positions, CPD Sworn Personnel, Motor Truck Drivers, Paramedics in Charge, Interns, and Summer Program positions.

¹⁵ The City's personnel system is called CHIPPS (Chicago Integrated Personnel and Payroll Systems) and it is comprised of human resources and payroll modules that serve as the backbone for maintaining employee records and payroll processing.

D. Standards

We conducted this audit in accordance with generally accepted Government Auditing Standards issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

E. Authority and Role

The authority to perform this audit is established in the City of Chicago Municipal Code § 2-56-030 which states that the Office of Inspector General has the power and duty to review the programs of City government in order to identify any inefficiencies, waste, and potential for misconduct, and to promote economy, efficiency, effectiveness, and integrity in the administration of City programs and operations.

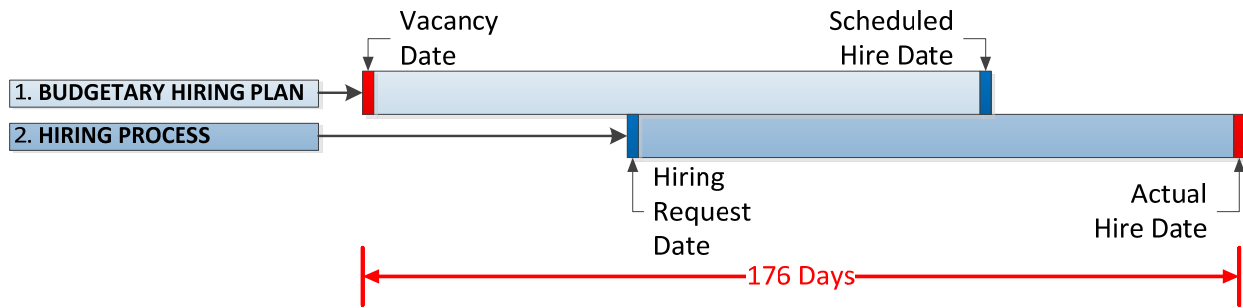
The role of OIG is to review City operations and make recommendations for improvement.

City management is responsible for establishing and maintaining processes to ensure that City programs operate economically, efficiently, effectively, and with integrity.

IV. FINDINGS AND RECOMMENDATIONS

Finding 1: The City took an average of nearly six months to fill vacant positions.

The City took an average of 176 days, or nearly six months, to fill 2,274 vacant positions in 2013.¹⁶ The following timeline generally illustrates the 176 day time lapse from the vacancy date (the start of the budgetary hiring plan process) to the actual hire date (end of the hiring process).¹⁷



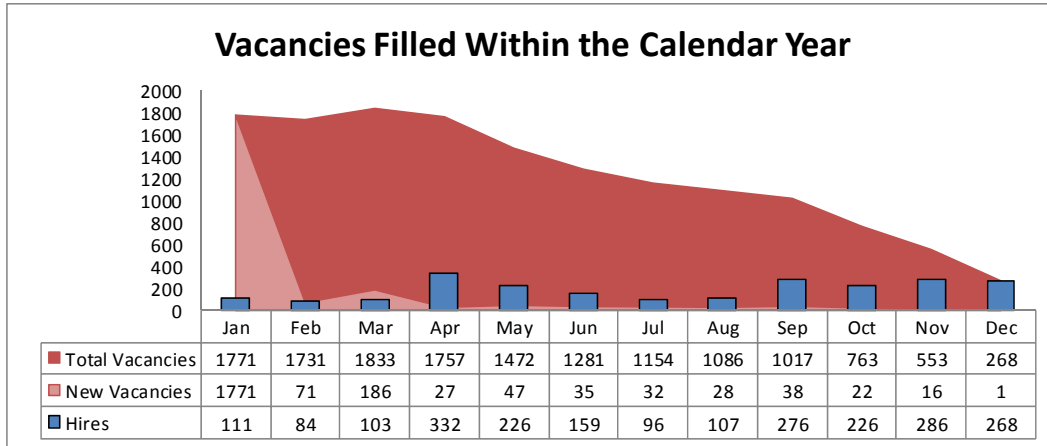
Source: OIG analysis of City personnel data

The 176-day average is a conservative measure because it does not include the amount of time a position may have been vacant in 2012. In the hiring system, vacancy records were effectively zeroed out and restarted at the turn of the fiscal year. Although it would be possible to search OBM's budget system for 2013 vacancies that had also been vacant in 2012, the results would not be complete because the budget system only included positions that were vacant at the start of 2012, not vacancies that arose during 2012. Given the lack of complete data, OIG did not attempt to determine how long a 2013 position had been vacant prior to January 1, 2013.

¹⁶ 11 hires, or 0.5%, were excluded from this calculation because the related dates were either unavailable or not accurate.

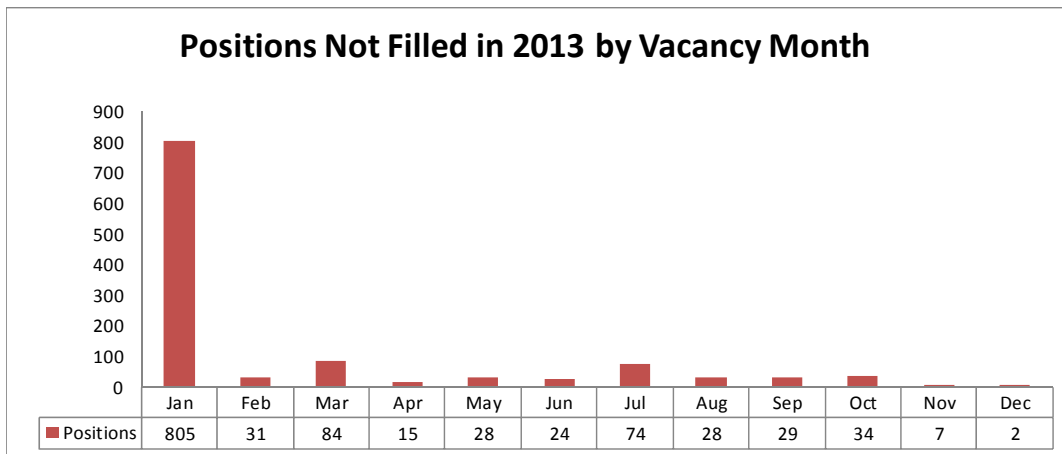
¹⁷ See Appendix E for average time to hire by department and by month of vacancy.

The following graph illustrates the hiring trend for vacancies that were filled in 2013. 1,771, or 77.4%, of the 2,274 positions eventually filled during 2013 were vacant as of January 1, but only 111 hires were completed in January. 503 additional new vacancies arose and were filled during the year. The month with the fewest hires was February (84 hires) and the month with the most hires was April (332 hires).



Source: OIG analysis of City personnel data

While 2,274 vacancies were filled during 2013, an additional 1,161 vacancies were not filled. The majority of these unfilled positions—69.3%—were vacant in January 2013.



Source: OIG analysis of City personnel data

As shown in the table below, hiring departments did not submit a request to hire for 32.1% of the unfilled vacancies. Hiring departments submitted requests to hire for 67.9% of the unfilled vacancies, but OBM did not approve 31.5% of these requests (21.4% of the total unfilled vacancies).

Disposition of Unfilled Vacancies	Number of Vacancies	Percent of Total
Hiring department did not make a request to hire	373	32.1%
Hiring department made request to hire	788	67.9%
<i>OBM approved request to hire</i>	540	46.5%
<i>OBM did not approve request to hire</i>	248	21.4%
Total	1,161	100.0%

Source: OIG analysis of City personnel data

The above table includes 248 requests with a disposition code of “Submitted”, which means the hiring department’s request was awaiting OBM approval. OBM stated, however, that it considered these requests to be denied because while some requests can be denied directly, others can be denied by taking no approval action. Therefore, departments were awaiting decisions regarding 248 vacancies for which OBM considered the request to be denied. Of the 1,161 unfilled vacancies, there were no requests with a “Denied” disposition.

Hiring delays limit the quantity of available staff and risk the loss of some more highly qualified applicants to other employers bidding for their services, which collectively may reduce operational effectiveness and efficiency.¹⁸ Additionally, departments may rely on increased overtime in order to compensate for staffing shortages.¹⁹

Further analysis of the City’s hiring data revealed that the following three factors contributed to the six-month average time-to-hire.

1. Hiring departments and OBM delayed hiring by an average of 100 days through the budgetary hiring plan process.

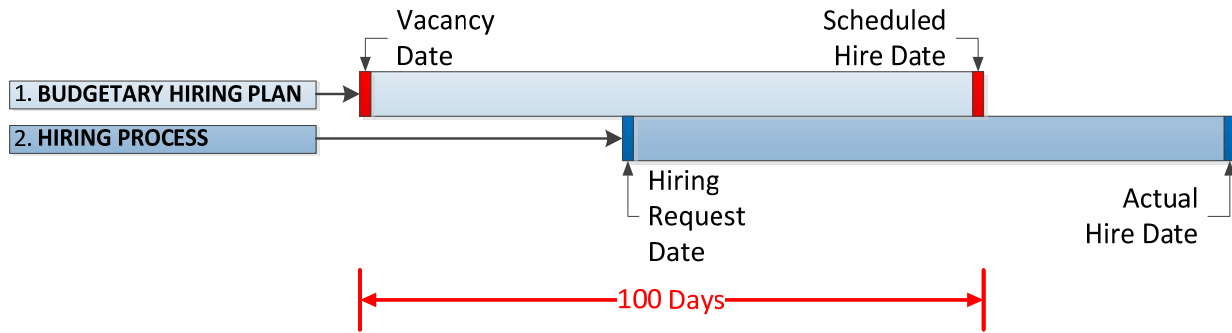
Hiring departments and OBM delayed hiring into vacant positions by an average of 100 days through the budgetary hiring plan process and, therefore, the City did not get the full operational benefit of City Council-approved positions.²⁰ The following timeline illustrates the 100-day delay as it relates to the budgetary hiring plan and the hiring process.²¹

¹⁸ Tamara Lytle, “Streamline Hiring,” *Society for Human Resource Management* 58, no. 4 (2013): 63.

¹⁹ OIG has historically observed that departments sometimes seek creative solutions to avoid the City’s hiring process. Some of these solutions have exceeded the permissible bounds of what is allowed under the City’s Hiring Plans and *Shakman* protocols, including, among other things, the use of contracts to secure the services of what are, in effect, common law employees, which is prohibited.

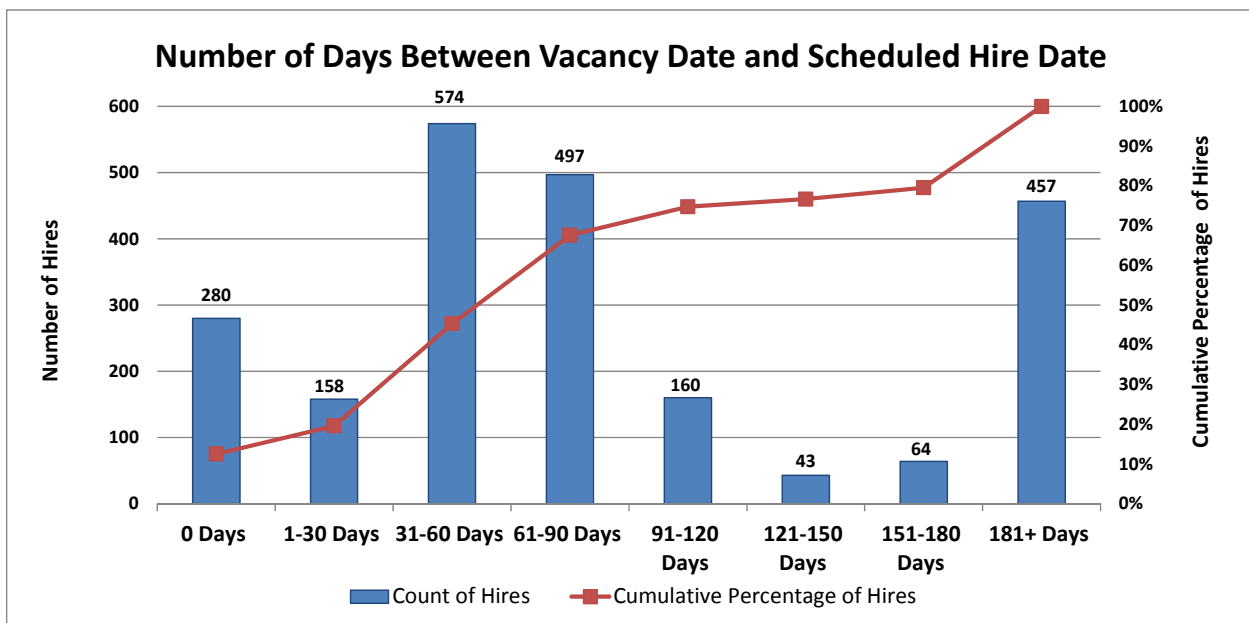
²⁰ 41 hires, or 1.8% of the 2,274 completed hires, were excluded from this analysis because the related dates were either unavailable or not accurate. It should be noted that OBM stated that scheduled hire dates recorded in the system may or may not reflect a department’s intended hire date because a department may make an operational decision to delay a hire without adjusting the date in the system or requesting such an adjustment.

²¹ The 100-day delay is a conservative calculation because it includes data related to the Office of the Mayor, City Clerk, and City Treasurer. OBM later stated it does not adhere to budgetary hiring plan processes for those



Source: OIG analysis of City personnel data

Only 280, or 12.3% of the 2,274 vacancies, were approved for hire by OBM as of the date of vacancy (i.e., the vacancy date and scheduled hire date were identical). Among the remaining 1,953, or 85.9%, the gaps between vacancy date and the scheduled hire date ranged from 1 and 349 days. The following graph visually displays the distribution of delays.



Source: OIG analysis of City personnel data

The delay between the vacancy date and the scheduled hire date was intended to ensure that the estimated turnover amount was achieved, as explained in the Background section of this report. Requiring this turnover amount to be realized in the hiring plan set at the beginning of the year failed to account for the inevitable employee turnover that would occur later and throughout the year. Therefore, departments' budgets and operational readiness may have been adversely impacted by both enforced recognition of *estimated* turnover and the additional naturally occurring *actual* turnover.

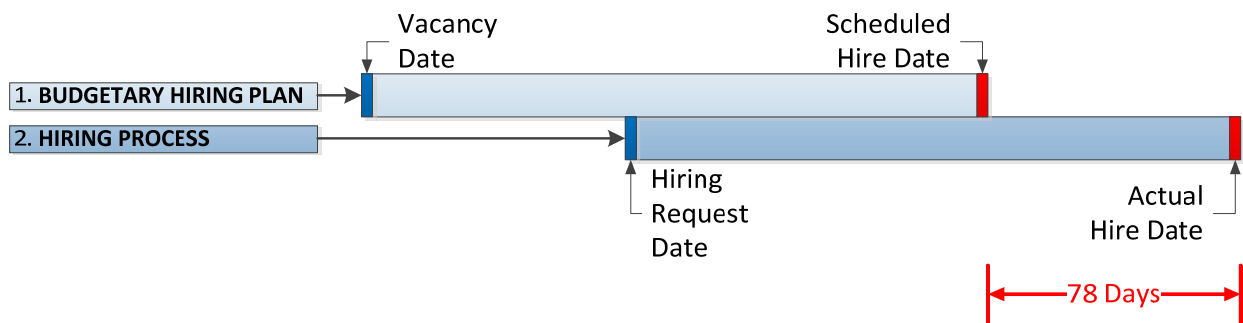
departments, and possibly others. These three departments had averages of 72 days, 48 days, and 90 days respectively. Appendix F of this report provides a departmental summary of the average number of days between the vacancy date and the scheduled hire date.

OBM stated that it implemented the budgetary hiring plan process to control personnel expenditures because, historically, departments had not demonstrated successful budget management and OBM sought to avoid using staff terminations and hiring freezes to manage personnel budgets. However, the practice of recognizing the estimated turnover amount at the beginning of the year followed by additional actual turnover throughout the year effectively forces departments to operate with less than their net personnel budget appropriation.²²

OBM also stated that, since 2013, it had adjusted the budgetary hiring plan turnover rate calculation to factor in the naturally occurring actual turnover that might occur after the estimated turnover was realized.

2. Employees were hired on average 78 days after the scheduled hire date.

New hires began work an average of 78 days after the scheduled hire date set by the department and OBM in the budgetary hiring plan.²³ The following timeline illustrates the 78-day gap as it relates to the budgetary hiring plan and the hiring process.



Source: OIG analysis of City personnel data

A department wishing to fill a vacancy at the earliest opportunity would want the actual hire date to coincide with the scheduled hire date set in the budgetary hiring plan. To achieve this goal, a department would need to accurately predict the length of the hiring process, and begin the process on a date that would allow it to meet the scheduled hire date. If the department waited too long, it would not be able to complete the hiring process by the scheduled hire date.

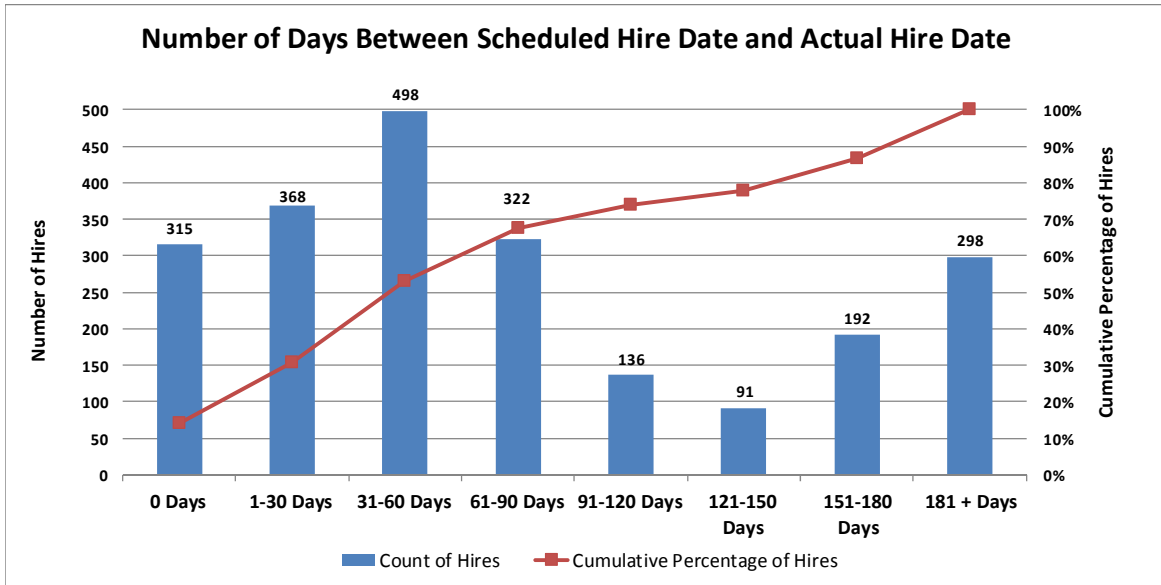
OIG analysis found that departments submitted hiring requests an average of 33 days before the scheduled hire date, while the average hiring process took over 100 days, as shown in the next section of this report. In some cases departments may have scheduled hire dates in January or February but not had time to complete the hiring process between January 1 and the scheduled hire date. However, the longest average gaps between the scheduled hire date and actual hire

²² See Appendix D for a comparison of gross budgeted salaries and wages to actual salaries and wages for each department in 2013.

²³ See Appendix H for a departmental breakdown of this analysis. 54 hires, or 2.4%, were excluded from this calculation because the related dates were either unavailable or not accurate. Because of the differences in population sizes, the various averages noted in this report cannot be added together to obtain a total average. For instance, 33 average days from hiring request to scheduled hire date plus 78 days from scheduled hire date to actual hire date equals 111 days as opposed to the actual average of 101 days as reported in section 3 of this finding.

date occurred for positions with May, June, and July scheduled hire dates, as illustrated in Appendix H.

Only 315 hires, or 13.8% of the vacancies actually filled, began work on the scheduled hire date approved by OBM. Among the total number of hires, 1,905, or 83.8%, started an average of 91 days after the scheduled hire date. The following graph illustrates the distribution of delays.

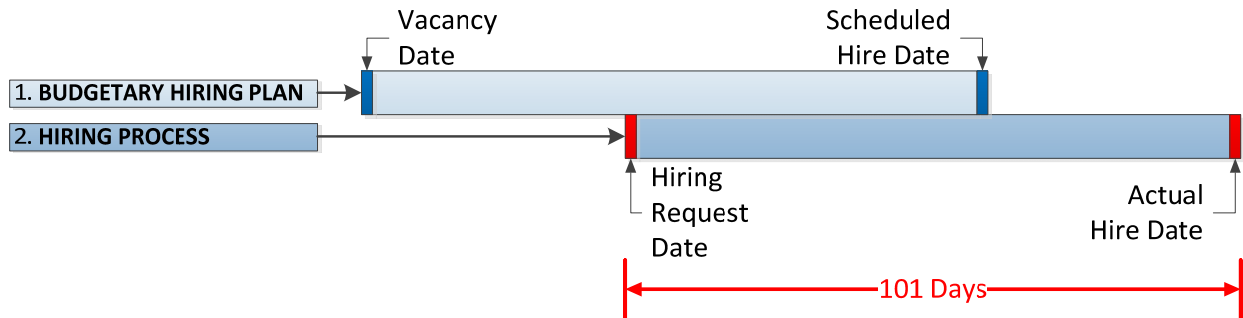


Source: OIG analysis of City personnel data

Neither DHR nor OBM provided instruction or guidance to departments regarding when to submit hiring requests in order to hire on the scheduled hire date. As noted previously, departments with shifting operational priorities may or may not update (or request an update to) the scheduled hire date to reflect changes in their hiring intentions.

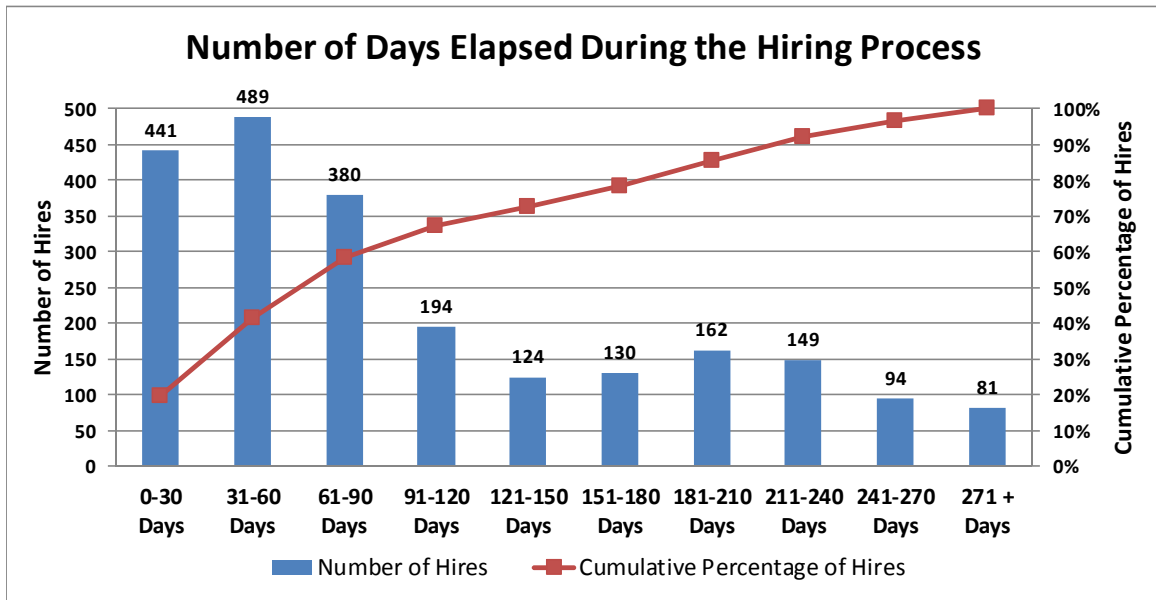
- The City filled positions an average of 101 days after the initial hiring request. Nearly one-third of the hires began work more than four months after departments initiated the hiring process.

OIG found that the City’s hiring process took an average of 101 days from the time a department submitted a hiring request to the time the position was filled.²⁴ The following timeline reflects the 101-day period as it relates to the hiring process.²⁵



Source: OIG analysis of City personnel data

Furthermore, 740, or 32.5% of the hires, began work more than 120 days after departments initiated the hiring process. The following graph shows the number of days that elapsed during the hiring process.



Source: OIG analysis of City personnel data

²⁴ 30 hires, or 1.3%, were excluded from this calculation because the related dates were either unavailable or not accurate.

²⁵ Appendix G of this report provides a departmental summary of the average number of days elapsed during the hiring process.

Specific steps in the hiring process may differ depending upon the type of position filled (e.g., some positions require interviews while others require tests). Therefore, we also calculated the average length of the hiring process from date of initial hiring request by position type, shown below.²⁶

Position Type	Number of Hires	Average Length of Hiring Process
Senior Manager Positions	44	149
Interviewed Positions	781	129
Non-Interviewed Positions	884	108
Uniformed Chicago Fire Department Positions	471	47
Positions which require greater management discretion (Private Secretaries, Assistants, Security Specialists)	8	37
<i>Shakman</i> Exempt Positions	56	20

Source: OIG analysis of City personnel data

DHR stated to OIG that it had no formal process for recording actual hiring times and was unable to identify specific points of delay. DHR also stated that it had an unofficial goal of filling vacant positions within 90 days of posting the position on the City’s hiring website. A number of hiring process steps must occur before a position is posted, however, and they are not captured in the unofficial goal. These steps include the department’s submission of the hiring request, OBM’s review and approval, and DHR’s review and confirmation of the position description and pay grade. Therefore, the 90-day goal, even if it were made “official,” would not capture the full span of the hiring process.

As mentioned in the scope and methodology sections of this report, in the absence of robust system data, OIG attempted to identify specific points of delay by reviewing manually recorded dates. Such analysis was not possible, however, because the necessary information was not consistently documented. One of the few consistently recorded dates was the date that OBM approved a department’s request to hire. Before approving a department’s request to hire for a given position, OBM reviews departments’ salary expenditures, including overtime, to ensure that departments are on track to recognize their turnover amounts. If OBM determines that a department exceeded its salary budget or has not yet achieved its turnover amount, it denies the hire or defers approving the hiring request.²⁷ For those requests that were approved, we found

²⁶ Each position type listed in the chart represents a unique hiring process and does not overlap with other position types in the chart. Senior Manager Positions are not covered by collective bargaining agreements, are not career service (i.e., they are employees-at-will), are not *Shakman* Exempt, and involve significant managerial responsibilities. *Shakman* Exempt positions are those for which any factor may be considered in actions covered by the City’s Hiring Plans and Other Employment Actions, unless otherwise prohibited by law. See <http://chicagoinspectorgeneral.org/shakman-hiring-compliance/> for more on the *Shakman* Accord.

²⁷ As noted on page 12 of this report, OIG found that 248 unfilled vacancies remained in a “Submitted” disposition and none remained in a “Denied” disposition.

that OBM approved hiring requests an average of 18 days after submission by hiring departments.²⁸

Recommendations:

- 1) To ensure transparency and provide clear communication to departments so that they may anticipate operational impact, OIG recommends that OBM ensure the disposition of departmental requests to hire reflects the true disposition. Therefore, any requests which OBM considers “Denied” should show that disposition rather than “Submitted”, which indicates the request is still being considered. In addition, OBM should formally and expressly communicate to hiring departments any denial of a request (no matter the disposition) and the reason for the denial.
- 2) OBM should reconsider the current budgetary hiring plan requirement that departments achieve estimated turnover amounts before obtaining permission to hire. This practice forces departments to delay hiring into vacant positions and to operate with less than their *net* personnel budgets. OBM should consider ways to adjust the process and reduce the impact to the operational effectiveness of City departments. OBM could also seek alternative ways to prevent departments from overspending on personnel, intervening only with those departments that are at risk of running over budget.
- 3) DHR should work with OBM to define time-to-hire goals that include all relevant hiring process activities. We also recommend that DHR develop procedures to measure steps of the hiring process in order to identify and remedy sources of delay. DHR should compare actual time-to-hire to the goal for each hire, analyze the results by department, and share its findings with the departments.²⁹ If OBM continues to control departmental spending by enforcing scheduled hire dates, this guidance from DHR could assist departments in determining when to submit hiring requests in order to hire employees on the scheduled hire dates.

Management Response:

- 1) *“OBM has a process in place to communicate any hiring denials to departments. Denials are communicated to departments by the analyst responsible for the department. OBM does not enter a formal denial into the system as the decision on which positions to fill is subject to ongoing discussion between the departments and OBM. Departments are given the opportunity to “appeal” the denial and OBM frequently agrees to set aside the denial, hold the position vacant, and reconsider the position after a certain time period. Final decisions on denials are made when and if positions are deleted from the appropriation ordinance as part of the budget process.”*
- 2) *“While OBM agrees that the hiring process is lengthy, appreciates the OIG’s audit, and welcomes approaches to streamlining the process, OBM does not believe that the audit*

²⁸ See Appendix I for a monthly breakdown of this analysis. 1 hire, or 0.04%, was excluded from this calculation because the related dates were either unavailable or not accurate.

²⁹ Appendix E provides time-to-hire measurements by department calculated by OIG.

adequately captures the many stages of the hiring process and thus does not accurately reflect the impact of the budgetary hiring plans on the hiring process.

OBM does require departments to achieve a certain level of savings in their personnel budgets each year, known as “turnover”. This is a critical part of the City’s cost control efforts. However, it is important to note that the departmental budgetary hiring plans take into account a number of factors other than the turnover target. These plans prioritize hiring, account for turnover that occurs throughout the course of the year due to attrition vacancies, and are adjusted throughout the year to meet each department’s specific operational and hiring needs. Once the hiring plan is determined, it is the department’s responsibility to initiate the hiring process based on their hiring plan and operational needs.

The audit states that the budgetary hiring plans require departments to delay hiring by an average of 100 days in order to meet their personnel appropriation. OBM has two significant concerns with this conclusion. First, the information used to reach the 100 day average distorts the results, and second, the audit does not account for critical aspects of the hiring process unrelated to the budgetary hiring plans. Both concerns are discussed in detail below.

To our knowledge, the OIG did not review the actual budgetary hiring plans prepared by the departments and OBM and instead used the vacancy date and the authorization to hire dates in CHIPPS to extrapolate the impact of the budgetary hiring plans. While OBM does delay hiring of certain positions to control costs, the dates used for the audit may not accurately reflect the impact of the budgetary hiring plans. Budgetary hiring plans change throughout the year as the operational needs of the department change, due to new initiatives, attrition, etc. The plans themselves would need to be reviewed to reach the conclusions stated in the audit.

Further, the dates used in the audit do not take into account significant aspects of the hiring process that impact the authorization to hire and the scheduled hire dates, including but not limited to:

- Audits required for new and certain vacant positions*
- Reprioritization of hiring by departments throughout the year which results in delaying hiring of certain positions in favor of others or conversion of titles which requires action by City Council*
- Training academy schedules*
- Vacancies held for employees on leave of absence or duty disability*
- Scheduling of intake sessions or interviews*
- Lack of qualified candidates*
- Pending grant awards or reductions which necessitate delays in hiring*

There are many decisions made by departments, OBM, and DHR throughout the course of the year that impact the hiring process. These decisions impact the timing of the

authorization to hire but are not the result of the budgetary hiring plans. As the audit notes, data is not readily available to assess the parts of the process managed by the departments. However, these activities make up a significant part of the City's hiring process. For example, the average time from vacancy to hire for OBM is 170 days. Hiring at OBM was not delayed by a budgetary hiring plan; the delays were the result of decisions made by OBM including reorganization, desire to not hire and onboard staff during the budget season, and conversion of vacancies to positions of greater need.

Second, the audit included departments and positions that are not subject to budgetary hiring plans, distorting the analysis of the delay in hiring due to the hiring plans.

The audit does note that the Mayor's Office, the City Clerk, and the Treasurer are not subject to budgetary hiring plans, but these departments have not been excluded from the calculation of the averages. In addition, the length of time to hire for these departments clearly demonstrates that there are factors other than the budgetary hiring plan that are important in the hiring process and may impact timing.

The 100 day average cited in the audit also includes the sworn members of the Chicago Fire Department (other than paramedics-in-charge). Sworn positions in CFD are not subject to budgetary hiring plans. Further, while typically, an approved a-form indicates to DHR that the hiring process may commence, this is not true for sworn positions. The decision of when to place recruits into the academy is not related to the signing of an a-form. CFD sets a schedule for the academy, and recruits are screened from the existing list. The a-form is typically signed after the hiring process has commenced.

Decisions regarding hiring dates are made by CFD based on operational needs, the availability of the training academy, and the number of sufficient candidates who have passed the appropriate screening criteria. The timing of these hires is not impacted by any budgetary hiring plans, so the inclusion of the sworn CFD positions inaccurately distorts the hiring time averages.

One of OBM's primary roles is to control costs and assure that departments meet their annual appropriation. In 2013, the City was facing a sizable structural deficit and controlling hiring was, and continues to be, critical to addressing the City's finances. OBM and the departments evaluated each vacancy as part of the efforts to reduce costs and OBM delayed hiring in certain cases as a result. A number of positions were held vacant as they were targeted for elimination in the coming year's budget, an exercise OBM undertakes every year. If these positions were not included in the audit results, the average time to hire may have been significantly less.

As OBM did in 2013, OBM engages in regular review and discussion with departments about whether a position should be filled, remain vacant and be deleted, or be converted into another title that better serves the department's needs. These reviews and discussions are specifically aimed at minimizing any operational impact, including any anticipated overtime. Thus, departments would not be compelled to circumvent the hiring process due to the constraints of budgetary hiring plans.

The hiring plans are a proactive and useful tool for OBM, DHR, and the departments. OBM does not believe that waiting until a department is at risk of running over budget is fiscally prudent. Such an approach may cause significant operational issues. Departments would only be able to address a shortfall by freezing hiring for the remainder of the year which may impact critical hiring needs, laying-off staff, or cutting non-personnel expenses, all of which will impact services. OBM believe it is better to work with departments to establish a hiring plan at the start of the year and to adjust that hiring plan as the year progresses and departmental needs adjust.

Further, OBM already engages in the other suggested mechanisms for tracking personnel expenses. Personnel expenses need and receive ongoing monitoring through bi-weekly payroll reports, overtime dashboards, regular communication between departments and OBM, as well as other monitoring tools. The budgetary hiring plan is just one of the tools used to assure that departments stay within their appropriations.”

- 3) *“We believe that the audit misstates the impact of the budgetary hiring plan on the length of the hiring process. Operating departments work with OBM to establish hiring goals that are in line with budgetary requirements and operational needs. From DHR’s perspective, the hiring process begins with the position intake. We receive copies of the budgetary hiring plans each year, and while we work with departments to achieve those goals, the operating departments are ultimately responsible for starting the hiring process by scheduling the position intake with their DHR Recruiter. There can be a variety of reasons why that initial step is delayed by the department, including position audits, reprioritization of department hiring goals, and other departmental operational issues that impact the hiring process.*

Additional delays obviously can occur after the position intake has occurred and we do agree with your recommendation to develop mechanisms for tracking milestones in the hiring process to identify and potentially remedy sources of delay. We have been working with our IT division to implement tracking mechanisms that are more automated within our application tracking system (CAREERS) so that we can ensure the data is accurate. We plan on sharing this information with hiring departments so that we can work towards continuing to eliminate delays in the hiring process.

Beyond implementing tracking mechanisms, in 2016, we will modify our position intake process and work with operating departments to set time-to-fill goals for each hiring sequence. Our plan is to set dates for each major milestone in the hiring sequence and identify who is responsible for meeting the established dates between DHR and the hiring department. The timeline for the hiring sequence will be shared with the Hiring Oversight section of the OIG after each position intake session occurs.”

OIG Reply:

OIG performance audits take into account departmental performance goals and measurements. In the absence of such goals and measurements or relevant industry standards, OIG can only describe the condition found during the course of the audit. As noted in this report, DHR and OBM have no formal performance goals or measurements related to the

overall hiring process. Therefore, OIG describes in the overall finding that the average time lapse between the vacancy date and the actual hire date was 176 days for those positions reviewed.

OIG attempted to identify specific points of delay by reviewing manually recorded dates. As explained in the finding and methodology sections of this report, such analysis was not possible, however, because the necessary information was not consistently documented. With the data that was available and in an effort to provide analysis that could help DHR and OBM consider future performance goals and measurements, the OIG attempted to answer the following questions:

- How much time does the budgetary hiring plan “build into” the hiring process?
- How well does the City perform in hiring on the scheduled hire date?
- Are departments initiating the hiring process in time to meet the scheduled hire date?

The response above states that “from DHR’s perspective, the hiring process begins with the position intake.” OIG asserts that from a hiring department’s perspective the operational impact begins with the vacancy date, whether the department seeks to fill the vacancy immediately or to hold it open for operational reasons. Therefore, OIG continues to urge DHR and OBM to track and record the entire process, including the time in which the position remains vacant with no action as well as the time between the hiring department’s request to fill the position and the position intake. We further encourage OBM and DHR to track the time that positions remain open from prior years, which were not considered in this analysis because complete data was not available, as noted in the report.

In its response above, OBM expressed a concern that OIG used dates within the CHIPPS system as opposed to the actual budgetary hiring plans. OIG had regular communication with OBM during the course of the audit regarding specific dates obtained from CHIPPS, yet OBM did not bring up this concern until the audit was completed. During the course of the audit OBM had described practices in which OBM reviews CHIPPS data for accuracy, ensuring it was updated at the time of hire and, therefore, would match the budgetary hiring plan for those hires included in OIG’s analysis. OBM’s new assertion contradicts the information provided during the course of the audit.

OBM also asserts that the audit included departments and positions that are not subject to budgetary hiring plans. The OIG had several conversations with DHR to determine which positions followed similar hiring processes and, thus, should be included as part of our analysis. OBM states that the Mayor’s Office, the City Clerk, the Treasurer, and CFD members are not subject to budgetary hiring plans. In consideration of this assertion, OIG recalculated the time from vacancy to scheduled hire date excluding those four departments and determined that hiring departments and OBM delayed hiring by an average of 76 days through the budgetary hiring plan process for the remaining departments. As mentioned in the finding, analysis of this time lapse by department is available in Appendix F of this report.

The average time lapse between the vacancy date (the start of the budgetary hiring plan process) to the actual hire date (end of the hiring process) remains 176 days for those positions reviewed, whether the budgetary hiring plan was an average of 76 days or 100 days. OIG described the budgetary hiring plan and the hiring process hiring sub-processes in the way that we did because those were the dates that were available and we had no notification of concerns. As noted in the report, we had intended to identify specific causes of delays, but supporting information was not available. Therefore, we continue to urge OBM and DHR to track the entire hiring process so that specific causes of delays can be identified, set time-to-hire goals, measure performance in comparison to those goals, and use that information to provide guidance to hiring departments.

V. APPENDIX A: EXAMPLE OF A DEPARTMENT’S BUDGETED TURNOVER AMOUNT IN THE APPROPRIATION ORDINANCE

This page from the 2013 Annual Appropriation Ordinance shows a department’s gross position total, turnover amount, and net appropriated salaries and wages (arrows added).³⁰

0100 - Corporate Fund 078 - BOARD OF ETHICS		
(078/1005/2005)		
The Board of Ethics increases awareness and encourages maintenance of ethical standards in city government. This is carried out by the administration of the Governmental Ethics and Campaign Financing Ordinances and education of city employees, officials, contractors and the public on these Ordinances and Code of Conduct.		
Appropriations	Amount	
0000 Personnel Services		
→ 0005 Salaries and Wages - on Payroll		672,828
0000 Personnel Services - Total*		\$672,828
0100 Contractual Services		
0130 Postage		\$3,530
0140 For Professional and Technical Services and Other Third Party Benefit Agreements		69,251
0162 Repair/Maintenance of Equipment		10,054
0169 Technical Meeting Costs		1,284
0190 Telephone - Centrex Billing		3,100
0196 Data Circuits		950
0197 Telephone - Maintenance and Repair of Equipment/Voicemail		1,200
0100 Contractual Services - Total*		\$89,369
0200 Travel		
0229 Transportation and Expense Allowance		\$150
0245 Reimbursement to Travelers		2,580
0270 Local Transportation		2,400
0200 Travel - Total*		\$5,130
0300 Commodities and Materials		
0348 Books and Related Material		\$250
0350 Stationery and Office Supplies		2,600
0300 Commodities and Materials - Total*		\$2,850
Appropriation Total*		\$770,177
Positions and Salaries		
Position	No	Rate
3005 - Administration		
9978 Executive Director	1	\$125,532
9718 Investigator - Ethics	1	72,516
9684 Deputy Director	1	118,080
3092 Program Director	1	76,512
1659 Legal Counsel - Board of Ethics	1	84,780
0801 Executive Administrative Assistant I	1	41,220
0309 Coordinator of Special Projects	1	73,752
0308 Staff Assistant	1	75,240
0305 Assistant to the Director	1	67,224
Section Position Total	9	\$734,856
→ Position Total	9	\$734,856
→ Turnover		(62,028)
→ Position Net Total	9	\$672,828
Annual Appropriation Ordinance for Year 2013 Page 198		

³⁰ We selected the Board of Ethics for this illustration because it is a small department contained on one page. The asterisks designate the “objects and purposes for which appropriations are budgeted,” as described on page 28 of the complete Appropriation Ordinance.

VI. APPENDIX B: EXAMPLE OF A BUDGETARY HIRING PLAN

OBM provides departments with a spreadsheet template budgetary hiring plan to complete. Below are the 2013 instructions followed by an example completed by a department with job titles and codes removed.

PLEASE DO NOT ADJUST THE FORMULA IN ANY OF THE CELLS.

PLEASE DO NOT ADD, DELETE or MOVE COLUMNS.

YOU MAY ADD OR DELETE ROWS AS NEEDED **BELOW THE COLUMN HEADINGS**.
 Copy and Paste **FROM** this spreadsheet **TO** this spreadsheet
 Copy an existing row and make changes as appropriate.
 Formatting from another source may not be identical
 resulting in calculations that may not be correct.

HIRING DATES MUST BE THE **1st OR 16th** OF THE MONTH unless you are salvaging the entire annual salary in which case the HIRE DATE would be 12/31/13.
 Enter HIRE DATE as month/date/year (10/1/13)
 Months vacant will be calculated based on the HIRE DATE you enter.

Positions that are **VACANT on Jan 1, 2013 BUT NOT INCLUDED** on the HIRE PLAN should be **ADDED** to the HIRE PLAN.

EVERY VACANCY MUST HAVE A HIRE DATE.
 Vacancies that have been APPROVED as EXEMPT from Hire Plan Salvage are expected to have appropriate HIRE DATES. Identify these vacancies by entering the letter **y** in the column identified as EXEMPT (Y). The spreadsheet will adjust SALVAGE and TARGET SALVAGE to ZERO.

WATCH YOUR MONTHLY RATES
 Hourly rate positions = 173.33 hours per month (\$20/hour = \$3,466.60 monthly rate)

GRANT FUNDED VACANCIES are **EXEMPT** from **SALVAGE (unless otherwise indicated)** but must be included in your Hire Plan submission.

OPEN LINES

Please add OPEN LINE Hire Plans **BELOW** the section used for your regular Hire Plan.
 Copy and Paste the example row as needed.
 Enter the appropriate position information for each line.
 Enter the HIRE DATE and the NUMBER OF OPENINGS to be filled.

DEPT	FUND	DIV	SECT	SSEC	JOB CODE	JOB DESCRIPTION	BUDGETED RATE	MONTHLY RATE	VAC COUNT	HIRE DATE	MONTHS VACANT	SALVAGE	TURNOVER TARGET	EXEMPT (Y)
###	###	###	###	###	###	[JOB TITLE 1]	45,240.00	3,770.00	1	12/31/2013	12.00	45,240.00		
###	###	###	###	###	###	[JOB TITLE 2]	105,828.00	8,819.00	1	6/16/2013	5.50	48,504.50		
###	###	###	###	###	###	[JOB TITLE 3]	93,504.00	7,792.00	1	4/16/2013	3.50	27,272.00		
###	###	###	###	###	###	[JOB TITLE 4]	53,844.00	4,487.00	1	3/1/2013	2.00	8,974.00		
###	###	###	###	###	###	[JOB TITLE 4]	53,844.00	4,487.00	1	3/1/2013	2.00	8,974.00		
###	###	###	###	###	###	[JOB TITLE 5]	31,308.00	2,609.00	1	4/16/2013	3.50	9,131.50		
###	###	###	###	###	###	[JOB TITLE 6]	104,604.00	8,717.00	1	2/16/2013	1.50	13,075.50		Y
###	###	###	###	###	###	[JOB TITLE 7]	82,524.00	6,877.00	1	5/16/2013	4.50	30,946.50		
###	###	###	###	###	###	[JOB TITLE 8]	80,100.00	6,675.00	1	4/16/2013	3.50	23,362.50		
###	###	###	###	###	###	[JOB TITLE 9]	63,516.00	5,293.00	2	5/16/2013	4.50	47,637.00		
###	###	###	###	###	###	[JOB TITLE 10]	110,112.00	9,176.00	1	3/16/2013	2.50	22,940.00		Y
###	###	###	###	###	###	[JOB TITLE 11]	54,492.00	4,541.00	1	3/1/2013	2.00	9,082.00		
###	###	###	###	###	###	[JOB TITLE 11]	54,492.00	4,541.00	1	3/1/2013	2.00	9,082.00		
###	###	###	###	###	###	[JOB TITLE 11]	54,492.00	4,541.00	1	3/1/2013	2.00	9,082.00		
###	###	###	###	###	###	[JOB TITLE 12]	70,800.00	5,900.00	1	3/1/2013	2.00	11,800.00		
###	###	###	###	###	###	[JOB TITLE 13]	63,480.00	5,290.00	1	3/1/2013	2.00	10,580.00		
###	###	###	###	###	###	[JOB TITLE 14]	111,996.00	9,333.00	1	6/16/2013	5.50	51,331.50		
###	###	###	###	###	###	[JOB TITLE 15]	63,516.00	5,293.00	1	5/16/2013	4.50	23,818.50		
												410,833.50	\$\$\$	\$\$\$
OPEN LINE HIRE DATES														
DEPT	FUND	DIV	SECT	SSEC	JOB CODE	JOB DESCRIPTION	BUDGETED RATE	MONTHLY RATE	COUNT	HIRE DATE				
###	###	###												

Source: Provided by OBM.

VII. APPENDIX C: SALARIES/WAGES AND BUDGETED TURNOVER AMOUNT BY DEPARTMENT

The following table summarizes the number of full-time equivalent employees budgeted for each City department in 2013, the gross personnel budget (salaries and wages, but not overtime) for those positions, budgeted turnover amount, and resulting net budgeted amount. It shows all positions, including those out-of-scope for this audit.

Department	Budgeted FTEs	Gross Salaries and Wages Budget from Appropriation Ordinance	Turnover Amount from Appropriation Ordinance	Turnover Percent	Net Budgeted Amount
001 - Office of the Mayor	86	\$ 7,358,790	\$ 305,799	4.2%	\$ 7,052,991
003 - Office of the Inspector General	67	\$ 5,171,189	\$ 209,262	4.0%	\$ 4,961,927
005 - Office of Budget and Management	34	\$ 2,995,152	\$ 94,284	3.1%	\$ 2,900,868
006 - Dept. of Innovation and Technology	108	\$ 10,074,917	\$ 467,150	4.6%	\$ 9,607,767
015 - City Council	236	\$ 8,015,890	\$ -	0.0%	\$ 8,015,890
023 - Dept. of Cultural Affairs and Special Events	80	\$ 6,524,740	\$ 341,313	5.2%	\$ 6,183,427
025 - City Clerk	98	\$ 6,196,686	\$ 83,004	1.3%	\$ 6,113,682
027 - Department of Finance	498	\$ 40,376,968	\$ 1,539,661	3.8%	\$ 38,837,307
028 - City Treasurer	23	\$ 1,945,556	\$ -	0.0%	\$ 1,945,556
030 - Department of Administrative Hearings	42	\$ 2,916,091	\$ 96,541	3.3%	\$ 2,819,550
031 - Department of Law	367	\$ 31,974,574	\$ 1,382,208	4.3%	\$ 30,592,366
033 - Department of Human Resources	76	\$ 5,281,912	\$ 406,778	7.7%	\$ 4,875,134
035 - Department of Procurement Services	86	\$ 6,607,041	\$ 396,412	6.0%	\$ 6,210,629
038 - Dept. of Fleet and Facility Management	1,062	\$ 84,668,202	\$ 3,644,874	4.3%	\$ 81,023,328
039 - Board of Election Commissioners	119	\$ 6,975,224	\$ 366,432	5.3%	\$ 6,608,792
041 - Department of Public Health	661	\$ 49,959,500	\$ 2,252,360	4.5%	\$ 47,707,140
045 - Commission on Human Relations	12	\$ 1,068,288	\$ 42,462	4.0%	\$ 1,025,826
048 - Mayor's Office for People with Disabilities	17	\$ 1,310,136	\$ 38,155	2.9%	\$ 1,271,981
050 - Dept. of Family and Support Services	383	\$ 28,781,632	\$ 536,699	1.9%	\$ 28,244,933
054 - Department of Housing and Economic Development	177	\$ 14,655,833	\$ 556,348	3.8%	\$ 14,099,485
055 - Police Board	2	\$ 157,906	\$ -	0.0%	\$ 157,906
056 - Independent Police Review Authority	99	\$ 7,973,938	\$ 297,358	3.7%	\$ 7,676,580
057 - Department of Police	14,306	\$ 1,088,139,598	\$ 16,114,087	1.5%	\$ 1,072,025,511
058 - Office of Emergency Mgmt and Communications	832	\$ 62,168,294	\$ 2,040,509	3.3%	\$ 60,127,785
059 - Fire Department	5,139	\$ 458,355,823	\$ 16,174,037	3.5%	\$ 442,181,786
067 - Department of Buildings	233	\$ 21,226,153	\$ 860,616	4.1%	\$ 20,365,537
070 - Department of Business Affairs and Consumer Protection	189	\$ 13,946,270	\$ 499,710	3.6%	\$ 13,446,560
073 - Commission on Animal Care and Control	64	\$ 4,107,943	\$ 414,799	10.1%	\$ 3,693,144
077 - License Appeal Commission	1	\$ 65,169	\$ -	0.0%	\$ 65,169
078 - Board of Ethics	9	\$ 734,856	\$ 62,028	8.4%	\$ 672,828
081 - Department of Streets and Sanitation	2,207	\$ 164,301,057	\$ 5,539,904	3.4%	\$ 158,761,153
084 - Chicago Department of Transportation	738	\$ 74,493,337	\$ 2,518,173	3.4%	\$ 71,975,164
085 - Department of Aviation	1,227	\$ 98,542,046	\$ 4,348,268	4.4%	\$ 94,193,778
088 - Department of Water Management	2,104	\$ 173,137,140	\$ 9,249,343	5.3%	\$ 163,887,797
091 - Chicago Public Library	783	\$ 54,277,020	\$ 2,273,410	4.2%	\$ 51,996,610
Total	32,165	\$ 2,544,477,871	\$ 73,151,984	2.9%	\$ 2,471,325,887

Source: City of Chicago, Office of Budget Management, "2013 Annual Appropriation Ordinance," January 2013, accessed February 27, 2015

http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2013%20Budget/2013ORDINANCEFINAL.pdf and City of Chicago, Office of Budget Management, "Grant Detail Ordinance," January 2013, accessed April 30, 2015

http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2013%20Budget/2013GRANTDETAILRECFINAL.pdf

VIII. APPENDIX D: ACTUAL SALARIES/WAGES AND BUDGETED TURNOVER AMOUNT BY DEPARTMENT

The following table compares gross budgeted salaries and wages to actual salaries and wages (but not overtime) for each department in 2013. It includes all positions (including those out-of-scope for this audit) except grant-funded positions because OBM did not have actual expense data available for grant-funded positions. The final column shows the difference between the actual salary and wage expenditures and the budgeted turnover amount.

Department	Gross Salaries and Wages Budget from Appropriation Ordinance (a)	Actual Salaries and Wages (b)	Actual Over (Under) Budget (b)-(a) = (c)	Actual Over (Under) Budget Percent	Turnover Amount from Appropriation Ordinance (d)	Turnover Percent	Difference (d)-(c)
001 - Office of the Mayor	\$ 6,113,418	\$ 6,875,564	\$ 762,146	12.5%	\$ (295,770)	(4.8%)	\$ (1,057,916)
003 - Office of the Inspector General	\$ 5,171,189	\$ 4,448,757	\$ (722,432)	(14.0%)	\$ (209,262)	(4.0%)	\$ 513,170
005 - Office of Budget and Management	\$ 1,888,130	\$ 1,892,553	\$ 4,423	0.2%	\$ (64,141)	(3.4%)	\$ (68,564)
006 - Dept. of Innovation and Technology	\$ 8,832,212	\$ 8,169,442	\$ (662,770)	(7.5%)	\$ (460,947)	(5.2%)	\$ 201,823
015 - City Council	\$ 8,015,890	\$ 8,265,534	\$ 249,644	3.1%	\$ -	0.0%	\$ (249,644)
023 - Dept. of Cultural Affairs and Special Events	\$ 6,524,740	\$ 6,068,539	\$ (456,205)	(7.0%)	\$ (341,313)	(5.2%)	\$ 114,892
025 - City Clerk	\$ 6,196,686	\$ 6,235,325	\$ 38,643	0.6%	\$ (83,004)	(1.3%)	\$ (121,647)
027 - Department of Finance	\$ 40,063,786	\$ 34,619,015	\$ (5,444,771)	(13.6%)	\$ (1,538,113)	(3.8%)	\$ 3,906,658
028 - City Treasurer	\$ 1,945,556	\$ 1,853,303	\$ (92,253)	(4.7%)	\$ -	0.0%	\$ 92,253
030 - Department of Administrative Hearings	\$ 2,916,091	\$ 2,896,373	\$ (19,718)	(0.7%)	\$ (96,541)	(3.3%)	\$ (76,823)
031 - Department of Law	\$ 31,974,574	\$ 29,256,393	\$ (2,718,181)	(8.5%)	\$ (1,382,208)	(4.3%)	\$ 1,335,973
033 - Department of Human Resources	\$ 5,281,912	\$ 4,857,182	\$ (424,730)	(8.0%)	\$ (406,778)	(7.7%)	\$ 17,952
035 - Department of Procurement Services	\$ 6,607,041	\$ 5,306,331	\$ (1,300,710)	(19.7%)	\$ (396,412)	(6.0%)	\$ 904,298
038 - Dept. of Fleet and Facility Management	\$ 84,132,533	\$ 73,231,944	\$ (10,900,589)	(13.0%)	\$ (3,637,028)	(4.3%)	\$ 7,263,561
039 - Board of Election Commissioners	\$ 6,975,224	\$ 6,396,116	\$ (579,108)	(8.3%)	\$ (366,432)	(5.3%)	\$ 212,676
041 - Department of Public Health	\$ 12,652,926	\$ 11,530,938	\$ (1,121,988)	(8.9%)	\$ (1,045,654)	(8.3%)	\$ 76,334
045 - Commission on Human Relations	\$ 1,068,288	\$ 938,590	\$ (129,698)	(12.1%)	\$ (42,462)	(4.0%)	\$ 87,236
048 - Mayor's Office for People with Disabilities	\$ 1,007,496	\$ 1,042,836	\$ 35,340	3.5%	\$ (36,642)	(3.6%)	\$ (71,982)
050 - Dept. of Family and Support Services	\$ 1,985,270	\$ 1,832,125	\$ (153,145)	(7.7%)	\$ (59,413)	(3.0%)	\$ 93,732
054 - Department of Housing and Economic Development	\$ 13,458,746	\$ 9,185,531	\$ (4,273,215)	(31.8%)	\$ (544,348)	(4.0%)	\$ 3,728,867
055 - Police Board	\$ 157,906	\$ 157,906	\$ (0)	(0.0%)	\$ -	0.0%	\$ 0
056 - Independent Police Review Authority	\$ 7,973,938	\$ 7,113,735	\$ (860,203)	(10.8%)	\$ (297,358)	(3.7%)	\$ 562,845
057 - Department of Police	\$ 1,083,044,750	\$ 1,022,490,760	\$ (60,553,990)	(5.6%)	\$ (15,843,065)	(1.5%)	\$ 44,710,925
058 - Office of Emergency Mgmt and Communications	\$ 60,361,562	\$ 61,215,218	\$ 853,656	1.4%	\$ (1,965,288)	(3.3%)	\$ (2,818,944)
059 - Fire Department	\$ 456,964,111	\$ 420,010,513	\$ (36,953,598)	(8.1%)	\$ (16,063,092)	(3.5%)	\$ 20,890,506
067 - Department of Buildings	\$ 21,226,153	\$ 18,549,721	\$ (2,676,432)	(12.6%)	\$ (860,616)	(4.1%)	\$ 1,815,816
070 - Department of Business Affairs and Consumer Protection	\$ 13,290,648	\$ 12,162,518	\$ (1,128,130)	(8.5%)	\$ (496,469)	(3.7%)	\$ 631,661
073 - Commission on Animal Care and Control	\$ 4,107,943	\$ 3,496,975	\$ (610,968)	(14.9%)	\$ (414,799)	(10.1%)	\$ 196,169
077 - License Appeal Commission	\$ 65,169	\$ 65,177	\$ 8	0.0%	\$ -	0.0%	\$ (8)
078 - Board of Ethics	\$ 734,856	\$ 721,116	\$ (13,740)	(1.9%)	\$ (62,028)	(8.4%)	\$ (48,288)
081 - Department of Streets and Sanitation	\$ 164,301,057	\$ 147,314,336	\$ (16,986,721)	(10.3%)	\$ (5,539,904)	(3.4%)	\$ 11,446,817
084 - Chicago Department of Transportation	\$ 74,493,337	\$ 67,660,781	\$ (6,832,556)	(9.2%)	\$ (2,518,173)	(3.4%)	\$ 4,314,383
085 - Department of Aviation	\$ 98,542,046	\$ 84,926,228	\$ (13,615,818)	(13.8%)	\$ (4,348,268)	(4.4%)	\$ 9,267,550
088 - Department of Water Management	\$ 173,137,140	\$ 149,100,902	\$ (24,036,238)	(13.9%)	\$ (9,249,343)	(5.3%)	\$ 14,786,895
091 - Chicago Public Library	\$ 49,059,171	\$ 45,183,836	\$ (3,875,335)	(7.9%)	\$ (1,903,117)	(3.9%)	\$ 1,972,218
Totals	\$ 2,460,271,495	\$ 2,265,072,115	\$ (195,199,380)	(7.9%)	\$ (70,567,988)	(2.9%)	\$ 124,631,392

Source: Source: City of Chicago, Office of Budget Management, "2013 Annual Appropriation Ordinance," January 2013, accessed February 27, 2015

http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2013%20Budget/2013ORDINANCEFINAL.pdf and
OIG analysis of City budget reports and expense information.

IX. APPENDIX E: AVERAGE NUMBER OF DAYS FROM VACANCY TO HIRE BY DEPARTMENT AND BY MONTH OF VACANCY

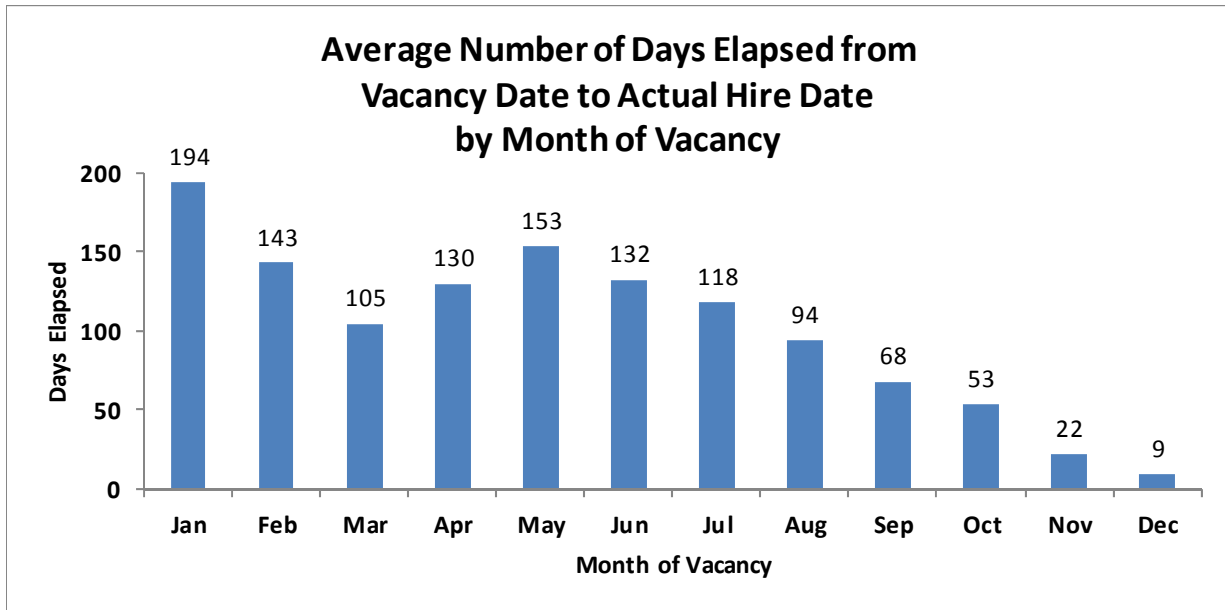
The first table below summarizes the average number of days elapsed between the time a position became vacant until the position was filled, for those positions examined in this audit.³¹

Department	Number of Positions Hired	Average Number of Days from Vacancy to Hire
001 - Office of the Mayor	24	89
003 - Office of the Inspector General	18	139
005 - Office of Budget and Management	6	170
006 - Department of Innovation and Technology	5	149
023 - Department of Cultural Affairs and Special Events	5	132
025 - City Clerk	14	58
027 - Department of Finance	57	120
028 - City Treasurer	1	11
030 - Department of Administrative Hearings	3	41
031 - Department of Law	122	168
033 - Department of Human Resources	8	119
035 - Department of Procurement Services	21	192
038 - Department of Fleet and Facility Management	85	163
041 - Department of Public Health	43	201
045 - Commission on Human Relations	1	167
048 - Mayor's Office for People with Disabilities	1	65
050 - Department of Family and Support Services	65	161
054 - Department of Housing and Economic Development	22	191
056 - Independent Police Review Authority	6	161
057 - Department of Police	121	203
058 - Office of Emergency Management and Communications	135	115
059 - Fire Department	486	217
067 - Department of Buildings	21	222
070 - Department of Business Affairs and Consumer Protection	14	190
073 - Commission on Animal Care and Control	16	214
078 - Board of Ethics	1	120
081 - Department of Streets and Sanitation	161	66
084 - Chicago Department of Transportation	216	145
085 - Department of Aviation	149	164
088 - Department of Water Management	216	199
091 - Chicago Public Library	220	244
All Departments	2263	176

Source: OIG analysis of City personnel data

³¹ As noted earlier in the report, 11, or 0.5% of the hires, were excluded from this analysis because the related dates were either unavailable or not accurate. Also, as mentioned in the scope section of this report, the CPD calculation is based upon civilian positions within CPD and not sworn members who follow a different hiring process.

The following graph illustrates the average number of days elapsed between the time a position became vacant until the position was filled, summarized by vacancy month, for positions examined in this audit.



Source: OIG analysis of City personnel data

X. APPENDIX F: AVERAGE NUMBER OF DAYS BETWEEN VACANCY DATE AND SCHEDULED HIRE DATE

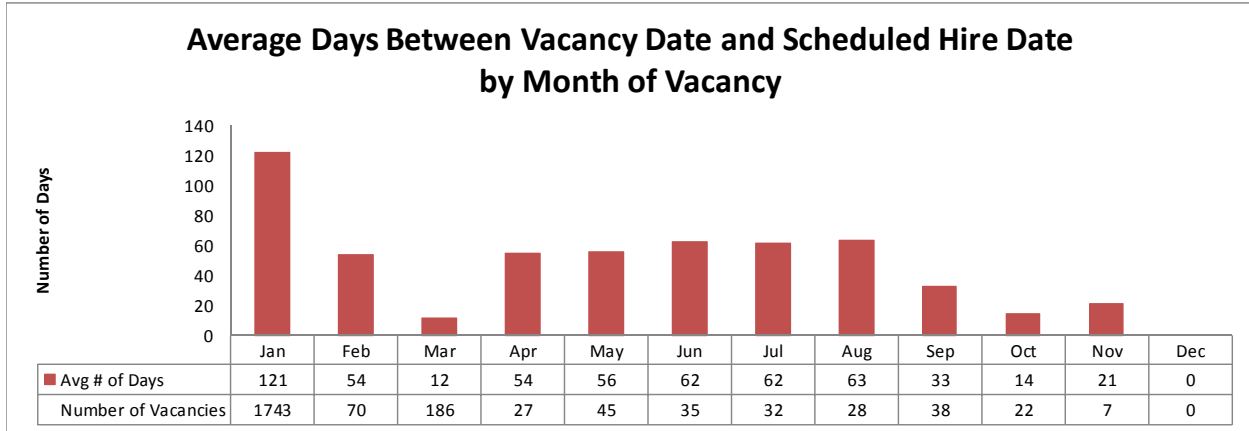
The first table below shows the average number of days elapsed between the date a position became vacant until the position’s scheduled hire date, summarized by department, for positions examined in this audit.³²

Department	Number of Positions Hired	Average Number of Days Between Vacancy Date and Scheduled Hire Date
001 - Office of the Mayor	23	72
003 - Office of the Inspector General	17	77
005 - Office of Budget and Management	6	98
006 - Department of Innovation and Technology	5	62
023 - Department of Cultural Affairs and Special Events	5	113
025 - City Clerk	10	48
027 - Department of Finance	57	41
028 - City Treasurer	1	90
030 - Department of Administrative Hearings	3	3
031 - Department of Law	121	54
033 - Department of Human Resources	7	61
035 - Department of Procurement Services	20	98
038 - Department of Fleet and Facility Management	80	79
041 - Department of Public Health	42	117
045 - Commission on Human Relations	1	151
048 - Mayor's Office for People with Disabilities	1	46
050 - Department of Family and Support Services	64	21
054 - Department of Housing and Economic Development	22	62
056 - Independent Police Review Authority	6	77
057 - Department of Police	121	109
058 - Office of Emergency Management and Communications	135	34
059 - Fire Department	485	186
067 - Department of Buildings	21	106
070 - Department of Business Affairs and Consumer Protection	14	110
073 - Commission on Animal Care and Control	10	113
078 - Board of Ethics	1	59
081 - Department of Streets and Sanitation	160	42
084 - Chicago Department of Transportation	210	87
085 - Department of Aviation	149	61
088 - Department of Water Management	216	62
091 - Chicago Public Library	220	141
All Departments	2233	100

Source: OIG analysis of City personnel data

³² As noted earlier in the report, 41, or 1.8% of the hires, were excluded from this analysis because the related dates were either unavailable or not accurate. Also, as mentioned in the scope section of this report, the CPD calculation is based upon civilian positions within CPD and not sworn members who follow a different hiring process.

The following graph illustrates the average number of days elapsed between the date a position became vacant until the position’s scheduled hire date, summarized by month of vacancy, for positions examined in this audit.



Source: OIG analysis of City personnel data

XI. APPENDIX G: AVERAGE NUMBER OF DAYS ELAPSED DURING THE HIRING PROCESS BY DEPARTMENT

The following table summarizes the average number of days elapsed between the time a hiring request was initiated by the department until the hire was completed for each department—the span of the hiring process—for positions examined in this audit.³³

Department	Number of Positions Hired	Average Number of Days Elapsed During the Hiring Process
001 - Office of the Mayor	19	9
003 - Office of the Inspector General	18	87
005 - Office of Budget and Management	6	96
006 - Department of Innovation and Technology	4	90
023 - Department of Cultural Affairs and Special Events	5	50
025 - City Clerk	14	28
027 - Department of Finance	56	108
028 - City Treasurer	1	8
030 - Department of Administrative Hearings	3	28
031 - Department of Law	122	131
033 - Department of Human Resources	7	84
035 - Department of Procurement Services	21	128
038 - Department of Fleet and Facility Management	85	108
041 - Department of Public Health	43	144
045 - Commission on Human Relations	1	166
048 - Mayor's Office for People with Disabilities	1	24
050 - Department of Family and Support Services	65	162
054 - Department of Housing and Economic Development	22	148
056 - Independent Police Review Authority	6	115
057 - Department of Police	117	110
058 - Office of Emergency Management and Communications	134	109
059 - Fire Department	481	48
067 - Department of Buildings	21	166
070 - Department of Business Affairs and Consumer Protection	14	125
073 - Commission on Animal Care and Control	16	138
078 - Board of Ethics	1	85
081 - Department of Streets and Sanitation	160	45
084 - Chicago Department of Transportation	216	88
085 - Department of Aviation	149	114
088 - Department of Water Management	216	161
091 - Chicago Public Library	220	146
All Departments	2244	101

Source: OIG analysis of City personnel data

³³ As noted earlier in the report, 30, or 1.3% of the hires, were excluded from this analysis because the related dates were either unavailable or not accurate. Also, as mentioned in the scope section of this report, the CPD calculation is based upon civilian positions within CPD and not sworn members who follow a different hiring process.

XII. APPENDIX H: AVERAGE NUMBER OF DAYS ELAPSED BETWEEN THE SCHEDULED HIRE DATE AND ACTUAL HIRE DATE

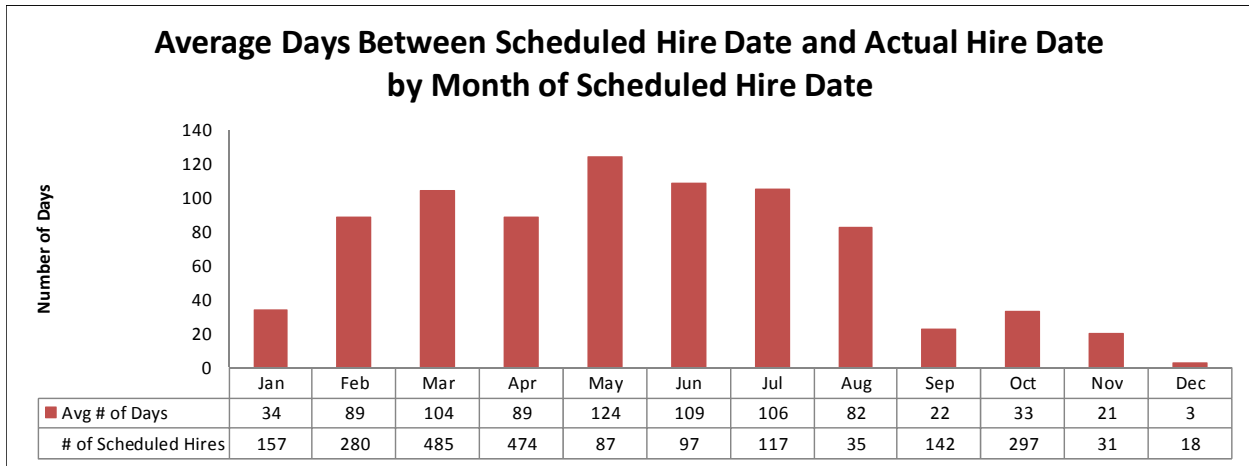
The first table below shows the average number of days elapsed between the scheduled hire date and the actual hire date, summarized by department, for positions examined in this audit.³⁴

Department	Number of Positions Hired	Average Number of Days Between Scheduled Hire Date and Actual Hire Date
001 - Office of the Mayor	21	27
003 - Office of the Inspector General	16	79
005 - Office of Budget and Management	6	72
006 - Department of Innovation and Technology	5	87
023 - Department of Cultural Affairs and Special Events	5	18
025 - City Clerk	10	24
027 - Department of Finance	53	90
028 - City Treasurer	0	N/A
030 - Department of Administrative Hearings	3	38
031 - Department of Law	121	116
033 - Department of Human Resources	7	75
035 - Department of Procurement Services	18	106
038 - Department of Fleet and Facility Management	78	86
041 - Department of Public Health	43	86
045 - Commission on Human Relations	1	16
048 - Mayor's Office for People with Disabilities	1	19
050 - Department of Family and Support Services	64	141
054 - Department of Housing and Economic Development	22	128
056 - Independent Police Review Authority	6	84
057 - Department of Police	120	95
058 - Office of Emergency Management and Communications	133	82
059 - Fire Department	494	31
067 - Department of Buildings	20	122
070 - Department of Business Affairs and Consumer Protection	14	80
073 - Commission on Animal Care and Control	10	169
078 - Board of Ethics	1	61
081 - Department of Streets and Sanitation	161	22
084 - Chicago Department of Transportation	205	59
085 - Department of Aviation	149	103
088 - Department of Water Management	216	136
091 - Chicago Public Library	217	105
All Departments	2220	78

Source: OIG analysis of City personnel data

³⁴ As noted earlier in the report, 54 hires, or 2.4%, were excluded from this calculation because the related dates were either unavailable or not accurate.

The following graph illustrates the average number of days elapsed between the scheduled hire date and the actual hire date, summarized by scheduled hire month, for positions examined in this audit.



Source: OIG analysis of City personnel data

XIII. APPENDIX I: AVERAGE NUMBER OF DAYS ELAPSED BETWEEN THE REQUEST TO HIRE AND OBM APPROVAL TO HIRE DATE

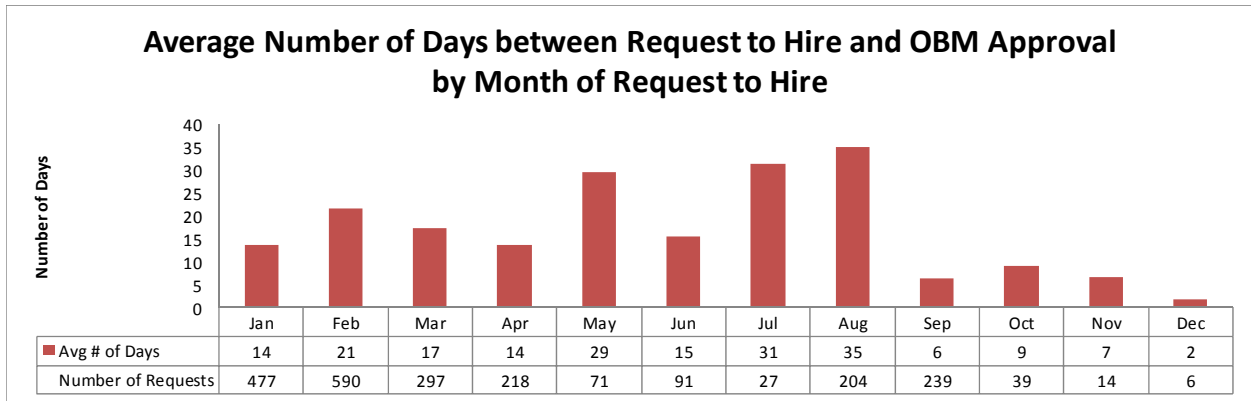
The first table below shows the average number of days elapsed between a department’s request to hire and the date OBM approved the request, summarized by department, for positions examined in this audit.³⁵

Department	Number of Positions Hired	Average Number of Days between Request to Hire and OBM Approval
001 - Office of the Mayor	24	2
003 - Office of the Inspector General	18	3
005 - Office of Budget and Management	6	3
006 - Department of Innovation and Technology	5	6
023 - Department of Cultural Affairs and Special Events	5	37
025 - City Clerk	14	13
027 - Department of Finance	56	20
028 - City Treasurer	1	2
030 - Department of Administrative Hearings	3	3
031 - Department of Law	122	17
033 - Department of Human Resources	8	16
035 - Department of Procurement Services	21	26
038 - Department of Fleet and Facility Management	85	20
041 - Department of Public Health	45	63
045 - Commission on Human Relations	1	152
048 - Mayor's Office for People with Disabilities	1	5
050 - Department of Family and Support Services	65	69
054 - Department of Housing and Economic Development	22	19
056 - Independent Police Review Authority	6	9
057 - Department of Police	121	10
058 - Office of Emergency Management and Communications	135	7
059 - Fire Department	495	17
067 - Department of Buildings	21	14
070 - Department of Business Affairs and Consumer Protection	14	43
073 - Commission on Animal Care and Control	16	6
078 - Board of Ethics	1	1
081 - Department of Streets and Sanitation	163	14
084 - Chicago Department of Transportation	214	23
085 - Department of Aviation	150	10
088 - Department of Water Management	216	9
091 - Chicago Public Library	219	21
All Departments	2273	18

Source: OIG analysis of City personnel data

³⁵ As noted earlier in the report, 1 hire, or 0.04%, was excluded from this calculation because the relate dates were either unavailable or not accurate.

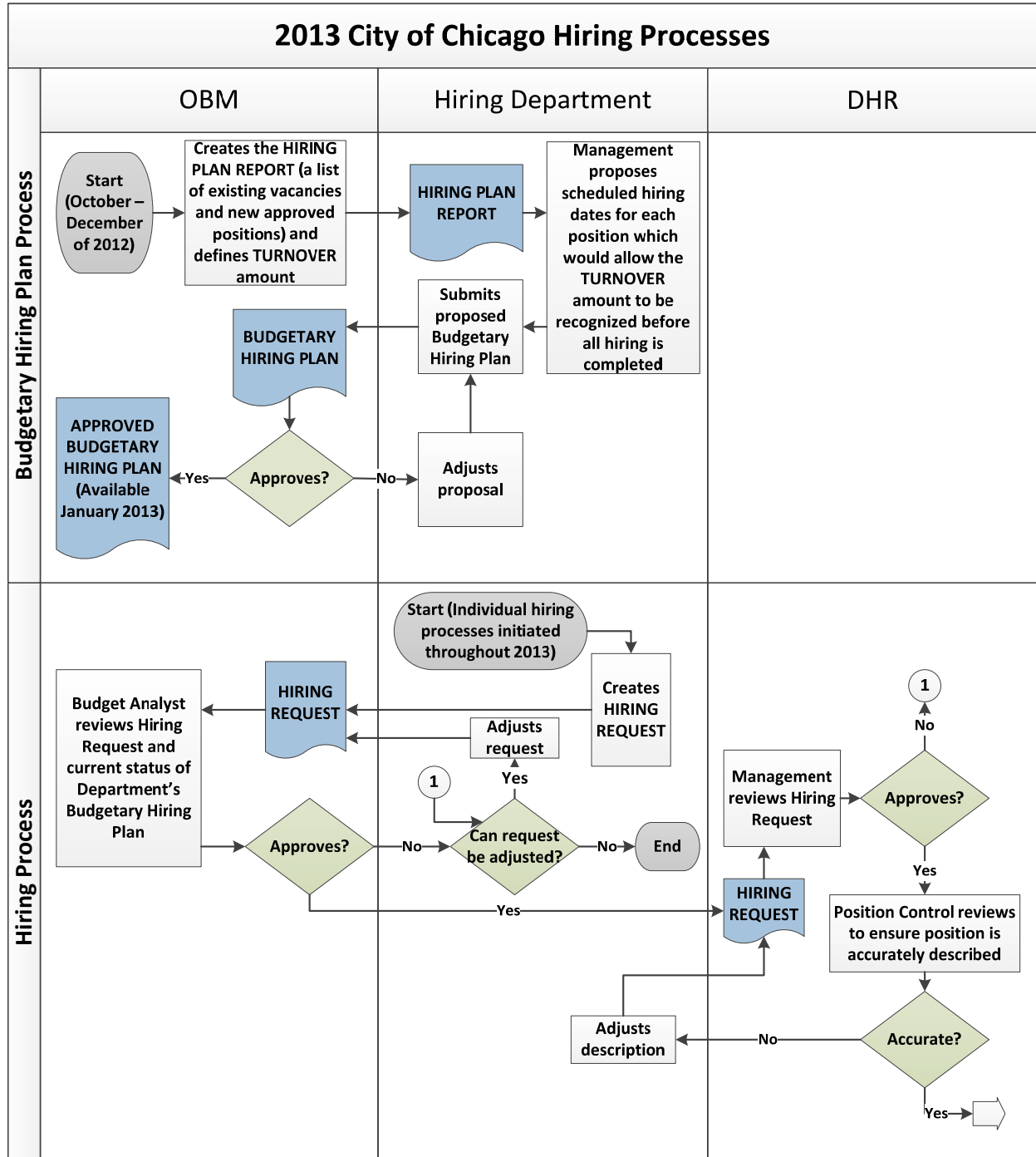
The following graph illustrates the average number of days elapsed between a department's request to hire and the date OBM approved the request, by month of request, for positions examined in this audit.

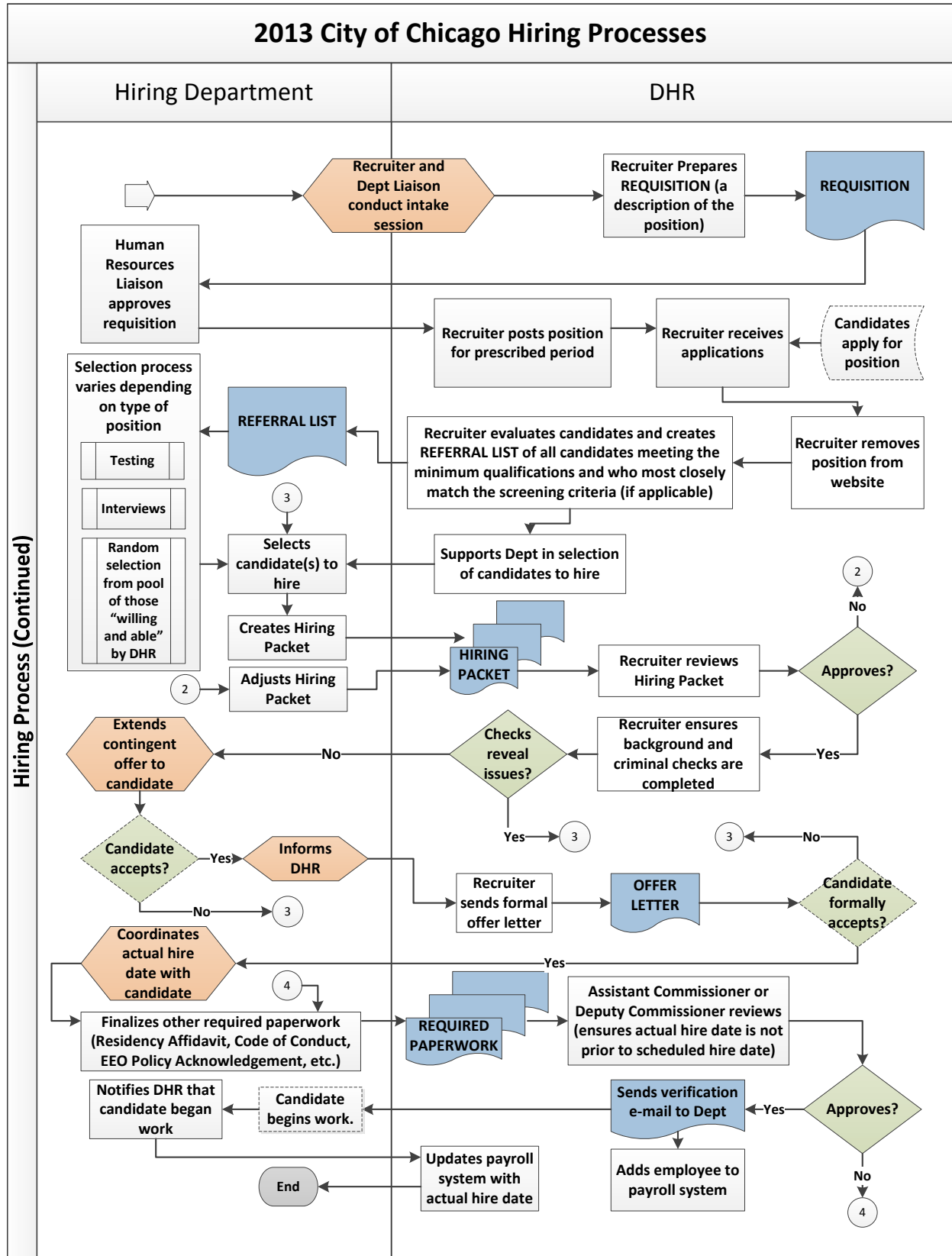


Source: OIG analysis of City personnel data

XIV. APPENDIX J: BUDGETARY HIRING PLAN AND HIRING PROCESS FLOWCHART

The following diagram shows the steps in the budgetary hiring plan process and the hiring process for 2013.





Source: Information provided by DHR and OBM

CITY OF CHICAGO OFFICE OF INSPECTOR GENERAL

Public Inquiries	Rachel Leven (773) 478-0534 rleven@chicagoinspectorgeneral.org
To Suggest Ways to Improve City Government	Visit our website: https://chicagoinspectorgeneral.org/get-involved/help-improve-city-government/
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The City of Chicago Office of Inspector General (OIG) is an independent, nonpartisan oversight agency whose mission is to promote economy, efficiency, effectiveness, and integrity in the administration of programs and operations of City government. OIG achieves this mission through,

- administrative and criminal investigations;
- audits of City programs and operations; and
- reviews of City programs, operations, and policies.

From these activities, OIG issues reports of findings and disciplinary and other recommendations to assure that City officials, employees, and vendors are held accountable for the provision of efficient, cost-effective government operations and further to prevent, detect, identify, expose and eliminate waste, inefficiency, misconduct, fraud, corruption, and abuse of public authority and resources.

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The authority to produce reports and recommendations on ways to improve City operations is established in the City of Chicago Municipal Code § 2-56-030(c), which confers upon the Inspector General the following power and duty:

To promote economy, efficiency, effectiveness and integrity in the administration of the programs and operations of the city government by reviewing programs, identifying any inefficiencies, waste and potential for misconduct therein, and recommending to the mayor and the city council policies and methods for the elimination of inefficiencies and waste, and the prevention of misconduct.