



**Association of Inspectors General  
524 West 59<sup>th</sup> Street, 3532N  
New York, New York 10018**

February 22, 2016

Joseph Ferguson  
Inspector General  
City of Chicago  
Office of Inspector General  
740 N. Sedgwick, Suite 200  
Chicago, IL 60654

Dear Inspector General Ferguson,

The Association of Inspectors General (AIG) performed a Peer Review of the City of Chicago Office of Inspector General (COC-OIG) Investigations Division (ID) and Audit and Program Review Division (APR) at your request. The Peer Review Team (Team) evaluated the work of these two Divisions covering the last three years (April 1, 2012 through December 31, 2015). The Team performed the review during the week of February 1, 2016 through February 4, 2016 at your office located at 740 N. Sedgwick, Suite 200, Chicago, IL 60654. The Peer Review assessed the work of the Investigations Division for compliance with the AIG Principles and Standards for Offices of Inspector General (Green Book) and the Audit and Program Review Division for compliance with the Government Auditing Standards (Yellow Book) issued by the U. S. Government Accountability Office (GAO). These standards are consistent with the qualitative standards under which your office's ID and APR Divisions have operated throughout the review period.

The three person Peer Review Team consisted of the following individuals:

Team Leader	Flora Tran, Regional Investigator/Co-Accreditation Manager Florida Department of Children and Families, Office of Inspector General
ID Review	James Mazer, Supervisory Special Agent/Accreditation Manager Miami-Dade County, Office of Inspector General
APR Review	Edyth Porter-Stanley, Forensic Auditor City of Detroit, Office of Inspector General

On behalf of the Team, I am pleased to advise that we found no reportable instances of failure to meet these standards. There are no limitations or qualifications on our opinion. It is the unanimous conclusion of the Team that both ID and APR met all relevant AIG and GAO standards for the period under review.

The remainder of this letter sets forth the purpose, scope, and methodology of the Peer Review.

### **Purpose**

The Team conducted an independent, qualitative review of the operations of the ID and APR Divisions of the City of Chicago Office of Inspector General, focusing on compliance with agreed-upon standards.

### **Scope**

The Peer Review covered ID and APR operations, resulting work products, and related file materials chosen from closed Investigations and completed Audits between April 1, 2012 and December 31, 2015 for both Divisions. The Peer Review's scope also covered the Divisions' compliance with their relevant policy and process manuals and procedural guides; staff qualifications; and professional training requirements. Lastly, the Peer Review assessed supervisory review and quality control over the work product, reporting of results, and the City of Chicago Office of Inspector General's relationship and communications with outside agencies. For this last step, the Peer Review Team met with external stakeholders with whom the City of Chicago Office of Inspector General frequently work, or who are the recipients of the City of Chicago Office of Inspector General work products.

### **Method**

The Peer Review Team generally followed the Peer Review/Qualitative Assessment Review Checklists developed by the City of Chicago Office of Inspector General for the ID and APR Divisions. These Checklists are based on the AIG and GAO Quality Standards. The Peer Review Team also called upon their own professional experience as senior managers of various Offices of Inspectors General and through their knowledge of and familiarity with best practices within the Inspector General community.

Prior to the actual on-site review, the Team requested information from both ID and APR, including but not limited to policy and procedures manuals, complaint intake, closed case logs, a list of issued reports, and a list of external stakeholders. The Team used this information to randomly select the work products and related case materials that were ultimately reviewed.

On February 1, 2016, the Peer Review Team held an entrance conference with you and your executive leadership, during which time we explained the Peer Review scope, methodology, limitations, and proposed schedule. During that morning, we also delivered our request for sample review materials. During the week, the Peer Review Team conducted their fieldwork through examination of the selected case files. The Peer Review Team also interviewed staff from both ID and APR. Interviewees for both Divisions included the respective Deputy Inspector General and Chiefs; and the Investigators, Program Analysts, General Counsel Staff, and Support Staff. The Peer Review Team also spoke with members of the newly formed Center for Information Technology and Analytics Division (CITA).

The Peer Review Team also reviewed the personnel files of current ID, APR, Legal, Administrative, and Executive employees and reviewed their Training and Continuing Education files, and all relevant policy and process manuals and procedural guides. All file requests were met fully and timely.

The Peer Review Team also met with you and other members of your leadership team to gauge their involvement and interaction with ID and APR.

- Karen Randolph, Chief of Staff
- Brian Dunn, General Counsel
- Kathryn Richards, Chief Assistant Inspector General
- Jonneida Davis, Chief Hiring Oversight

The Team conducted all interviews in confidence and without any limitation on scope or time. Reviewers requested follow-up interviews and explanations, as well as any supplemental documentation, and City of Chicago Office of Inspector General staff graciously accommodated the Peer Review Team.

The Peer Review Team also independently chose several external stakeholders to interview. Meetings were arranged between the Peer Review Teams and the external stakeholders for the purpose of evaluating agency cooperation, effectiveness, and responsiveness. Stakeholders included representatives from the:

- Cook County State Attorney's Office
- United States Attorney's Office
- City of Chicago, Office of the Mayor
- City of Chicago, Law Department
- City of Chicago, Department of Streets and Sanitation
- City of Chicago, Department of Fleet and Facilities Management

Finally, the Peer Review Team held an exit conference with you and your executive leadership on February 4, 2016, during which time the Peer Review Team shared its conclusion that the two Divisions fully met AIG and GAO standards. The Peer Review Team provided you with our observations and opinions gathered during the review. We held separate exit conferences with the Deputy Inspector General of each Division. During each of these exit conferences, Peer Review Team members elaborated on the observations made during the week of review. In each of the exit conferences, the Peer Review Team provided several observations that did not limit or qualify the opinion of the Peer Review, but were shared with you and your leadership team as possible areas of consideration going forward. Throughout the week, we had productive discussions with City of Chicago Office of Inspector General members (from the leadership to professional staff) regarding their positive experiences from past Peer Reviews and their affirming opinions about the Peer Review process.

As noted above, it is the unanimous conclusion of the Peer Review Team that both ID and APR met all current and relevant AIG and GAO standards for the review period.

On behalf of the AIG, I want to thank you for the confidence placed in the Association by requesting that we conduct this review. On behalf of the Peer Review Team, we would like to acknowledge and thank Inspector General Joseph Ferguson for all of his efforts in the coordination and planning of this event and for ensuring that we were provided with the necessary records and tools for a thorough and smooth review. Lastly, on behalf of the Peer Review Team, we would like to recognize that in all of our interactions with your staff, we were shown the respect and cooperation that is the hallmark of a professional staff truly interested in a full and open review of their work. At the same time, this has been a learning experience for each member of the Peer Review Team, for which we wish to convey our sincerest thanks.

Please feel free to contact me or any member of the Peer Review Team if you have any questions.

Yours truly,



Flora Tran.

Team Leader, AIG Peer Review for COC-OIG, February 2016  
Peer Review Committee, Association of Inspectors General

cc:

James Mazer, Team Member, AIG Peer Review for COC-OIG, February 2016  
Edyth Porter-Stanley, Team Member, AIG Peer Review for COC-OIG, February 2016