

INSPECTOR GENERAL'S OFFICE
ADMINISTRATIVE POLICIES AND PROCEDURES

ACKNOWLEDGEMENT RECEIPT

MISSION

INTRODUCTION AND DISCLAIMER

CITY OF CHICAGO PERSONNEL RULES

IGO ADMINISTRATIVE POLICIES AND PROCEDURES (APP)

IGO Designee List

SECTION I: GENERAL CONDUCT RULES

- 1.1 Code of Ethics
- 1.2 Confidentiality
- 1.3 Conflict of Interest and Recusal
- 1.4 Gifts
- 1.5 Nonpartisan and Non-Discriminatory

SECTION II: EMPLOYEE WORK RULES

- 2.1 Work Schedule and Availability
- 2.2 Timekeeping
- 2.3 Compensatory Time
- 2.4 Administrative Leave
- 2.5 Sick Leave
- 2.6 Vacation Leave
- 2.7 IT Equipment and Electronic Data
- 2.8 IGO Property
- 2.9 Badges and Credentials
- 2.10 Personal Property
- 2.11 Use and Maintenance of IGO Pool Vehicles
- 2.12 Vehicle Accident Procedures
- 2.13 Moving Violations and Parking Tickets
- 2.14 Indebtedness and Duty to Disclose
- 2.15 Dual Employment
- 2.16 Evaluations
- 2.17 Training

SECTION III: GENERAL OFFICE PROTOCOL

- 3.1 Requests for information or Documents
- 3.2 Document Retention
- 3.3 Travel

- 3.4 Reimbursement Procedure
- 3.5 Leaving City Employment
- 3.6 IGO Visitor Procedure

APPENDIX

CITY POLICIES/RELEVANT LEGAL REFERENCES

- City of Chicago Personnel Rules
- IGO Ordinance
- Ethics Ordinance
- City IT Security
- Drug and Alcohol Testing
- City Travel Policy
- City Information on Leaving City Employment
- City Reimbursement Policy
- Executive Orders 2011



Office of Inspector General

Administrative Policies and Procedures

Acknowledgement Receipt

I have received a copy of the IGO Administrative Policies and Procedures. I understand that I am responsible for reading, understanding and abiding by¹ these policies.

I understand that if I have questions, at any time, regarding these policies, I will consult with my immediate supervisor or the IGO Ethics Officer.

Employee Signature: _____

Employee Printed Name: _____

Date: _____

¹ These policies do not override any rights or obligations provided by an applicable collective bargaining agreement.

MISSION

The Chicago Inspector General's Office (IGO) is an independent, nonpartisan oversight agency whose mission is to promote economy, efficiency, and integrity in the administration of programs and operations of City government. The IGO achieves this mission through:

- Administrative and Criminal Investigations
- Audits of City programs and operations
- Reviews of City programs, operations and policies

From these activities, the IGO issues reports of findings, and disciplinary and policy 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.

INTRODUCTION AND DISCLAIMER

The following Administrative Policies and Procedures (APPs) set forth policies and procedures governing IGO employee¹ conduct. To the extent that IGO personnel are covered by a collective bargaining agreement, the APPs do not override any rights guaranteed by those contracts. Authority for development and administration of these rules emanates from City of Chicago Personnel Rule XXI and the Municipal Code of Chicago, Sec. 2-56-020. These APPs do not, are not intended to, and should not be construed to create any rights, constitute a contract, or contain the terms of any employment contract between the City of Chicago, any employee or applicant for employment, or any other person. Rather the APPs detail certain policies, procedures, guidelines, responsibilities and other matters the IGO deems relevant to its management and operations.

The APPs supplement and clarify as necessary the City of Chicago Personnel Rules (Personnel Rules), which are summarized for reference. The APPs do not and should not be interpreted as replacing the Personnel Rules, which apply as appropriate to all IGO personnel, depending on classification. The APPs are intended to address discrete or unique issues related to working for the IGO and may be more restrictive than those imposed on other City employees. Other rules and procedures governing City employment may be found in the Ethics Ordinance, and Executive Orders which have been included in the Appendix to these rules.

The IGO reserves the right to amend these APPs or any part or provision of them.

EMPLOYEE RESPONSIBILITIES

The APPs and any future modifications or additions shall be provided to all IGO personnel, who shall be responsible for becoming familiar with, and abiding by, these policies and procedures. Introductory training shall be provided to all incoming IGO personnel as part of their orientation.

The APPs, in conjunction with applicable Personnel Rules, City Ordinances, and Executive Orders, represent the standards governing the conduct of IGO personnel. IGO employees who violate the policies and procedures, as well as supervisors who accommodate such violations, may be subject to formal disciplinary action, up to and including discharge.

REVISIONS

The APPs supersede all prior IGO manuals, and any policies contained herein supersede prior versions or publications of those policies, as well as any prior formal or informal written procedure, advisory, guidance, or practice that may conflict with the APPs. Revisions and additions to the APPs will be made as necessary and distributed to all personnel. At least once each year, a committee appointed by the Inspector General will convene to undertake a review of

¹ The term "IGO employee" and "IGO personnel" are used throughout the APPs and include: all full or part-time employees, detailed police officers, and interns (paid and unpaid). Detailed police officers are expected to be aware of IGO policies, but certain policies may not apply to them due to their collective bargaining agreement or Chicago Police Department General Orders.

existing policies and procedures to determine if modifications are needed. The committee will forward recommendations for revisions or additions to the Inspector General for review and possible enactment.

CITY OF CHICAGO PERSONNEL RULES

A copy of the current Personnel Rules is available in the Appendix. IGO employees are expected to familiarize themselves with the Personnel Rules. Any questions should be directed to the Supervisor of Personnel Services or your supervisor. These rules apply to all IGO employees except as expressly indicated.

Below is an index and brief explanation of these rules. This explanation is intended to provide a very brief overview of the rules and is not intended to substitute for, or to provide an interpretation or modification of these rules.

RULE I - POSITION CLASSIFICATION

Defines Department of Human Resource responsibilities related to creating and classifying positions City-wide.

RULE II - MAINTENANCE AND ADMINISTRATION OF THE COMPENSATION PLAN

Authorizes the Commissioner of the Department of Human Resources (DHR) to review and recommend changes to salary, fringe benefits and working conditions, and to administer the annual Salary Resolution adopted by City Council.

RULE III - APPOINTMENTS IN THE CITY SERVICE

Defines the different types of employment classifications in the City.

RULE IV - RECRUITMENT AND APPLICATIONS

Sets forth the City Recruitment Procedures. IGO Hiring Compliance is responsible for auditing the City-wide recruitment/application process.

IGO recruitment and hiring is governed by Court Order which can be found on our website.

RULE V - EQUAL EMPLOYMENT OPPORTUNITY

The City and the IGO are Equal Employment Opportunity employers. The City and the IGO follow all applicable federal, state and local laws and ordinances prohibiting discrimination and/or harassment. *See APP# 1.5.*

Applicable laws prohibit discrimination on the basis of race, color, sex, gender identity, age, religion, disability (including, but not limited to, those living with HIV), national origin, ancestry, sexual orientation, marital status, parental status, military service or discharge status or source of income.

Applicable laws prohibit harassment on the basis of race, color, sex, gender identity, age, religion, disability (including, but not limited to, those living with HIV), national origin, ancestry, sexual orientation, military service or discharge status.

RULE VI – EXAMINATIONS

Sets forth rules and procedures for conducting examination for certain career Service positions. IGO Hiring Compliance is responsible for auditing the examination process.

RULE VII - EMPLOYMENT LISTS AND TRANSFERS

Governs procedures for developing and administering general employment, promotional, layoff, and transfer lists. IGO Hiring Compliance oversight includes this process.

RULE VIII - CAREER SERVICE APPOINTMENTS

Governs the process of filling Career Service positions. IGO Hiring Compliance oversees and audits this process.

RULE IX - PROBATIONARY PERIOD

Applies only to Career Service employees.

RULE X - PROMOTIONS AND CAREER PROGRESSIONS

Sets for the process for filling Career Service vacancies based on promotional exams. IGO Hiring Compliance oversees and audits this process as applied City-wide.

By court order, the IGO may establish its own process for promotions.

RULE XI - LEAVES OF ABSENCE

RULE XIA - LEAVES OF ABSENCE FOR NON CAREER SERVICE EMPLOYEES

Sets forth the types of leave available for Career Service and Non-Career Service employees.

IGO employees may be entitled to the following types of leave, depending on the circumstances: Duty Disability, Leave to a Non-Career Service position; Personal, Training, Jury Subpoena, Military Training or Special Duty, Family and Medical Leave (FMLA), and Victims' Economic Security and Safety Act (VESSA).

Section II of the APPs includes policies concerning the IGO Leave process.

RULE XII - REDUCTIONS IN FORCE

Apply only to Career Service Positions.

RULE XIII - RESIGNATIONS

Sets out the process for resigning from City Service.

RULE XIV - PERFORMANCE EVALUATIONS

IGO Performance Evaluation process is set forth in APP # 2.16.

RULE XV - TRAINING AND CAREER DEVELOPMENT

IGO training protocol is set forth in APP # 2.17.

RULE XVI - GRIEVANCE PROCEDURE

Apply only to Career Service employees.

RULE XVII - COMPLAINTS OF DISCRIMINATION

Any employee or applicant for City employment who believes that he/she has been the subject of illegal discrimination or harassment may file a complaint with the IGO EEO liaison.

RULE XVII A - DISABILITY APPEAL PROCEDURE

Any applicant or employee who is rejected for City employment based on a physical examination, and who believes such rejection is based on a disability may submit a complaint to the Commissioner of the Department of Human Resources.

RULE XVIII - DISCIPLINARY ACTIONS AND PROCEDURES FOR CAREER SERVICE EMPLOYEES

Sets forth 55 types of conduct (“work rules”) which can subject career service employees to disciplinary action up to and including discharge. These rules can also provide guidance for non-career-service employee conduct. This rule sets forth the City’s general disciplinary philosophy (“progressive discipline”) and process for issuing disciplinary action and hearing appeals. Types of disciplinary action include: reprimand, suspension, discharge, and demotion.

RULE XVIII - DISCIPLINARY ACTIONS FOR NON-CAREER SERVICE EMPLOYEE

Non career service employees are at-will but the work rules can provide guidance for their conduct. Progressive discipline and hearing procedures are not applicable to at-will employees.

RULE XIX - DRUG AND ALCOHOL TESTING POLICY

Sets forth the City policy prohibiting on-duty drug or alcohol use or impairment caused by drug or alcohol use. Sets forth testing requirements and procedures. Also references the Employee Assistance Program (EAP).

RULE XX - EMPLOYEE RELATIONS

DHR has responsibility for designing and administering all aspects of an employee relations program.

Also includes guidance on Outside Employment. *See* APP # 2.15 for IGO guidelines on seeking and performing outside (dual) employment.

RULE XXI - PERSONNEL ADMINISTRATION – RELATIONSHIP TO CITY DEPARTMENTS

Directs responsibility to the department head for personnel administration (e.g. development of work rules, work assignments, and record keeping).

RULE XXII - PERSONNEL RECORDS

DHR Commissioner designs system to maintain personnel records.

Provides guidance about confidentiality and maintenance of personnel records and employee medical records, and what information is public record and what information has restricted access.

RULE XXIII - CERTIFICATION OF PAYROLLS

DHR Commissioner must approve payroll action requests and must certify payroll before it can be processed by the Comptroller.

RULES XXIV AND XXV - are no longer applicable.

RULE XXVI - RECLASSIFICATION OF EMPLOYEES

Provides for process for DHR to re-classifying positions to reflect actual duties.

RULE XXVII - is no longer applicable by action of the City Council.

RULE XXVIII - SICK LEAVE

ADDENDUM TO RULE 28 – provides a list of illnesses and/or injuries that are not covered under this policy.

Provides guidance on the acceptable uses of sick leave and the certifications required for using sick leave.

See APP # 2.5 for the IGO notification process.

RULE XXIX - CONFLICT OF INTEREST

Restrictions on the ability of certain high level employees (non-clerical employees in Mayor's Office, Department Heads) to engage in outside employment.

Restriction on outside business interests of employees with contract management authority (and their spouses).

Prohibits an employee from recommending, retaining or hiring as a City employee or City contractor any person with whom the employee has a business relationship.

See APP# 1.3 for further Conflict of Interest provisions relevant to the IGO.

INSPECTOR GENERAL'S OFFICE
POLICIES AND PROCEDURES

DESIGNEE LIST
Effective: May 17, 2012

EQUAL EMPLOYMENT OPPORTUNITY LIAISON	Kathryn Richards
ETHICS OFFICER	Theodor Hengesbach
EVIDENCE ROOM CUSTODIANS	Kristopher Brown Sarah Hofsommer Matt Hart Melissa Villa
FILE ROOM MANAGER	Sophia Argumedo
FINANCIAL RECORDS MANAGER	Javier Santoyo
FOIA OFFICERS	Theodor Hengesbach Kathryn Richards
INVESTIGATIVE EQUIPMENT CUSTODIAN	Tony Florio
LEADS COORDINATOR	Brandon Marshall
LEGAL ASSISTANT	Donna O'Brien
LEGISLATIVE LIAISON	Jonathon Davey
PETTY CASH CUSTODIAN	Sophia Argumedo
RECORDS RETENTION CUSTODIAN	Twanna Bolling
SEXUAL HARASSMENT OFFICER	Kathryn Richards
STING FUNDS CUSTODIAN	Javier Santoyo
SUPERVISOR OF PERSONNEL SERVICES	Keyla Vazquez
VIOLENCE IN THE WORKPLACE LIAISON	Kathryn Richards

CODE OF ETHICS

I. Introduction

The IGO is charged with fostering and promoting accountability and integrity in City government, and all IGO personnel are expected to have a strong commitment to the IGO mission.

II. Purpose

The purpose of this policy is to set forth basic principles underlying IGO employee official duties.

III. Policy

- Integrity** Maintaining an ongoing dedication to honesty and responsibility
- Compliance** Following all municipal, state and federal laws and regulations, and all IGO policies and procedures related to their duties and responsibilities
- Fairness** Treating others with respect and decency
- Impartiality** Avoiding any conflict of interest between one’s personal interests and the public interest, and to bring to the Ethics Officer’s attention any situation that may cause, or appear to cause, a conflict
- Independence** Conducting City business with objectivity, and zealously maintaining the confidentiality of information and sources of information as required by law.
- Professionalism** Conducting City business with competence and forthrightness
- Trustworthiness** Acting in a reliable and dependable manner

Strict compliance with this Code of Ethics is mandatory for all IGO employees.

IGO employees are responsible for their own conduct in complying with this Code of Ethics. No one has the authority or the right to order or request an IGO employee to violate this Code. Any attempt (successful or not) by any person to influence another person to violate this Code of Ethics is itself a violation of this Code that should be reported to superiors and/or the IGO Ethics Officer. No one will be excused from complying with this Code of Ethics for any reason, even at the request of a supervisor.

Supervisors have the responsibility to ensure that employees under their immediate supervision understand and comply with this Code of Ethics at all times. All IGO employees are responsible for promptly reporting any known or suspected violations of this Code of Ethics. Failure to report a known violation of this Code of Ethics is in itself a violation of the Code and will be treated in the same manner as any other violation.

Any questions should be directed to the IGO Ethics Officer.

CONFIDENTIALITY

I. Introduction

In the course of their work, IGO employees may access or otherwise learn about IGO investigations or other matters, IGO investigative techniques or procedures and other confidential, privileged or personal information. IGO employees must exercise appropriate care at all times to ensure that confidential and personal information is fully protected and not improperly disclosed to unauthorized individuals or entities.

II. Purpose

The purpose of this policy is to affirm the importance of protecting confidential, privileged or personal information obtained in the course of official IGO duties.

III. Policy

A. Applicable Law

1. The Municipal Code of Chicago, Sec. 2-56-110, sets forth strict confidentiality restrictions concerning IGO investigative files and reports.
2. The Ethics Ordinance, Sec. 2-156-070, prohibits City employees from using or disclosing confidential information gained in the course of their employment, except in the course of their official duties.

B. IGO employees have a duty to protect against any unauthorized use or disclosure of confidential, privileged or personal information obtained in the course of their employment. At the outset of their employment, all IGO employees shall sign a Confidentiality Agreement restricting their ability to discuss investigative matters except as provided by law and are subject to disciplinary or other legal sanction for any violation.

C. IGO employees may not comment on the existence or status of an investigation except as investigative needs require or if given express permission by the Inspector General, the Director of Investigations or their direct supervisor. (*See* APP# 3.1 concerning requests for information).

D. IGO employees should direct any questions about this policy to their direct supervisor and/or the Ethics Officer.

CONFLICTS OF INTEREST AND RECUSAL

I. Introduction

Due to the sensitive nature of the IGO mission and the importance of maintaining public trust, all IGO personnel must avoid any situation in which their personal or financial interests might cause their loyalties to be divided. Even the appearance of a conflict of interest could undermine public perception about the independence, fairness and/or integrity of the office as a whole.

II. Purpose

This policy is intended to define conflict of interest and provide guidance for identifying and avoiding conflicts of interest. This policy also provides a process for recusing oneself from a matter where a real or apparent conflict of interest is unavoidable.

III. Policy

A. Applicable Rules

1. The City's Ethics Ordinance requires that all City employees owe a fiduciary duty to the City in the performance of their public duties. (*See* Appendix, 2-156-020 – Fiduciary Duty).
2. The City's Ethics Ordinance prohibits City employees from engaging in actions that may create a conflict of interest between the personal interest of the employee (or family) and that of the City. (*See* Appendix, 2-156-030 - Improper Influence; 2-156-040 - Gifts; 2-156-080 - Conflict of Interest).
3. The Personnel Rules prohibit certain business relationships between a City vendor and an employee who has contract management authority over that vendor. (*See* Personnel Rule XXIX – Conflict of Interest).

B. IGO Restrictions

1. IGO personnel owe a primary duty to advance the IGO's interests in the course of their official duties, and to ensure that nothing undermines their, or the office's, independence or objectivity. Non-IGO activities and relationships, including but not limited to personal friendships, family relationships, outside employment, board memberships, volunteer activities, and/or other outside activities that may interfere with this obligation must be disclosed to the IGO Ethics Officer.
2. IGO personnel may not directly or indirectly apply for, pursue or solicit employment for themselves, or any other person, from any City department or vendor involved in

an IGO matter which that employee is working on without prior notice to the IGO Ethics Officer as provided in section III.D.2., below.

3. IGO personnel are strongly advised not to engage in any political activity for any candidate for Chicago municipal office (Mayor, City Treasurer, City Clerk or City Council members). This policy adopts the definition of political activity contained in the Ethics Ordinance, Sec. 2-156-010(s). With respect to political activities for other elected or political office, please consult the IGO Political Activities Advisory Memorandum and the IGO Ethics Officer.

C. Self-recusal

Any IGO employee who determines that they may have an apparent or actual conflict of interest that would undermine the mission of the office, may seek recusal from working on a matter. Self-recusal requires the person to notify his/her supervisor and the Ethics Officer of such recusal, and to provide sufficient information to establish the need for recusal. A Notice of Recusal will be prepared by the Ethics Officer and distributed as provided in section III.E., below.

There may be circumstances where the IGO employee may be required to provide additional background information concerning the request for recusal. In such instances, the Ethics Officer's obligations are described in section III.E., below.

D. Disclosure of Potential Conflicts of Interest

1. IGO personnel are responsible for disclosing any actual or potential conflict of interest situation to the IGO Ethics Officer, and must abide by any and all conditions imposed to control or minimize the conflict. Such conditions may include removing the conflicted employee from any involvement in an IGO matter.
2. IGO personnel who wish to pursue an employment opportunity with another City department or a vendor involved in an IGO matter which that person is working on, must notify the IGO Ethics Officer prior to initiating any action or communication with that department or vendor about such position. That employee will be screened from any further official contact with that entity to avoid a potential conflict of interest.
3. IGO personnel must provide notice to the Ethics Officer of all arrests and/or citations issued to them by any city, county, state, or federal entity including, but not limited to, building violations, health code violations, streets and sanitation violations, and revenue violations. This does NOT include parking citations received off duty.
4. IGO personnel must provide notice to the Ethics Officer of any and all lawsuits in which they are involved either as a plaintiff, a defendant, or a witness.

E. Conflict Determination/Recusal and Ethics Officer Obligations

When the Ethics Officer becomes aware of a potential conflict of interest involving an IGO employee and an investigation or other matter being worked by the IGO, the Ethics Officer will gather sufficient information in order to make an initial conflict determination. For purposes of this section, a conflict exists when there is a possibility that the employee's, or the office's, impartiality might *reasonably* be questioned, and the employee will be recused from the IGO matter at issue.

The Ethics Officer will advise the affected employee and must promptly document the effective date of the recusal and communicate that recusal by: (i) sending an email to the head of section handling the matter, the attorney assigned to the matter, and the executive staff informing them of the recusal, and (ii) preparing a written Notice of Recusal, and uploading it to the IGO's electronic Remedy case file.

The Notice of Recusal will be distributed on a need-to-know basis, and will only contain those facts necessary to ensure that the affected employee is effectively screened from the IGO matter at issue.

If no conflict is determined to exist, the Ethics Officer will memorialize the inquiry and determination in a written memorandum which will be maintained in a secured file or electronic location.

The Ethics Officer is required to maintain the confidentiality of any information learned, and may only disclose information as necessary for the effective operation of the office.

F. Conflict of Interest – Executive Staff

In the event the IGO Ethics Officer has a potential conflict of interest he or she will inform the Inspector General who will decide if recusal is proper.

In the event that the Inspector General has a potential conflict of interest he or she will inform the Ethics Officer who will decide whether recusal is proper.

Notifications of any recusals shall be made as set forth in section III.E., above

G. Post-Employment Restrictions

All IGO personnel are subject to post-employment restrictions imposed by the Ethics Ordinance, Sec. 2-156-100, -105, Executive Order 2011-1, as well as the ongoing duty to comply with the provisions of the IGO Confidentiality Agreement after leaving the IGO.

CONFLICT DISCLOSURE AND REVIEW
(APP 1.3)

EMPLOYEE NAME _____ DATE: _____

TITLE: _____

NATURE OF POTENTIAL CONFLICT:

Personal: _____

Brief Description: _____

Outside Activity:

Volunteer _____ Board Member _____ Intern _____

Other (Explain): _____

Organization Name _____

Address _____

Contact Name _____ # _____

Brief Description of organization and participation: _____

Are you requesting Recusal? Yes ___ No ___

REVIEWED: _____ **DATE:** _____

APPROVED: _____ **DATE:** _____

Conditions/Recusals:

GIFTS

I. Introduction

Due to the sensitive nature of the IGO mission and the importance of maintaining public trust, all IGO employees must avoid any situation in which their personal or financial interests might result in or create an appearance of conflict of interest or divided loyalties in the performance of official duties either individually or by the IGO. Any questions about gifts should be directed to the IGO Ethics Officer.

II. Purpose

The purpose of this policy is to establish restrictions governing the receipt, solicitation or offering of gifts by employees of the Inspector General's Office in addition to those restrictions imposed under Municipal Code of Chicago §§ 2-156-142 (Offering, Receiving and Soliciting Gifts or Favors), 2-156-143 (Employee-to-Employee Gifts), and 2-156-144 (Disposition of Improper Gifts) (effective November 1, 2012). This policy must be read in conjunction with IGO Administrative Policies and Procedures # 1.3 (Conflicts of Interest and Recusal).

III. Policy

A. Receiving or soliciting gifts or favors from non-IGO employees, including other City employees

Definitions of the following terms apply throughout this policy:

“Gift” means any item or service for which the recipient did not provide fair-market value consideration.

“Prohibited Source” as used in this policy includes any individual or entity that may have a conflict of interest with IGO operations. Prohibited sources include, but are not limited to: any non-IGO City employee or any individual or entity for which disclosure would be required under APP # 1.3, or which an IGO employee knows or reasonably should know is involved with an IGO investigation or other matter.

“Relative” as used in this policy includes: (i) mother, father, husband, wife, domestic partner, brother or sister (including blood, step, half, or adopted), son or daughter (including blood, step or adopted), father-in-law, mother-in-law, daughter-in-law, son-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, grandparents or grandchildren; or (ii) the domestic partner's mother, father, brother, sister, son or daughter (including blood, half, step or adopted).

“Covered relative” as used in this policy includes: mother, father, husband, wife, domestic partner, brother or sister (including blood, step, half, or adopted), son or daughter (including blood, step or adopted), including any other relatives, by blood or marriage, residing in the same residence as the IGO employee.

- a. Except as detailed below, IGO employees and, subject to subsection (f) any covered relative must not:
 1. Solicit any gift;
 2. Accept any gift (including anonymous gifts, and cash, gift cards or cash equivalent);
or
 3. Accept any gift or money for participating in speaking engagements, lectures, debates or organized discussion forums in the course of the IGO employee's city employment.
- b. Subject to disclosure as detailed in Section III.C(a), IGO employees are permitted to accept gifts from relatives or friends who otherwise might be considered Prohibited Sources.
- c. Subject to the requirements of subsection (b), (d) and (e), the restrictions in subsection (a) do not apply to the following:
 1. Any opportunity, benefit, loan, or service that is available to the public on the same terms.
 2. Anything for which the IGO employee or covered relative pays the fair market value.
 3. Any lawful campaign contribution, provided that such campaign contribution is properly reported to the extent required by law; or activities associated with any fund-raising event in support of a political organization or candidate. (*See also* IGO Political Activity – Local Election Guidance Memo located in Shared Drive S:\IGO Policies, Procedures and Forms\FAQS AND INTERNAL MEMOS ABOUT ADMIN POLICIES AND PROCEDURES).
 4. Any gift from a relative.
 5. Any gift from an “official superior” as defined in Section III.B.
 6. Any gift from a personal friend, unless the recipient reasonably believes (or should believe) that, under the circumstances, the gift was given because of the IGO employee’s official position.
 7. Any bequest, inheritance, or other transfer at death.
 8. Any gift that is given to the city, provided that any person receiving the gift on the city’s behalf must immediately report to the Board of Ethics and to the Comptroller, who will add such gift to an inventory of the city's property.
 9. Any award for public service, provided that such award is not cash, a gift card, or a cash equivalent.
 10. Any material or travel expense for meetings related to a public or governmental

educational purpose, provided that any such travel has been approved in advance by the Board of Ethics.

11. Any food, refreshment, lodging, transportation, or other benefit resulting from the outside business or employment activities of the IGO employee if such benefits have not been offered or enhanced because of the IGO employee's official position and are customarily provided to others in similar circumstances. Provided that such outside activity has been disclosed and approved as required under APP # 2.15 (Dual Employment).
 12. Reasonable hosting, including travel and expenses, entertainment, meals or refreshments furnished in connection with meetings, public events, appearances or ceremonies related to official city business, if furnished by the sponsor of such meeting or public event.
- d. No IGO employee, or the covered relative of such employee, is entitled to accept anything of value, including, but not limited to, a gift, favor or promise of future employment, based upon any mutual understanding, either explicit or implicit, that the official actions, decisions or judgments of any IGO employee concerning the business of the city would be influenced thereby.
 - e. No IGO employee, or the covered relative of such employee, is entitled to solicit or accept any money or other thing of value including, but not limited to, gifts, favors, services or promises of future employment, in return for advice or assistance on matters concerning the operation or business of the city; provided, however, that nothing in this section prevents an IGO employee, or the covered relative of such employee from accepting compensation for services wholly unrelated to the IGO employee's city duties and responsibilities and rendered as part of his or her non-city employment, occupation or profession.
 - f. The prohibitions of this section do not apply to any food, refreshment, lodging, transportation, or other gift or benefit provided by a non-Prohibited Source resulting from the outside business, employment or community activities of a covered relative, if such benefit has not been offered or enhanced because of the IGO employee's official position, and is customarily provided to others in similar circumstances.

B. Gifts among IGO employees

- a. For purposes of this policy the following definitions apply:

“Official superior” as used in this policy includes IGO employees holding the following positions which may involve assigning work, evaluating another employee's work product, or involvement in promotional decisions, regardless of whether they have direct supervisory control over, or receive less pay than, another employee: Inspector General, Director of Investigations, Assistant Director of Investigations, Chief Investigators, Chief of Hiring Oversight, Deputy Inspectors General, Director of Program and Policy Review, and Chief Administrative Officer.

“Solicit” as used in this policy means to request contributions by personal communication

or by general announcement.

“Voluntary contribution” as used in this policy means a contribution given freely, without pressure or coercion. A contribution is not voluntary unless it is made in an amount determined by the contributing employee, except that where an amount for a gift is included in the cost for a luncheon, reception or similar event, an employee who freely chooses to pay a proportionate share of the total cost in order to attend such event will be deemed to have made a voluntary contribution.

“Occasional” as used in this provision will be interpreted strictly to mean infrequent or irregular.

- b. Except as provided in this section, an employee must not (i) give a gift to or make a donation towards a gift for an official superior; or (ii) solicit a contribution from another employee for a gift to either his own or the other employee's official superior.
- c. Except as provided in this section, an employee must not accept a gift from an employee receiving less pay than himself unless: (i) the two employees are not in a subordinate-official superior relationship; and (ii) there is a personal relationship between the two employees that would justify the gift.
- d. The restriction in subsections b(i) and b(ii) above do not apply to the following:
 1. On an occasional basis, including any occasion on which gifts are traditionally given or exchanged, the following may be given to an official superior or accepted from a subordinate or other employee receiving less pay:
 - i) Items such as food and refreshments of reasonable value to be shared in the office among several employees;
 - ii) Personal hospitality of reasonable value provided at a residence which is of a type and value customarily provided by the employee to personal friends; or
 - iii) Items of reasonable value given in connection with the receipt of personal hospitality of a type and value customarily given on such occasions.
 2. Subject to disclosure requirements set forth below in Section III.C(b), voluntary gifts of reasonable value appropriate to the occasion maybe given to an official superior or accepted from a subordinate or other employee receiving less pay:
 - i) In recognition of infrequently occurring occasions of personal significance such as marriage, illness, or the birth or adoption of a child; or
 - ii) Upon occasions that terminate a subordinate-official superior relationship, such as retirement, resignation, or transfer.
 3. An employee may solicit a voluntary contribution of no more than \$20.00 from a fellow employee for an appropriate gift to an official superior and an employee may make a voluntary contribution of a \$20.00 or less to an appropriate gift to an official

superior:

- i) On a special, infrequent occasion as described in subsection d(2) of this section; or
- ii) On an occasional basis for items such as food and refreshments to be shared in the office among several employees.

An employee may accept such gifts to which a subordinate or other employee receiving less pay than himself has contributed. Voluntary contributions of \$20.00 or less for a group gift to an official superior will be coordinated by an employee with no direct reports to avoid any impression of coercion. In addition, no record of amounts voluntarily given by individual IGO employees will be maintained.

- e. Notwithstanding any other provision of this section an official superior must not coerce a gift from a subordinate.

C. Disclosure of gifts received or given under an authorized exception

- a. Gifts exchanged with a relative or friend who might otherwise be considered a Prohibited Source as permitted under Section III.A

Where an IGO employee gives and/or accepts gifts from a relative or personal friend who might otherwise be considered a Prohibited Source, the IGO employee must disclose that person or entity as a potential conflict of interest and seek recusal, if appropriate, from IGO matters affecting that person or entity. (See APP # 1.3)

- b. Gifts provided to official superior as permitted under Section III.B(d)(2)

An IGO employee who intends to give a gift to an official superior as permitted under Section III.B(d)(2) must provide, before the gift is made, written notice to the Ethics Officer identifying the person to whom the gift will be made, the occasion giving rise to the gift, and a description of the gift.

- c. Record-keeping

Notifications required under Section III.C.(b) will be maintained in a separate file by the Ethics Officer. The Ethics Officer will maintain these records confidentially and only provide information to the Inspector General, or his designee(s), as required for efficient operation of the office.

D. Disposition of improper gifts

An IGO employee who receives an improper gift does not violate this policy if the employee promptly takes action to return the prohibited gift to its source and to notify the IGO Ethics Officer of the receipt of the gift and the action taken to return it. An IGO employee returning an improper gift must do so as soon as possible along with a letter providing details of the time place and manner in which the gift was provided and received, and indicating that the

IGO gift policy prohibits the gift from being accepted. A copy of the letter must be forwarded to the IGO Ethics Officer and will be included in the employee's IGO personnel file. Any gift of a perishable item or any gift from an anonymous source must be donated to a not-for-profit charitable organization (a 501(c)(3) organization) in the name of the City. No IGO employee may take a tax deduction or other form of benefit for donating such a gift. Any such donation must be made with a letter documenting the distribution, and that letter must be submitted to the IGO Ethics Officer and will be included in the employee's IGO personnel file.

GIFT DISCLOSURE FORM
(APP 1.4)

EMPLOYEE NAME _____ **DATE:** _____

TITLE: _____

**NAME OF PERSON
RECEIVING GIFT:** _____

TITLE: _____

**QUALIFYING OCCASION
(APP# 1.4 III.B(d)(2)):** _____

APPROXIMATE DATE OF GIFT: _____

DESCRIPTION OF GIFT: _____

REVIEWED: _____ **DATE:** _____

Comments:

NONPARTISAN AND NON-DISCRIMINATORY

I. Introduction

The IGO is an independent watchdog for the City and conducts its work in a nonpartisan and non-discriminatory manner.

II. Purpose

The purpose of this policy is to provide an unequivocal assertion of the IGO's commitment to a nonpartisan and non-discriminatory workplace and operation.

III. Policy

- A. The IGO is a nonpartisan, independent City department. Political affiliation and/or views will not be considered in hiring, assignment of work, performance evaluations or discipline (including termination).
- B. The IGO is committed to the principles of equal employment opportunity/affirmative action in all areas of its employment process, including but not limited to recruitment, hiring, promotion, discipline, discharge and the awarding of benefits for all qualified applicants. Therefore, race, color, religion, gender, sexual orientation, marital status, age, national origin, ancestry, physical or mental disability, veteran's status (as defined in the Illinois Human Rights Act), citizenship status (consistent with Title 8, U.S. Code, Section 1324A), arrest record, or any other non-merit factor, except bona fide occupational qualification (BFOQ), will be excluded from any employment decision or service provided by the IGO.
- C. In addition, it is the policy of the IGO that its personnel and applicants for employment will be free from any harassment based on race, color, religion, gender, sexual orientation, marital status, national origin, ancestry, physical or mental disability, or age.
- D. Likewise, the IGO prohibits partisan or discriminatory factors to influence its actions, decisions or judgments concerning an investigation, audit, program review or recommendation for disciplinary or administrative action.
- E. Complaints should be directed to the IGO EEO liaison.

WORK SCHEDULE AND AVAILABILITY

I. Introduction

Due to the nature of the work of the IGO, it is necessary that work schedules remain flexible and adaptable to circumstances which may occur at any given time.

II. Purpose

The purpose of this policy is to ensure that work schedules for IGO personnel satisfy operational needs and reflect the different responsibilities of each section of the office.

III. Policy

A. Standard Work Schedule

1. The Standard Work Schedule for all IGO employees is Monday through Friday, 8:30 a.m. until 5:00 p.m. with a one-hour lunch break (unpaid), for a 37.5 hour work week, except for Designated City Holidays.
2. IGO employees are compensated for 7.5 hours and must take an hour of lunch at some point during the day – although the work day may not start or end with the lunch break.
3. In the event of an unplanned late arrival or absence, IGO personnel must notify their direct supervisor as soon as possible. If the supervisor does not answer, leave a voice mail message; IGO employees who are assigned Blackberries should provide email notification.
4. Prior approval is required to receive compensation or compensatory time for any hours worked in excess of the 37.5 hour work week. *See APP# 2.3.*
5. Supervisors are responsible for coordinating the work schedules and availability of their subordinates to ensure that operational needs are met.
6. Supervisors are encouraged to adjust work schedules, if reasonable in light of operational needs of the office, as necessary under the circumstances. Such adjustments require supervisory notice and approval, which can be obtained in person, by telephone, or email. The supervisor is required to maintain a record of any schedule change they approve. (E.g. an investigator working a Standard Work Schedule who begins a surveillance at 2:00 a.m. may end their day at 10:30 a.m. with supervisory approval.)

B. Alternative Work Schedules

As operational needs allow, IGO employees are permitted, with supervisor's advance notice and approval, to arrange a schedule between the hours of 7:30 a.m. and 6:00 p.m. which accounts for 8.5 hours per day (including 1 hour unpaid lunch). Alternative Work Schedules must be documented by a memorandum in the individual's personnel file. IGO employees who do not work a Standard Work Schedule may be reverted back to the standard schedule as operational needs arise, with five work days' notice. Alternative Work Schedules are not guaranteed and may not be appropriate for all sections of the office.

IGO employees who request and are granted the benefit of an Alternative Work Schedule should understand that it is an accommodation that does not relieve them from the obligation to be generally available to check and respond (as appropriate) to telephone or email (if available) messages between standard 8:30 a.m. to 5:00 p.m. work hours (absent the occasional instance where the supervisor has been notified of unavailability). This requirement does not restrict one's off-duty activities.

For example, if an investigator is approved to work from 7:30 a.m. to 4:00 p.m., they are not authorized to immediately become unreachable at 4:00 p.m. If someone from the office wants to reach the investigator between 4:00 p.m. and 5:00 p.m., and the investigator is unreachable (and has not previously notified his/her supervisor of such unavailability), it will not be an acceptable excuse to say that the duty hours ended at 4:00 p.m.

C. Off-Duty Communication Availability

Depending on the Section and operational needs, certain personnel may be required to be reachable during off-work hours.

Members of the Executive Staff must be reachable after regular work hours through their official assigned communications device (e.g., Blackberry) and are responsible for regularly checking the device for messages, unless they have provided notice that they will be unreachable.

Each Section Head will identify personnel who are required to be reachable during off-duty hours through their assigned communications device. Personnel required to do so are responsible for checking the device at least once per day, unless operational needs require more regular monitoring. Personnel who expect to be out of reach or unavailable during off-duty hours must advise their supervisor.

This requirement does not restrict any personnel's travel during off-duty work hours and does not confine personnel to a specific geographic location.

TIMEKEEPING

I. Introduction

The IGO is committed to maintaining accurate time and attendance records and IGO employees are required to strictly comply with the following policy. The IGO does not use the City's Kronos system to record time and attendance because it provides information about the location and/or duty status of IGO personnel which could compromise an investigation or the safety of an employee.

II. Purpose

The IGO timekeeping policy provides an accurate record of time and attendance.

III. Policy

A. The IGO utilizes the following timekeeping system:

1. IGO employees must sign in and sign out on an attendance register located in their supervisor's office, or in a nearby location.
2. IGO employees located in an office at a different location from their supervisor must sign in and sign out by sending their supervisor an email from the offsite location.
3. IGO employees who begin or end their day outside an IGO office must notify their supervisor by email or telephone when they are starting and/or ending their workday.
4. IGO employees who forget to sign in or sign out shall notify their supervisor by email or telephone as soon as possible. The supervisor is responsible for confirming the actual start or end time and editing the attendance register as appropriate. The supervisor will also indicate the actual time that they are making the edit to the attendance register, and initial the entry.
5. Supervisors must review and sign the attendance register for employees under their supervision on a daily basis. Supervisors shall immediately bring any concern regarding the accuracy of the information on the attendance register to the attention of the Director of Investigations or the Inspector General.
6. Supervisors must note on the attendance register any adjustments, which should be made, such as for vacation, sick leave, furlough days, etc.

COMPENSATORY TIME

I. Introduction

The regular IGO work day consists of 8.5 hours, which for payroll purposes the City's Finance Office treats as being comprised of 7.5 paid working hours and 1 hour of unpaid lunch time, for a paid work week totaling 37.5 hours. Official duties of a time-sensitive nature may occasionally require IGO employees to work beyond the normal work hours. This policy is designed to ensure that accrual of and compensation for hours actually worked beyond the normal work hours complies with the federal Fair Labor Standards Act (FLSA).

II. Purpose

The purpose of this policy is to establish procedures for providing compensatory time for FLSA-covered IGO employees. This policy does not apply to any IGO personnel who are covered by a collective bargaining agreement.

III. Policy

A. Eligibility

IGO employees are considered FLSA-covered or FLSA-exempt depending on job duties. This distinction impacts how compensatory time is accrued and used. Attached to this policy is the list of IGO FLSA-exempt titles.

B. FLSA-Covered Employees

FLSA-covered employees include any positions not listed in the attached list.

1. General conditions for FLSA compensatory time

Full-time FLSA-covered employees are entitled to compensatory time for the performance of work in excess of the regular 37.5 hours within in a single work week. Accrual of compensatory time is subject to the pre-approval standards referenced below and the following conditions:

- a) Compensatory time is earned at a ratio of 1:1 for pre-approved work performance of the first 2.5 hours of work in excess of 37.5 hours in a single work week (i.e., up to 40 hours). For the pre-approved performance of work in excess of 40 hours in a single week, compensatory time will accrue at a rate of 1.5:1 (that is one and a half hours of compensatory time for every hour of time actually worked). Time will be accrued in thirty (30) minute increments, and only full thirty minute increments which are worked will be credited for compensatory time.

- b) Lunch time must be taken at some point during the work day, but the work day cannot start or end with lunch time. If lunch time is not taken, it cannot be requested as earned compensatory time.
- c) Unless authorized by the Inspector General, FLSA-covered employees may accrue no more than 100 hours of compensatory time per calendar year.
- d) Requests to use compensatory time are governed by procedures set forth below in section III.B.3.

2. Accrual of FLSA compensatory time

For purposes of FLSA compensatory time calculation, the IGO work week consists of seven consecutive 24-hour days beginning at 12:00 a.m. Sunday and ending at 12:00 midnight Saturday. Subject to the following approval requirements, time actually worked in excess of a full week's work of 37.5 hours paid will be credited as compensatory time. In order to receive credit for extra time worked, it must be pre-approved through the procedures stated below. Generally, approval will be granted for work on such things as special projects, time-sensitive projects, and emergencies. Approval for compensatory time will not be granted to complete paperwork or for work performed during lunch.

Compensatory time is earned based on time **actually worked in excess of 37.5 hours** in a single week – that is lunch time, sick, vacation or other leave do **not** qualify as time actually worked for compensatory time purposes.

In order to be credited with compensatory time, FLSA-covered employees must submit a "Request To Work Beyond Normal Duty Hours" form (attached) and be pre-approved by a Supervisor and Section Head.

Once the Section Head (Director of Investigations, Deputy IG or the Chief Administrative Officer), the Inspector General and the Mayor's Chief of Staff have approved or denied a "Request To Work Beyond Normal Duty Hours", the original shall be processed by the IGO timekeeper and a copy of the request form shall be returned to the requesting employee with the approval or denial noted.

If an FLSA-covered employee receives prior approval and performs work in excess of the regular 37.5 hours of paid time in a single work week, s/he should submit a "Weekly Compensatory Time Form" (attached) within two business days of the end of that week indicating the number of paid hours worked each day and the total number of paid hours worked for the week. This form must be submitted to and approved by their supervisor. Compensatory time earned will be the total weekly hours worked less 37.5 hours. Any work performed in excess of 37.5 hours but less than 40 hours will be credited at a 1:1 ratio. Work performed over 40 hours within the single work week will be credited at 1.5:1 ratio.

Supervisors are required to monitor the hours worked by their subordinates, and are encouraged to adjust work schedules, if reasonable in light of operational needs of the office, to avoid having FLSA-covered employees earn compensatory time unnecessarily.

3. Use of compensatory time

The Mayor's Chief of Staff must approve any use of accrued compensatory time. In order to initiate a request to use compensatory time, FLSA-covered employees must submit the attached "Compensatory Time Use Authorization" Form to their supervisor. Requests to use compensatory time must be made with reasonable advance notice. Requests to use more than two days of compensatory time consecutively must be made at least one week prior to the intended dates of use.

Compensatory time accrued after January 1, 2012 must be used within the calendar year in which it was earned (January 1 to December 31). If compensatory time is earned in December, the Inspector General may permit carrying over of compensatory time for a period of up to 3 months.

Where work duties and operational needs do not permit the use of accrued time, and absent an IG-approved carryover of accrued time, any remaining accrued time will be paid out based on the employee's regular hourly wage for each hour accrued.

The IGO timekeeper will confirm that the employee has sufficient accrued compensatory time and then forward the request to the Inspector General for approval to be sent to the Mayor's Chief of Staff for final approval.

In determining whether the request is appropriate to forward to the Mayor's Chief of Staff, the Inspector General will assess the operational needs of the office (including but not limited to anticipated workloads, emergency requirements and availability of qualified substitutes). Generally, a request for use of compensatory time will be forwarded unless it unduly disrupts office operations.

When compensatory time is used for a full day, 7.5 hours of compensatory time will be deducted from the accrued compensatory time.

FLSA-EXEMPT TITLES LIST

Inspector General
Executive Administrative Assistant
Deputy Inspector General
Director of Investigations
Assistant Director of Investigations
Director of Program and Policy Review
Chief of Hiring Oversight
Chief Administrative Officer
Fiscal Administrator
Supervisor of Personnel Services
Principal Programmer/ Analyst
Assistant Inspector General
Attorney (IGO)
Chief Investigator
Assistant Chief Investigator
Senior Auditor
Auditor
Associate Compliance Officer
Assistant Compliance Officer
Special Assistant
Forensic Audit Investigator
Policy Analyst



REQUEST TO WORK BEYOND NORMAL DUTY HOURS

I, _____, am requesting approval to work the following hours in excess of my normal work schedule.

Date _____ Estimated time: _____

I make this request in order to complete work that I am unable to complete during my normal work hours [insert project name, case number and general type of work]:

I understand that supervisory approval is necessary in order for me to be able to seek compensatory time.

Signed

Date

Supervisor Signature and Date

Section Head (Director of Investigations/Deputy I.G./ C.A.O.) and Date



WEEKLY COMPENSATORY TIME FORM

Name: _____ Date: _____

Week starting Sunday _____, and ending Saturday _____

Provide the following information:

<u>Day/date of week</u>	<u>Start Time</u>	<u>End Time</u>	<u>Total Hours</u>
Sunday			
Monday			
Tuesday			
Wednesday			
Thursday			
Friday			
Saturday			

Total weekly hours: _____

Less 1 hour unpaid _____

Lunch time per day _____

Total Hours Worked _____

Hours worked over 37.5/week _____

Hours worked over 40/week _____

Hours earned as Comp time: _____

I certify that I worked the hours represented above.

Signature

I have reviewed this form and the employee time records and confirm its accuracy.

Supervisor Approval:

Signature

Date: _____



**OFFICE OF INSPECTOR GENERAL
COMPENSATORY TIME USE REQUEST**

REQUESTOR INFORMATION

Date: _____

Name: _____

Title: _____

Date(s)/Time(s) Requested:

Employee Signature

TIMEKEEPER VERIFICATION

Available Accrued Comp Time: _____

Balance Remaining if Approved: _____

Timekeeper

Date

AUTHORIZATIONS

IGO Section Head

Approve: _____

Deny: _____

Date: _____

Inspector General

Approve: _____

Deny: _____

Date: _____

Mayoral Chief of Staff

Approve: _____

Deny: _____

Date: _____

(Reasons if Denied)

ADMINISTRATIVE LEAVE

I. Introduction

The City Administrative Leave Policy (*See Appendix, eff. 11-1-11*) provides four specific circumstances for placing an employee on paid Administrative Leave (AL). That policy also requires that requests for AL must be made by the Department Head to the Mayor's Chief of Staff for approval. Consistent with City policy, AL is not intended to substitute or supplement other leaves of absence, and is not guaranteed.

The City Paid Parental Leave Policy (*See Appendix, eff. 11-1-11*) permits a specified period of paid leave following the birth or adoption of a child, which is administered in conjunction with the Family Medical Leave Act (FMLA).

II. Purpose

This policy is intended to provide guidance for IGO employees about how to request AL. Compliance with the outlined procedures does not guarantee that requests will be granted – the ultimate approval is made by the Mayor's Chief of Staff.

The City's Administrative Leave Policy provides four instances when a Department Head may place an employee on paid AL. Two of those circumstances relate to pending investigative or disciplinary action (*See City Policy, Overview #1 and #2*). That policy also provides that AL may be appropriate for:

- “3. Emergency conditions where no other administrative option exists; and,
4. Other special circumstances where it is in the City's best interest to place the employee on a Paid Administrative Leave.”

This policy outlines procedures for IGO employees to initiate the process for requesting Administrative Leave (AL) in situations that could constitute grounds for the granting of AL as an emergency condition where no other administrative option exists or a special circumstance where it is in the City's best interests to place the employee on paid AL. Two such circumstances are: Medical Condition/Hardship and Extraordinary Contribution.

Only non-bargaining unit IGO employees are eligible to request AL. Any IGO personnel covered by a collective bargaining agreement will be subject to the terms of that agreement.

Any AL approved under the following provisions must be used for the purposes it was awarded and as scheduled. Any unused AL is forfeited. There is no cash payout for unused AL time granted under these provisions.

III. Policy

City policy requires that all requests for paid AL must be approved by the Mayor's Chief of Staff. The following protocol does not create any rights to AL, but is designed to provide guidance for how to make a request in appropriate circumstances (e.g. emergency or other special circumstances).

A. Medical Condition or Hardship

IGO employees may initiate a request for paid AL when faced with a hardship caused by a medical condition or similar hardship (e.g. recovery from serious illness or surgery, or serious family hardship). The request must be made in writing to the head of their assigned section or unit, and should include a detailed explanation for the need as well as a detailed plan for the use of the requested time. (See "Request for Administrative Leave – Medical Hardship" form). Note that any submissions which contain medical information will be treated in compliance with the confidentiality provisions of the Americans with Disabilities Act and/or the Family Medical Leave Act (FMLA).

In the event that the IGO employee is covered under FMLA for the circumstances giving rise to the request for AL, this policy will be read in harmony with FMLA and neither extends FMLA coverage nor creates any additional rights or privileges.

The section head will review the request and submit a recommendation to the Inspector General within two business days of receipt and indicate whether the request should be granted, modified or denied with an explanation for the recommendation. The Inspector General will review the request, and, if appropriate, will prepare a request for AL to be sent to the Mayor's Chief of Staff for final approval.

In assessing whether to submit this request to the Mayor's Chief of Staff, the Inspector General will consider all available administrative options including any employee benefits (paid or unpaid), as well as the operational needs of the office. The request should include a calendar identifying which days will be taken and what type of leave will be applied.

Prior to the IG's preliminary approval of such leave, the IGO employee must agree to reimburse the City for the value of any AL afforded to them if they resign from the City during the leave or within one year after returning from the leave.

B. Extraordinary Contribution

FLSA-exempt IGO employees who at the direction of a supervisor have been assigned a time-sensitive matter that required significant work to be performed outside of regular work hours (e.g., weekends or holidays) may initiate a request for up to one week (5 work days) of paid AL.

IGO employees seeking such leave must submit a "Request for Administrative Leave – Extraordinary Contribution" (see attached) form directed to the head of their assigned

section or unit, at least one full work week prior to the proposed leave date(s). The Request must include a detailed explanation or justification for the request, along with a detailed plan/schedule for its use. The section head shall review the request and submit a recommendation to the Inspector General within two business days of receipt whether the request should be granted, modified or denied with an explanation for the recommendation.

In assessing each request the Inspector General will consider, among other relevant factors: the operational needs of the office, the performance and contributions of the requestor, and the number of hours worked in excess of the normal work week (evenings, weekends, holidays) on time-sensitive matters as reflected by the official time records or other documentation. If the Inspector General determines that it is in the best interests of the City, he will submit a request to the Mayor's Chief of Staff for final approval.

REQUEST FOR ADMINISTRATIVE LEAVE – MEDICAL/HARDSHIP

TO: [Section Head]

FROM: [IGO employee]

DATE:

I am requesting ____ day(s) of administrative leave.

**Insert justification here or add additional pages
[Submit Separate Calendar with proposed leave dates]**

In consideration of the leave granted, I, _____, promise to reimburse the City for the value of the administrative leave given me if I resign from the IGO during my leave or within one year after returning from my leave. The options for repayment are reimbursement to the City in full for the face value of the administrative leave at the time of my separation from the City or to authorize the City to withhold accrued vacation up to the number of leave days granted. If a balance remains after using accrued vacation, I agree that payment will be remitted to the City for the balance within 60 days of a request from the City. The option that I choose will be determined at the time of separation.

Signature

SECTION HEAD RECOMMENDATION (initial one)

Approved ____ Modified ____ Denied ____ Date: _____

(Submit separate justification memorandum to the Inspector General)

INSPECTOR GENERAL (initial one)

Approved ____ Denied ____ Date: _____

If approved, date request prepared and sent to Mayor's Chief of Staff

Date

Form AL-MH

REQUEST FOR ADMINISTRATIVE LEAVE – EXTRAORDINARY CONTRIBUTION

TO: [Section Head]

FROM: [IGO employee]

DATE:

I am requesting ____ day(s) of administrative leave.

Insert justification and plan/schedule for use here or add additional pages

SECTION HEAD RECOMMENDATION (initial one)

Approved ____ Modified ____ Denied ____ Date: _____

(Submit separate justification memorandum to the Inspector General)

INSPECTOR GENERAL (initial one)

Approved ____ Denied ____ Date: _____

**If approved, date request prepared
and sent to Mayor's Chief of Staff** _____

Date

Form AL-EC

SICK LEAVE

I. Introduction

The accrual and use of, and documentation required for, Sick Leave is governed by City Policy, Personnel Rule XXVIII and Addendum/Rule 28. (*See Appendix*).

II. Purpose

This policy provides guidance about IGO procedures which effectuate City Sick Leave requirements.

III. Policy

A. Definition

For purposes of this policy, the IGO adopts the City's definition of "immediate family member" includes (i) mother, father, husband, wife, domestic partner, brother or sister (including blood, step, half, or adopted), son or daughter (including blood, step or adopted), father-in-law, mother-in-law, daughter-in-law, son-in-law, grandparents or grandchildren; or the domestic partner's mother, father, son or daughter (including blood, half, step or adopted).

B. Increments of Use

Sick leave may be used in half-hour increments.

C. Notification

1. IGO employees should notify their direct supervisor via telephone or e-mail a minimum of 30 minutes before their scheduled start time if they are unable to report for work due to personal illness/injury or illness/injury of an immediate family member for whom they must provide care. In an emergency situation, this notification may be made on behalf of the IGO employee by any responsible person including but not limited to any person defined as an immediate family member. Sick leave notification must be made for each workday that paid sick leave is being requested.
2. IGO employees who become ill during the work day and need to leave work must notify their direct supervisor in person, via telephone, or via e-mail as soon as reasonably possible. Anyone injured at the workplace or on duty must notify their supervisor. The supervisor must notify the Supervisor of Personnel Services. In emergency situations, seek and/or provide medical care immediately, and make office notifications as soon as practicable.

3. IGO employees who have a medical appointment scheduled during the work day for themselves or for an immediate family member under their care shall notify their direct supervisor as soon as reasonably possible in advance of the appointment in person, via telephone, or via e-mail.

D. Certification/Documentation

The City requires that employees provide “reasonable evidence” to justify the basis for the sick leave, and has developed two forms (referenced below) for this purpose. IGO employees who take sick leave must provide sufficient documentation to establish the need for the leave in accordance with City policy. This certification must be submitted to the Supervisor for Personnel Services. This documentation will be retained in a separate medical information folder.

E. Non-Qualifying Illnesses and/or Injuries

Refer to Addendum/Rule 28 for examples of illnesses and injuries that are not covered by the City Sick Leave policy. (*See Appendix*).

F. Family and Medical Leave Act (FMLA)

Refer to Personnel Rules XI and XIA for guidance about FMLA and other types of leave. (*See Appendix*).

G. City Required Forms

Attached are the City forms required for making the necessary certifications required under the City Sick Leave Policy.

1. City Form A – the Employee Certification Form
2. City Form B – The Healthcare Provider Certification Form

Questions regarding eligibility for, use of and notifications/certifications required for leave may be directed to the Supervisor of Personnel Services.

CITY FORM A

**CITY OF CHICAGO
EMPLOYEE SICK LEAVE CERTIFICATION**

Employee name: _____

Department: **City of Chicago, Inspector General's Office**

APPLICATION FOR PAID SICK LEAVE - EMPLOYEE ILLNESS

Please provide the following information in support of your request for sick leave:

1. State date(s) illness or injury: _____

2. Is this certification for yourself: _____ (YES OR NO)

3. If you answered question 2 "NO":

a. Is this certification for a family member: (YES OR NO);

b. If you answered question 3.a. "YES", what is the relationship between you and the family member?

I hereby acknowledge and certify that the information provided on this form is true and accurate. My signature below certifies that I am familiar with the City of Chicago's sick leave policy contained in Personnel Rule 28 and further certifies that my request is consistent with that rule. I am aware that providing false and misleading information may result in disciplinary action, up to and including discharge.

EMPLOYEE SIGNATURE

DATE

CITY FORM B

**CITY OF CHICAGO
HEALTH CARE PROVIDER'S CERTIFICATION**

Employee Name: _____

Department: **City of Chicago, Inspector General's Office**

State the name and location of health care provider visited:

CERTIFICATION OF HEALTH CARE PROVIDER VISIT

1. State date(s) and time(s) of visit: _____

2. If the employee is not the patient, state the relationship of the patient to the employee:

RETURN TO WORK (IF APPLICABLE)

I certify that _____ is
(patient's name)

presently able to return to work on _____ : **OR**
(date)

I certify that _____ is not presently able to
(patient's name)

return to work, but is anticipated to be able to return to work on _____.
(date)

HEALTH CARE PROVIDER SIGNATURE

DATE

VACATION LEAVE

I. Introduction

City policy provides that employees are eligible for paid vacations as of January 1 of each year following the year in which they were employed. As set forth in the current annual Salary Resolution adopted by City Council, full time employees will earn the following amounts of paid vacation, based on such employee’s seniority or continuous service as of July 1:

Less than 6 years of service	13 days
6 years or more, but less than 14 years	18 days
14 years or more, but less than 24 years	23 days
24 years	24 days
25 years or more	25 days

II. Purpose

The purpose of this policy is to set forth IGO policies and procedures for requesting and taking vacation leave. This policy does not alter the amount of vacation leave accrued or rolled over, which is determined by the City Council. IGO employees covered by a collective bargaining agreement will be subject to the terms of that agreement.

III. Policy

A. Scheduling Vacation Leave

To schedule vacation leave, IGO employees should submit a completed leave form to their supervisor at least five business days, or as soon as possible before the requested leave. The later the request, the more likely that the operational needs of the office may prevent approval. IGO employees must ensure that they have enough accrued leave available to cover the dates requested. Vacation leave requests shall be approved unless there are significant department, operating, or staffing needs which require the requestor’s presence at work during the period for which leave is sought. Supervisors should return the leave request to employee within two business days of the date that it was submitted indicating that the request has been approved or denied. The IGO employee should return the approved forms to the Supervisor of Personnel Services for processing. The Supervisor of Personnel Services shall confirm that the requestor has sufficient accrued and available leave to cover the approved request before the leave is used. In instances where the IGO employee does not have sufficient leave time to cover the approved request, the Supervisor of Personnel Services shall immediately notify that person and their supervisor with instruction that the requested leave is disallowed and a new request must be submitted. Supervisor denial of a leave request shall include a written justification for the denial on the form returned to the employee.

B. Vacation Leave increments

Employees may request to use vacation leave in hourly increments (up to 5 hours) or a full workday. One full workday equals 7.5 vacation hours.

C. Vacation rollover

City Policy permits a limited amount of vacation leave to be carried over from the calendar year in which such vacation was available for use to the next calendar year upon the approval of the department head.

D. Separation from service

City policy provides that in the event an employee has not taken his or her vacation as provided for herein by reason of separation from City service, he or she (or in the event of death the surviving spouse or estate) shall be entitled to receive his or her prevailing salary at the time of separation for such unused vacation.

Questions about Vacation Leave should be directed to the Supervisor of Personnel Services.

IT EQUIPMENT AND ELECTRONIC DATA

I. Introduction

Throughout the course employment IGO personnel will be assigned, or have access to, a variety of information technology (IT) resources and equipment to assist in completing their duties. In addition, IGO personnel will create and have access to electronic data. Proper use and security of IT equipment and electronic data is essential to ensure confidentiality and reliability of information.

II. Purpose

This policy is designed to supplement the City's existing City of Chicago IT Security Policy and City of Chicago Confidentiality and Acceptable Use Policy. (*See Appendix*). Unless expressly provided, this policy will incorporate any subsequent revisions to those policies. Where the City policy and IGO policy conflict, the IGO policy shall take precedence with respect to information and data security.

III. Policy

A. Definitions

The definitions provided in the City's IT Security Policy are adopted and incorporated herein. (*See Appendix*).

The following supplemental definitions are included for purposes of this IGO policy.

1. Information Assets – includes but is not limited to information and data created developed, processed, accessed, or stored in the course of official IGO work (e.g. documents, spreadsheets, email).
2. IGO IT Equipment - City or IGO-owned equipment and resources provided to IGO personnel, including but is not limited to, all PC's, flat monitors, laptops, Blackberries, printers, peripheral devices (such as “flash-drives” and other mobile data storage devices), servers, routers and switches or evolving technologies that perform or replace the functions currently performed by such IT equipment.
3. Personal Electronic Devices – includes but is not limited to IT equipment described above which is not owned by the City or the IGO, as well as personal digital assistants (PDAs), cellular telephones, tablet computers, MP3 players (such as iPods), handheld recording devices, and digital cameras.
4. Limited Personal Use - incidental, occasional and brief lawful activity while on duty which imposes negligible cost on the City and does not detract from the employee's

ability to perform their duties, interfere with another employee's ability to perform their duties, or otherwise undermine the mission of the IGO.

B. IGO Computer Equipment Assignment

All IGO personnel will be assigned a laptop or PC computer (including peripherals) to conduct authorized IGO business. The Chief Administrative Officer or her/his designee will assign and distribute all assigned IGO computer equipment.

1. Requests for long-term assignment of IGO computer equipment, such as computers, monitors, printers, and scanners will be processed through the Chief Administrative Officer or her/his designee.
2. IGO personnel assigned a PC or a laptop shall sign the Computer Equipment Verification Form (attached). This form shall be completed by the Chief Administrative Officer or her/his designee, and then verified and signed by the user.
3. IGO personnel may request Flash drives or other minor peripheral equipment through their direct supervisor.
4. The IGO personnel shall maintain custody of the computer equipment in accordance with the Computer Equipment Verification Form until employment terminates or the computer equipment is returned. IGO personnel are responsible for lost or negligent damage to any assigned computer equipment.
5. All computer equipment returned to inventory shall be inspected and verified using the corresponding Computer Equipment Verification Form, and shall be signed and released by the user and the Chief Administrative Officer or her/his designee confirming that the computer equipment and all peripherals are returned and in working condition.

C. General Rules Concerning Use of IGO IT Equipment and Technology Resources

IGO IT equipment is intended for business purposes, with limited personal use permitted in accordance with the IGO mission, City Personnel Rules, City IT policies and the Ethics Ordinance. Limits on use are set forth in the City IT Security Policy Section VI.B. (*See Appendix*).

Users have no expectation of privacy in their use of IGO IT equipment or Technology Resources (e.g. Internet services). The IGO reserves the right to monitor for unauthorized activity the information sent, received, processed or stored on IGO-provided network and computer resources, without the consent of the creator(s) or recipient(s). This includes use of the Internet as well as the City's e-mail and instant messaging systems.

IGO computers left unattended (in IGO facilities or in the field) for any length of time by an IGO user shall ensure that open documents and applications are saved or closed, and that access to the equipment is locked and/or shutdown.

All individually assigned IGO computers shall be logged out at the end of the work day and shall operate with an automatic default which results in log-out following no more than 15 minutes of idle time or non-use

D. General Rules Concerning Use of Personal Electronic Devices

Personal Electronic devices may be used by IGO personnel on a limited basis (see definition of “limited personal use”) during the work day with the following restrictions:

1. No personal electronic device may be connected to any IGO IT equipment without prior approval from the IGO Principal Programmer Analyst.
2. When official IGO work must be performed on non-IGO IT equipment (i.e. personal electronic devices), it must be performed on a secured, password protected network or a comparably secure system
3. Other than during lunch or breaks, personal telephone calls, e-mail communications, Internet browsing, and social networking activity, etc. on personal devices must be incidental, occasional, and of short duration, except in cases of emergency.
4. IGO Personnel must exhibit common courtesy when using their personal devices.

Some basic rules are:

- Ringers/alerts on personal devices must be set on silent or vibrate.
- Calls or communications must never interrupt or distract from work responsibilities or the work of other IGO personnel.

E. General Rules Concerning Electronic Information Asset Storage

1. Users shall store all information assets on the IGO LAN (local area network) servers. No information assets should be stored on the local or “C” Drive.
2. Working copies of documents may be saved to other IGO storage devices that comply with the City of Chicago IT Security Policy for Access Control.
3. The IGO Principal Programmer Analyst will perform regular backups of User files stored on the IGO’s file servers.

F. IGO Personnel Obligations concerning Electronic Data

All IGO personnel who come into contact with internal or confidential electronic data or information must keep this information secure and private in accordance with all applicable laws. (*See* APP # 1.2).

Therefore, IGO personnel or persons authorized to access IGO electronic data files and information are required:

1. To follow the City Confidentiality and Acceptable Use Policy. (*See* Appendix)
2. To only access IGO electronic data files on a need to know basis related to official duties;
3. Not to exhibit or divulge the contents of any IGO electronic record to any person except in the conduct of an official IGO work assignment or in accordance with the policies of the IGO;
4. Not to disclose the specifics of non-public IGO related investigations to unauthorized personnel;
5. Not to remove or cause to be removed copies of any investigation record(s) or report from any file from the office where it is kept except in the performance of his/her duties.

COMPUTER EQUIPMENT VERIFICATION FORM

**Inspector General's Office
City of Chicago**

On _____, the following computer equipment was assigned

to IGO employee _____:

Dell Latitude D8___ laptop Serial # _____

Asset tag # _____

Carrying Case # _____

Port Replicator S/N _____

Floppy S/N _____

Charger 1 S/N _____

Charger 2 S/N _____

1. I understand that all of the equipment listed above is City of Chicago property.
2. I understand that equipment listed above is assigned to me and that I am the only one authorized to use this equipment.
3. I understand that I may not swap or exchange any of the equipment listed above with another IGO employee unless I am given authorization to do so by the Inspector General or the Principal Programmer Analyst.
4. I understand that I may not add any software to the laptop computer unless I am given authorization to do so by the Inspector General or the Principal Programmer Analyst.
5. I agree to act responsibly in carrying, transporting, maintaining, and using this laptop computer.
6. I agree that when I transport this laptop computer, I will transport it in its carrying case.

7. I agree not to leave this laptop computer in an unattended vehicle unless absolutely necessary; and if so, I agree to place the laptop computer in the locked trunk or compartment of the vehicle while it is unattended.
8. I understand that if any of the equipment listed above is lost, stolen or damaged, I must immediately report this information to my immediate supervisor.
9. I understand that if the laptop is lost, stolen or damaged as a result of irresponsible or careless carrying, transporting, maintaining, or use, I may be held responsible for the cost of the repair and/or replacement.
10. I understand that a decision whether to hold an IGO employee responsible for any repair and/or replacement cost of a lost, stolen, or damaged laptop computer will be made by the Inspector General on a case by case basis, taking into account all of the circumstances.
11. I agree to abide by the IT Security and Use policies of the City of Chicago and the Inspector General's Office.
12. I agree that I will return all of the equipment listed above to the Inspector General's Office prior to leaving my employment with the Office or as requested by the Office. I understand that failure to return the equipment as required will result in a payroll deduction for the cost of replacement.

Inspector General's Office employee

Principal Programmer Analyst

Signature Date

Signature Date

Returned

Signature Date

Signature Date

IGO PROPERTY

I. Introduction

In the course of their work, IGO employees may from time to time be assigned or have access to City equipment or supplies.

II. Purpose

This policy sets forth the expectations for use of City property, materials and equipment.

III. Policy

- A. All City property, equipment and materials must only be used for IGO-related work.
- B. IGO employees using City equipment will take reasonable measures to ensure safety and security of any City equipment they are assigned or use.
- C. IGO employees must report any damage, loss or malfunction of City equipment which they use as soon as possible to their line supervisor.
- D. Supervisors must inform the Director of Investigations or the Chief Administrative Officer of any reported damage, loss or malfunctioning property or equipment.
- E. Damage or loss determined to have been avoidable or caused by employee negligence may require reimbursement for the cost of replacement or repair.
- F. Consult the Chief Administrative Officer with any questions.

BADGES AND CREDENTIALS

I. Introduction

The IGO issues badges and/or credentials to employees as a means of identification for use in connection only with official duties. This policy outlines procedures for the safeguarding of badges and credentials against misuse.

II. Purpose

The purpose of this policy is to ensure that badges and credentials are appropriately managed and used only in connection with official duties.

III. Policy

Depending on their position, IGO employees designated by the Inspector General shall be assigned a badge and a badge number. All IGO employees will be issued credentials which include the employee's photograph.

A. Use

1. IGO badges and/or credentials are issued for purposes of identification and shall be displayed only in connection with official duties. A badge and/or credentials may be used only by the person to whom they are issued and only for authorized official use. Authorized official use includes, but is not limited to: identification at an interview, identification during surveillance, or to gain access to government facilities for the purpose of conducting official IGO business.
2. Possession of an IGO badge and/or credentials does not connote law enforcement or peace officer status or authority and does not constitute authority to carry firearms.
3. IGO employees may not alter or change the officially issued credentials in any way including, but not limited to, affixing any unauthorized item or writing to it.
4. The IGO badge is to be carried on one's person only while on duty or while commuting to/from work. At all other times, the badge shall be secured at work in a locked office or a locked desk, or in a secure location at home. The badge must not be left in a vehicle or unattended bag.
5. Key cards or other identification shall not be kept with the badge.

B. Misuse

Unauthorized use or misuse of the badge and/or credentials may result in discipline, up to and including discharge. The following is a non-exhaustive list of improper uses:

1. Displaying the badge and/or credentials to a law enforcement officer in hopes of affecting his or her behavior (e.g. to get out of a ticket, an arrest, or other law enforcement action);
2. Displaying the badge and/or credentials at a place of business in order to gain access at a reduced cost or no cost, or to receive any other privileges not available to the general public or a government employee;
3. Displaying the badge and/or credentials for personal reasons or when use of a law enforcement or civilian identification card is required or appropriate;
4. Failure to take appropriate care to secure, or maintain control of, badge and/or credentials.

C. Loss/Theft of Badge and/or Credentials

1. Each IGO employee to whom an IGO badge and/or credentials is assigned shall make every reasonable effort at all times to prevent theft or loss of such items.
2. Upon determining that either a badge or credentials is missing, an IGO employee must immediately notify his/her direct supervisor and provide a written report of the circumstances surrounding the disappearance. Supervisors must provide the information to the head of the affected section and/or the Director of Investigations.
3. The Director of Investigations shall verify the facts surrounding the loss and shall submit a written report to the Inspector General that includes a determination as to whether or not the loss was avoidable and/or caused by the employee's negligence.
4. The Inspector General shall then determine whether or not the loss of the badge and/or credentials was avoidable. If the loss is determined to have been unavoidable, a replacement badge and credentials shall be issued to the IGO personnel at no cost. If the loss is determined to have been reasonably avoidable and/or caused by the employee's negligence, the IGO employee will be required to pay the replacement cost.
5. Avoidable loss of a badge or credentials may be considered as grounds for disciplinary action.
6. In the case of all lost badges, a report will be made to an appropriate law enforcement agency so that the badge number can be included in NCIC for national tracking purposes.

D. Damaged/Worn Badges or Credentials

Damaged or severely worn IGO badges or credentials shall be turned into the Director of Investigations and replacements shall be issued.

E. City Property

All IGO badges and/or credentials are property of the City of Chicago and must be immediately relinquished upon request of a supervisor or at the termination of employment.

PERSONAL PROPERTY

I. Introduction

The IGO provides all essential items required to perform one's duties. IGO personnel accept the sole risk for any personal property brought onto the IGO's premises.

II. Purpose

The purpose of this policy is to provide guidelines for any personal property brought to IGO premises by IGO personnel.

III. Policy

As a general policy, IGO personnel should not use personal property on IGO premises to perform their duties. Supervisors may approve exceptions to this policy if it is believed to be in the best interests of the IGO. In such cases, an agreement should be executed and approved by the Inspector General. See APP#2.7 for guidance on use of personal electronic devices during work hours.

USE AND MAINTENANCE OF IGO POOL VEHICLES

I. Introduction

The IGO maintains a pool of vehicles for use by the IGO personnel when conducting official business.

II. Purpose

This policy provides guidance to all personnel who operate IGO pool vehicles.

III. Policy

IGO pool vehicles are intended for City business. Personal use of an IGO pool vehicle is prohibited except for incidental, minor personal use in the course of City business, as detailed below. IGO personnel operating an IGO pool vehicle must have in his/her possession a valid Illinois driver's license. There is no expectation of privacy in an IGO pool vehicle.

A. Procedure for Obtaining Pool Vehicle

To check out a pool vehicle for official use, IGO personnel shall log reserved use on the "Vehicles" shared calendar in Outlook, and must note the IGO Case #, (if applicable), or the purpose, and estimated time, of usage. Vehicle use without prior log-in on Outlook as set forth above is prohibited.

B. Rules for Use of Pool Vehicle

1. All IGO personnel must utilize pool vehicles in a prudent manner, and strictly adhere to all motor vehicle statutes, laws and regulations.
2. Any damage to any vehicle must immediately be reported to the investigator's immediate supervisor. A delay in reporting any damage can result in liability for repairs and/or disciplinary action.
3. IGO personnel must keep pool vehicles clean and must remove any trash after use.
4. Smoking is not permitted in pool vehicles.
5. Pool vehicles must be returned with sufficient fuel. IGO personnel will use assigned fuel cards, and must submit receipts as directed by the IGO Fiscal Administrator.
6. If an IGO pool vehicle is involved in an accident during official use, the employee to whom the vehicle is assigned must follow the procedures set forth in APP# 2.12.

7. IGO personnel who receive a moving violation or parking ticket while operating an IGO vehicle and who wishes to contest liability must follow the procedures set forth in APP# 2.13.
8. Minor personal use incidental to use for City business is allowed. Examples include stopping for lunch on the way to or from an interview or stopping for a bathroom break during surveillance.
9. If use for City business coincides with the start or end of an employee's workday, he/she can drive a vehicle home overnight with prior supervisory approval. For example, if an investigator has early morning surveillance, the investigator can drive a vehicle home the night before.

VEHICLE ACCIDENT PROCEDURES

I. Introduction

The safety of IGO employees and the public is a central concern of the Inspector General's Office.

II. Purpose

This policy establishes the procedure for reporting accidents involving IGO pool vehicles.

III. Policy

A. Reporting of Accidents

IGO employees involved in an accident while operating an IGO pool vehicle must report the accident to their supervisor as soon as logistically possible after meeting immediate legal and safety responsibilities.

B. Post-Accident Procedures

When an IGO pool vehicle is involved in an accident of any sort, the IGO employee to whom the vehicle is assigned shall proceed as follows:

- ✓ Check for injuries; call police immediately
- ✓ Take down license plate of other vehicle
- ✓ Contact immediate supervisor
- ✓ If possible move vehicle to safe location away from traffic
- ✓ Take pictures of damage
- ✓ Do not discuss the accident (except with police) or offer or accept any financial settlement
- ✓ Do not sign any statements
- ✓ Use P.O. Box 2996, Chicago, IL, 60654 and 773-478-7799 for your contact information
- ✓ Complete the IGO Vehicle Accident Information Form – (attached)
- ✓ If no injuries, drive vehicle to nearest police station to prepare police report
- ✓ If other driver flees the scene of the accident, **DO NOT** engage in pursuit; proceed to nearest police station to prepare police report.

C. Supervisor Responsibilities

1. Depending on the circumstances, once notified, the supervisor shall go directly to the scene of the accident.
2. The supervisor, or the driver, shall submit original copies of the accident report and police report to the IGO vehicle account manager who must promptly fax a copy to the leasing company.
3. All vehicles involved in an accident must be returned to the leasing company. It is the responsibility of the account manager to arrange to return the vehicle to the leasing company as soon as possible and obtain a replacement.
4. Attaching the Vehicle Accident Information Form and a copy of the police report, the IGO employee shall prepare and submit to their direct supervisor a memorandum detailing the facts concerning the accident no later than the close of business on the day the accident occurs. If the accident occurs during the weekend or holiday, the report shall be submitted by the close of business on the next scheduled work day.
5. If the IGO employee is injured, the supervisor shall perform all of the above duties as well as assist in the preparation of all human resource paperwork on the day that the accident occurs or on the next scheduled business day if the accident occurs during a weekend or holiday.
6. Following an accident, the leasing company's insurer will handle outside investigation and litigation of the matter. IGO employee must not speak to the other driver or his/her insurer unless expressly approved by the leasing company's insurer and the Inspector General, Director of Investigations or a Deputy Inspector General - Legal Section.
7. IGO employees must consult a Deputy Inspector General - Legal Section prior to providing any statement regarding an accident.

IGO Vehicle Accident Information Form

- ✓ Check for injuries, call Police immediately if there's any personal injury or property damage
- ✓ Take down license plate of other vehicle
- ✓ Contact your immediate supervisor
- ✓ If possible move vehicle to safe location away from traffic
- ✓ Take pictures of damage
- ✓ Do not discuss the accident (except with Police) or offer or accept any financial settlement
- ✓ Do not sign any statements (If you are issued a ticket, you must sign it)
- ✓ You are required to provide to the other driver:
 - Your name
 - Address: P.O. Box 2996, Chicago, IL, 60654
 - Phone # : 773-478-7799
 - Leasing Company Insurance Information.
 - License Plate #

NOTE: You are not required to show your Driver's License to anyone but the Police

- Complete the information below
- If no injuries, drive vehicle to nearest police station to prepare police report
- If other driver flees the scene of the accident, **DO NOT** engage in pursuit; proceed to nearest police department to prepare police report.

Information to collect at the scene

Other Driver:

Name/Contact information (e.g., address, phone)

Insurance information: (e.g., Company, policy #)

Other Vehicle (e.g., Make, Model, Year, Description, License Plate No., State)

All Passengers in other Vehicle (name & contact information):

Any other Non-vehicle Property Damage (e.g., parked cars, fence, utility pole, etc.)
Property:

Type of Damage:

Owner's Name:

Address:

Phone:

All Passengers in your Vehicle:

Name:

Name:

Address:

Address:

Phone:

Phone:

Non-motorists involved in Collision (pedestrians, bicyclists)

Name:

Name:

Address:

Address:

Phone:

Phone:

Witnesses not involved in Collision

Name:

Name:

Address:

Address:

Phone:

Phone:

Draw position of all vehicles before and after collision

↑ N



Note any signs, traffic lights, medians or other physical elements

MOVING VIOLATIONS AND PARKING TICKETS

I. Introduction

IGO employees shall obey all motor vehicle laws when operating IGO pool vehicles. IGO employees receiving moving violations or parking tickets while driving IGO pool vehicles must timely report such occurrences.

II. Purpose

The purpose of this policy is to set forth requirements applicable to IGO personnel who receive moving violations or parking tickets.

III. Policy

A. Moving Violations and Parking Tickets While Operating IGO Pool Vehicle

IGO employees who receive a moving violation while operating an IGO pool vehicle must prepare a detailed memo regarding the circumstances surrounding the issuance of the moving violation with the original ticket attached. This memo must be prepared and forwarded to their direct supervisor no later than the next business day after issuance of the moving violation.

All parking tickets issued to IGO pool vehicles must be forwarded to the IGO employee's direct supervisor no later than the next business day after issuance of the parking ticket. IGO employees who fail to forward a ticket to a supervisor by the next business day will automatically be responsible for payment of the violation, absent a reasonable

Following a review and recommendation of the supervisor, the head of the section to which the IGO employee is assigned will determine if the ticket was received during the course of, and in furtherance of, the performance of their duties, the IGO employee who received the ticket will not be responsible for payment of the ticket.

B. Duty to Maintain Valid Illinois Driver's License

IGO employees who operate an IGO pool vehicle must possess a valid Illinois driver's license when operating an IGO pool vehicle.

IGO employees who must maintain a valid Illinois Driver's license as a condition of employment must immediately notify their direct supervisor if their license has been suspended or revoked.

INDEBTEDNESS & DUTY TO DISCLOSE

I. Introduction

All City employees have an obligation to abide by the rules regarding the payment of debts to the City. *See* MCC, Section 2-32-392, Personnel Rule XVIII, para. 52. All City employees must promptly pay all debts owed to the City.

II. Purpose

The IGO is committed to ensuring that all IGO employees make timely payment of any debt owed to the City of Chicago. The purpose of this policy is to make employees aware of their responsibilities.

III. Policy

A. City Indebtedness Checks

The City currently runs quarterly indebtedness checks of all employees by checking three City databases: BANNER (for water/sewer bills), CANVAS (for motor vehicle violations), and Administrative Hearings (for fines or penalties assessed for City Municipal Code violations). These checks require personal information to be provided to various departments, which is the type of information about IGO employees that is not generally distributed in the interests of privacy, confidentiality and safety. Therefore, the IGO will conduct checks of the above referenced databases, and will provide a report each quarter to the Department of Finance/Comptroller which either certifies that no IGO employees owe overdue City debt or identifies any overdue City debt owed by IGO employees.

B. Definition

“Overdue” debt is defined as any bill, fine or penalty (including interest) that has not been satisfied within the time period. It may also be referenced as past due debt.

C. Disclosure

In addition to disclosures required under APP # 2.1 – Conflicts of Interest, all IGO employees must provide information to the Supervisor of Personnel Services (SPS) about vehicles they own, any real property (including rental property) owned within the City, and any business licenses issued by the City, and this information must be updated as necessary and/or confirmed annually.

D. Database Checks

The SPS will run monthly queries of City databases (CANVAS, BANNER, and Administrative Hearings) to determine: (i) if any IGO employee has outstanding motor vehicle tickets or municipal code violations; and, (ii) if there are any debts owed to the City, including, but not limited to: fines and/or penalties resulting from motor vehicle violations, code violations or past due water/sewer bills.

Results of Monthly Database checks:

1. If an IGO employee is found to have an outstanding motor vehicle ticket or municipal code violation for which a fine or penalty either has not been imposed or has not yet become due, the SPS will issue an electronic notification to the employee providing information about the ticket or violation, and advising the employee of the duty to address the issue in a timely fashion. The notification will also be provided to the Ethics Officer to determine if there is a potential conflict of interest.
2. If an IGO employee is found to have any overdue debt owed to the City, the SPS will issue an electronic notification to the employee, their immediate supervisor and the Ethics Officer providing details of the overdue debt. IGO employees will be required to respond within two business days of the notice and must provide:
 - i. Confirmation of debt or ticket/notice of violation, and explanation of debt; and
 - ii. Proof of payment or dispute resolution status (e.g. payment plan, contesting liability or discharging debt in bankruptcy).

The notice and any employee response will be included in the employee's IGO personnel file.

3. The SPS will complete the IGO Employee Indebtedness Report, and submit it to the IG for review and action as appropriate. The report will either indicate that "No Overdue Debt" is owed by IGO employees, or indicates that an overdue debt was found and include all pertinent information concerning any overdue debt including the employee's responses required above, and submit the report to the Inspector General.
4. In cases where overdue debt has been found, the IG will review all relevant information and determine if the circumstances warrant disciplinary action.
5. All monthly IGO Indebtedness Reports will be electronically filed and archived by the IGO.

E. Quarterly Reports to Comptroller:

1. Based on the results of the monthly database checks, the SPS will prepare and sign a report within 2 business days of the end of each quarter (March 31, June 30, September 30, and December 31). That report will certify that database checks have been performed on all IGO employees that show either: (i) no overdue debt owed by IGO employees; or (ii) identifies IGO employees with overdue debt.
2. Following review by the CAO and IG, the Quarterly Indebtedness Report will be sent to the Comptroller no later than 5 business days of the end of the quarter.
3. The IGO will post a copy of the Quarterly Report on its website.

DUAL EMPLOYMENT

I. Introduction

The IGO recognizes that some IGO employees may wish to seek outside employment. However, due to the sensitive nature of the mission of the IGO, as well as provisions in the Governmental Ethics Ordinance, and the vital importance of maintaining public trust in the IGO, there are some restrictions on engaging in such activity.

II. Purpose

The purpose of this policy is to set forth the methods for requesting dual employment and guidelines regarding dual employment.

III. Policy

A. All IGO employees must comply with the City of Chicago Dual Employment Rule (Personnel Rule XX). (*See* City Dual Employment Memo in Appendix). Dual employment, including self-employment even if no profits are generated, must be reported to the IGO.

B. Documentation

IGO employees must complete a Dual Employment Form (attached) and forward it, with supporting documentation as appropriate, to their immediate supervisor.

C. Requests for outside employment will be reviewed and evaluated to determine if there is any conflict of interest (actual or apparent) or conflict of commitment (that is, the activity must not detract from the ability to perform IGO duties). All requests will be submitted and approved by the Inspector General or his/her designee. Approval will be revoked if the outside employment impairs or interferes with official duties. An IGO employee may not engage in any approved outside employment on any days that he/she called in sick to the IGO.

D. For record keeping and notification, once approved, information is submitted to the Department of Human Resources.

EVALUATIONS

I. Introduction

To assist in the development and progress of IGO employees, an evaluation shall be conducted at least once a year.

II. Purpose

The purpose of this policy is to standardize the evaluation process necessary for IGO employee development and productivity.

III. Policy

Through the evaluation process, IGO employees may make substantial improvements over past performance, thereby making a significant contribution to the mission of the IGO. In addition the IGO is able to refine and coordinate its objectives and to analyze each employee's development, performance and contribution to the overall mission of the department.

Supervisors shall work with their employees to develop appropriate objectives, and to define criteria for evaluating performance toward those objectives. IGO employees and evaluating supervisors will discuss the evaluation and each person will receive a final signed copy of their evaluation for their records. The evaluation becomes part of the employee's official performance documentation, and may be used to support a personnel transaction or disciplinary action.

Participation in the evaluation process is required of all IGO employees.

Investigation Section

Employees in Investigation Section will be evaluated at least once a year. The Director of Investigations will maintain a schedule listing of each employee's evaluation date. If the position is a "graded" position, and therefore has a scheduled "merit increase date," the evaluation date will usually be the same as the merit increase date. The Director of Investigations will make the schedule available so that all employees know their evaluation dates and supervisors know the evaluation dates for their supervisees.

Legal Section

All employees in the Legal Section will be evaluated at least once a year. The Deputy Inspector General will maintain a schedule listing of each employee's evaluation date which will coincide with their Anniversary date and/or first date of hire. The Deputy Inspector General will make the schedule available so that attorneys know their evaluation dates.

Audit and Program Review Section

All employees in the Audit and Program Review Section will be evaluated at least once a year. The Deputy Inspector General of Audit and Program Review will maintain a schedule listing of each employee's evaluation date which will coincide with their Anniversary date and/or first date of hire. The Deputy Inspector General of Audit and Program Review will make the schedule available so that employees in that section know their evaluation dates.

Hiring Compliance Section

All employees in the Hiring Compliance Section will be evaluated at least once a year. The Hiring Compliance Manager will maintain a schedule listing of each employee's evaluation date which will coincide with their Anniversary date and/or first date of hire. The Hiring Compliance Manager will make the schedule available so that compliance officers know their evaluation dates.

Administrative Section

All employees in the Administrative Section will be evaluated at least once a year. The Chief Administrative Officer will maintain a schedule listing of each employee's evaluation date. If the position is a "graded" position, and therefore has a scheduled "merit increase date," the evaluation process will begin one month prior to the merit increase date. The Chief Administrative Officer will make the schedule available so that administrative staff members are aware of their evaluation dates.

TRAINING

I. Introduction

The Inspector General's Office is committed to developing the professional skills of all IGO employees to enhance the efficiency and effectiveness of the office. Training is intended to improve public service, increase efficiency and economy, build and retain a workforce of skilled and efficient employees, and install and use the best modern practices and techniques in the conduct of IGO work.

II. Purpose

The purpose of this policy is to help achieve the IGO mission and performance goals by improving organizational performance through, formal (classroom) training, (forums, seminars, workshops), technology-based training (computer-based, satellite instruction), workplace sessions, and conferences.

III. Policy

A. Requests for Training

A written training request form must be submitted for all training even it is free and/or can be completed in the office, e.g., webinar, podcast, or conference call.

B. Approvals

Supervisors are required to review and approve requests for training occurring out of the office or which require payment.

Approval will be based on the following factors:

- Demonstrated benefit of the training to the IGO, (e.g. improve current job performance or expand current or future job responsibility).
- IGO employee professional development
- Meet office needs in response to evolving human resource management plans.
- Serve the public interest.
- The operational needs of the office, as well as the individual employee work obligations.

Certain IGO positions include outside training as part of the orientation/introductory process. In such cases, the direct supervisor will complete the request form.

C. Types of Training

1. In-House Training

The IGO will provide in-house training as appropriate, and IGO employees are encouraged to submit suggestions for in-house training topics. Employees will be given advance notice of in-house training sessions. Attendance at these sessions is mandatory unless informed otherwise by your immediate supervisor. Anyone with a scheduling conflict or potential conflict must inform their immediate supervisor as soon as possible.

2. Outside Training

IGO employees who wish to attend an outside training opportunity (regardless of the source of the training) must seek approval from their immediate supervisor. Requests for outside training must be made in writing using the Employee Request for Training by an Outside Source Form which requires supervisory approval even if there is no cost.

D. Funding

The IGO has some funds available to provide for training from outside sources. IGO employees are also encouraged to explore any applicable discounted rates available for government organizations or groups. Approval to attend training does not automatically guarantee funding by the IGO. If you are entitled to payment for other expenses during the training, you will be informed of the process in order to receive reimbursement.

E. Employee Conduct

IGO employees who are selected for outside training must remember that they are representing the IGO and must conduct themselves in a professional manner. IGO employees are reminded to adhere to the office Confidentiality Agreement with regard to IGO business. Compensatory time will not be granted for time spent in connection with training.

F. Follow-up

IGO employees who attend outside training opportunities may be required to provide a summary of their training either orally or in writing to their team or other relevant sections of the IGO. Any relevant materials not prohibited from copying and internal use by the IGO should be made available to appropriate IGO employees.

**CONTACT WITH DEPARTMENT HEADS
AND ELECTED OFFICIALS**

I. Introduction

To maintain consistency of IGO communication and interaction with outside entities, the IGO requires that employees provide notification prior to initiating any contact with the heads of any City departments and elected officials.

II. Purpose

The purpose of this policy is to set forth the process for notifying appropriate IGO supervisors prior to initiating contact with the head of a City department or any elected official.

III. Policy

A. Definitions

“Department Head” – The person in charge of any City department or agency.

“Elected official” – any person duly elected to serve a specific term of public office.

“Contact” – any communication either in-person, by telephone or electronic means.

“Executive IGO staff” - are the Inspector General, Director of Investigations, Deputy Inspectors General and Chief Administrative Officer.

“Designated IGO staff” - includes the Executive IGO staff and the Assistant Director of Investigations, the Director of Program Review, Hiring Compliance Manager, and Chief Investigators (collectively known as “Supervisors”), and other staff as expressly designated by the Inspector General.

B. Contact with Elected Official

All IGO employees seeking to contact any elected official must make written notification through their regular chain of command to the Inspector General and the legislative liaison before initiating such contact. This notice must include the general nature and purpose for the outreach and intended date of the outreach, and must be made as soon as possible (preferably at least 2 business days in advance). Notification must be made by email.

Supervisors must forward the notification to the Inspector General and include any concerns they may have. The Inspector General is responsible for raising any concerns as soon as possible prior to the contact.

C. Contact with Department Head

1. Non-investigative contact – Notification not required

Designated IGO staff may initiate contact with a department head, except where a department head is being contacted as a complainant, witness or subject of an investigation or inquiry. However, as soon as possible after the contact is made, the designated IGO staff member must provide notice and a brief summary of the communication for the Inspector General and any supervisor within their chain of command.

2. Non-investigative contact – Notification required

All other (non-designated) IGO staff seeking to initiate contact with a department head for non-investigative purposes must provide notice to their chain of command and the Inspector General. The notice must include the general nature and purpose for the outreach and intended date of the outreach, and must be made as soon as possible (preferably at least 2 business days in advance). Notification must be made by email.

3. Investigative contact – Notification required

Prior to initiating contact with a department head as a complainant, witness or subject, all IGO employees must provide notice to their chain of command and the Inspector General. The notice must include the general nature and purpose for the outreach and intended date of the outreach, and must be made as soon as possible (preferably at least 2 business days in advance). Notification must be made by email.

Any person in the chain of command, including the Inspector General, must raise any concerns about the contact as soon as possible prior to the initiation of the contact.

D. Contact initiated by Department Head or Elected Official

Any non-Executive IGO Staff member who is contacted by a department head or elected official should seek to address that person's immediate concern, and must notify the Inspector General through regular chain of command, with additional notification to the IGO legislative liaison as soon as possible after the contact. The notice should specify the date, time, means, location and subject matter of the contact.

REQUESTS FOR INFORMATION OR DOCUMENTS

I. Introduction

The confidentiality mandated by the IGO Ordinance (Sec. 2-56-110) and the nature of our mission, requires strict monitoring of information disclosure to outside entities. IGO personnel are obligated to maintain the confidentiality of investigative activity and information.

II. Purpose

The purpose of this policy is to establish a procedure for responding to requests from outside entities seeking documents or information gathered or maintained by the IGO.

III. Policy

The IGO may receive requests for information from several sources, including but not limited to: persons involved in investigations (complainants, subjects, or witnesses), the general public through Freedom of Information Act requests, subpoenas/court orders, media inquiries or from attorneys representing the City for cases in litigation. Any questions regarding requests for records, information, materials or documents, should immediately be forwarded to a Deputy in the Legal Section.

A. Requests for Records or Documents by Persons/Entities involved in an Investigation

All requests for information or documents about an investigation by persons or entities involved in an investigation must be made in writing. There is no special form and any written request that is legible should be accepted and directed as soon as possible to a Deputy in the Legal Section.

B. Requests for Records or Documents via the Freedom of Information Act (FOIA)

FOIA is a state law that permits access to *certain* public records. See 5 ILCS 140. Information concerning FOIA and the IGO can be found at our website:

The IGO will accept FOIA requests (1) by mail at P.O. Box 2996, Chicago, Illinois 60654; (2) by email to IGOFFOIA@chicagoinspectorgeneral.org; (3) by fax to 773-478-3949, or (4) in person.

Any FOIA request received by email (employee mailbox or the Report Corruption mailbox), must immediately be forwarded to the IGOFOIA email address – no message or report is required.

State law requires that each governmental unit designate one or more FOIA Officer(s) to respond to FOIA requests. These persons must be registered with the Illinois Attorney General, Public Access Coordinator (PAC), and must complete an annual training course approved by the PAC. The IGO FOIA Officers are listed in the IGO Designee List appended to these APPs

C. Processing a written request for information

All written requests for documents or records (either by mail, fax or hand delivery) must be date stamped or otherwise indicate the date and time of receipt on the request.

If the request indicates that it is being made pursuant to FOIA, it must be forwarded to a FOIA Officer as soon as possible. The FOIA Officer is responsible for providing a copy to the Legal Assistant who will maintain a log of all FOIA requests and responses.

Time is of the essence when responding to FOIA requests, since by law the IGO has 5 days to either respond or seek a 5-day extension.

D. Subpoenas or Court Orders

Subpoenas are official demands for testimony or information and can be issued by administrative bodies, prosecuting agencies or courts. Court orders are issued by judges in civil and criminal cases.

FOIA requests are different than subpoena requests or court orders.

1. Service of Subpoena

IGO personnel are not authorized to accept a subpoena that is specifically directed to another IGO employee without prior approval of the Inspector General or the Director of Investigations.

Subpoenas directed generally toward the IGO or Keeper of Records may be accepted by any IGO personnel.

2. Receipt of Subpoena/Court Order

All subpoenas and court orders must be forwarded to a Deputy in the Legal Section as soon as they are received.

E. Media Inquiries

All requests for information from the news media must be immediately referred to the Inspector General's Executive Assistant.

IGO personnel are prohibited from contact with the media without the express prior consent of the Inspector General.

F. Requests from Corporation Counsel (Law Department) or outside counsel

All requests for information or documents must be forwarded to the attorney assigned to the investigation or a Deputy in the Legal Section.

Before releasing any information, an IGO attorney must review the file to determine if appropriate privileges preclude dissemination.

G. Requests from Outside Law Enforcement Entities

All requests for information or documents should be forwarded to the Team Chief.

H. Informal requests for non-investigative documents or information

IGO personnel must consult the Director of Investigations or the IG Executive Assistant prior to releasing any non-investigative information or documents to ensure that such release will not adversely impact an investigation or other matter.

DOCUMENT RETENTION

I. Introduction

All IGO records, including electronic and scanned copies obtained or created by the IGO shall be subject to the Local Records Act (50 ILCS 205/), the Cook County Local Records Commission Rules (44 Ill. Admin. Code Title Part 4500), and the document retention policies and procedures of the City of Chicago.

II. Purpose

The purpose of this policy is to provide specific rules regarding the retention and destruction of IGO records and documents.

III. Policy

- A. The State of Illinois Local Records Commission is responsible for overseeing retention and destruction of local records. As required by law, the IGO will only dispose of records after receiving a Records Disposal Certificate based on the IGO Application for Authority to Dispose of Local Records.
- B. On an annual basis the IGO will conduct a review of all records to determine which records are eligible for destruction according to the IGO Record Retention Schedule. All records to be disposed will be reviewed to ensure:
 1. Compliance with the specifications listed on the State of Illinois-approved IGO Application to Dispose of Local Records;
 2. Compliance with all city, state, and federal audit requirements; and
 3. That the records will not be needed for any pending or anticipated litigation.
- C. Once the appropriate records have been identified, the IGO Records Retention Custodian will follow the steps necessary for proper disposal:
 1. At least 60 days before any records are to be destroyed a Records Disposal Certificate form must be completed and mailed to the Local Records Commission State of Illinois Archives for approval.
 2. Once the approved Records Disposal Certificate is received by the Records Retention Custodian, a copy of the approved Records Disposal Certificate, the completed Record Management Service Request form, and the completed Request for Shredding Services procured outside of the Department of Procurement form must be to the Department of General Services, Records Management Division.

3. An IGO Records Management Document Destruction form must be approved by the Inspector General and/or other appropriate Executive staff member.
4. Upon approval, a date shall be scheduled for on-site or off-site shredding.
5. At the time of the destruction, an independent witness and the assigned IGO Records Retention Custodian or IGO designee must be present at all times as records are being destroyed.
6. Once the destruction is complete all parties must confirm the documents have been destroyed by signing the IGO Records Management Document Destruction form and the IGO Records Retention Custodian will receive an Affidavit of Destruction from the vendor who performed the destruction of the records.
7. The original of the Approved Records Disposal Certificate, the Record Management Service Request form, the Request for Shredding Services Outside of the Department of Procurement Form, the Affidavit of Destruction, and the signed IGO Records Management Document Destruction form must be placed in the IGO archival files for record keeping.

TRAVEL

I. Introduction

In the course of fulfilling work responsibilities, IGO personnel may need to travel outside of the office.

II. Purpose

The purpose of this policy is to establish guidelines for the review and approval of payment or reimbursement for expenses incurred by IGO personnel work-related travel. This policy supplements the City Travel Guidelines (*See Appendix*).

III. Policy

A. General Considerations

IGO personnel are expected to exercise prudent business judgment when determining what form of transportation to use in the course of their duties. When traveling, IGO personnel should use the most direct route and the most economical transportation, taking into consideration travel time, expense, length of absence from the office, and convenience. For business travel within the city, employees shall use public transportation when reasonably possible. For other travel, employees will be reimbursed for authorized actual transportation expenses and other reasonable expenses incurred as provided in APP # 3.4.

B. Assigned CTA Cards

All employees requiring the regular use of local mass transportation in the course of their duties will be assigned a CTA card for use only in the course of work-related activity. For security, compliance, and maintenance purposes, authorized personnel will monitor and audit the use of these cards. If a card is accidentally used for personal travel, supervisors must be notified within 72 hours and immediate reimbursement of costs must occur.

CTA cards are IGO property, and IGO employees must ensure their safekeeping. Loss or theft of an IGO-issued CTA card must be immediately reported to the Fiscal Administrator who will deactivate card. If the loss or theft is determined to have been avoidable or caused by negligence, IGO personnel will be responsible for cost of the replacement of the card.

C. Air Travel

IGO-related business may occasionally require air travel. Air travel must always be arranged economically (coach class only) and in the best interests of the IGO. Most travel arrangements will be made by the Fiscal Administrator and directly charged to the IGO.

D. Mileage Reimbursement

IGO personnel who have been pre-approved to use their personal vehicle for work-related business must submit an IGO Monthly Mileage Reimbursement Form indicating and attesting to the actual number of reimbursable miles travelled. The Reimbursement Form must be accurately completed and mileage will be calculated from your starting work location to the offsite location(s) and back, it does not include commuting. Actual odometer readings must be provided.

REIMBURSEMENT PROCEDURE

I. Introduction

This policy establishes rules and procedures governing reimbursement of expenses incurred in the course of work-related activities.

II. Purpose

The purpose of this policy is to provide reimbursement guidelines for authorized expenses incurred in the course of official duties which are consistent with the City Employee Reimbursement Policy (*See Appendix*)

III. Policy

A. As provided by City policy, the IGO will reimburse IGO personnel for ordinary, necessary and reasonable expenses which are directly related to work activities.

B. Definition

“Directly related” means that the activity is necessary to the performance of the employee's job duties, and there is the expectation of deriving some current or future benefit for the IGO.

C. Request for Reimbursement

A Request for Reimbursement form should be completed and forwarded with supporting documentation to a supervisor within 3 business days of the expenditure. Original receipts are required for all expenses submitted for reimbursement. Requests for exceptions to this policy should document extenuating circumstances and be approved by the supervisor, and one of the following: Director of Investigations, Deputy IG or the Chief Administrative Officer.

D. Documentation

IRS regulations require that all business expenses be substantiated with adequate records. This substantiation must include information relating to:

1. The amount of the expenditure
2. The time and place of the expenditure
3. The business purpose of the expenditure

4. The names and the business relationships of individuals other than requestor for whom the expenditures were made.

Requests for reimbursement lacking this information will not be processed and will be returned.

Expense reimbursement forms, together with required documentation, must be submitted to the employee's immediate supervisor for review and signature approval within 3 business days. In the absence of the immediate supervisor, approval from the next higher level of supervision is required.

E. Supervisor's Responsibility

Supervisors who approve expense reports are responsible to ensure the following:

1. Expenses reported are proper and reimbursable under this policy
2. The expense report has been filled out accurately and has the required documentation
3. The expenses are reasonable and necessary

F. Reimbursable Expenses

IGO personnel are expected to exercise prudent business judgment when incurring expenses covered by this policy.

Personal vehicle use reimbursement: See APP# 3.3, Travel.

G. Sales Tax

The City, as a non-for-profit organization, is exempt from certain sales taxes. Exemption notices can be obtained from the IGO Fiscal Administrator. IGO personnel are responsible for ensuring that vendors with whom they deal are aware of this exemption when incurring expenses on behalf of the IGO. Questions about the sales tax exemption should be directed to the IGO Fiscal Administrator.

REQUEST FOR REIMBURSEMENT

Date: _____

IG #: _____
(If Applicable)

TO: _____

FROM: _____

I respectfully request a reimbursement for expenditures (as explained below) in the amount of \$_____.

Requestor

(Signature) DATE

Authorized by:

Approved by:

(Supervisor) DATE

Executive Staff DATE

Fund # _____ Account # _____ Amount \$ _____

Recorded by: _____ Date _____

LEAVING CITY EMPLOYMENT

I. Introduction

IGO employees leaving City employment are reminded of the post-employment restrictions set forth in the City's Ethics Ordinance, Sec. 2-156-100. In addition, all former IGO personnel are bound by the IGO Confidentiality Agreement regarding information about investigations learned during their tenure with the IGO. (*See APP # 1.2*)

II. Purpose

The purpose of this policy is to provide guidelines for employees leaving City employment.

III. Policy

In order to facilitate the employment separation process, it is best to allow enough time to make preparations for a smooth exit transition. Prior to leaving employment, IGO personnel may be asked to engage in an exit interview.

A. Documentation

IGO employees who intend to resign should submit a written resignation to his/her direct supervisor at least two weeks prior to her/his last day of City service.

B. Benefit Coverage

When leaving City employment, employees have several options to choose from in continuing employee benefits. For more information, refer to the City's Notice to Employees Leaving City Employment. (*See Appendix*)

C. IGO Property/Equipment

All City property must be returned in good condition and in working order when an employee separates service with the IGO. The Supervisor of Personnel Services is responsible for collecting an employee's badge and credentials, telephone credit cards, corporate credit cards, door, desk and file cabinet keys and/or key cards, parking lot stickers and/or transponders, identification cards, fuel cards, and any other special equipment including but not limited to: laptop, computers, radios, telephones, tape recorders and Blackberries.

IGO VISITOR PROCEDURES

I. Introduction

The IGO strives to achieve an environment that is safe and secure in order to protect its facility, staff and assets.

II. Purpose

The purpose of this policy is to set forth the specific protocols for providing access to IGO facilities to non-IGO personnel.

III. Policy

A. Access to IGO Premises

Only authorized persons are permitted into IGO property. All employees are required to provide as much as possible notice to the Chief Administrative Officer of any scheduled or anticipated outside visitors. All visitors shall be continuously escorted while on IGO premises and should never be left unattended while on IGO property.

B. Guests/Outside Visitors

Upon notification the Chief Administrative Officer will send an e-mail notification to include:

- Date
- Name
- Reason for visit
- Duration of visit
- Specific office location
- Any recommendations

On the day of visit, visitor/s will sign the guest log and will be issued a visitor's tag. All guests are required to wear the visitor's tag while on the premises. When leaving, guests shall return the visitor's tag and sign out on the guest log.