



OFFICE OF INSPECTOR GENERAL
City of Chicago



REPORT OF THE OFFICE OF INSPECTOR GENERAL:

***DEPARTMENT OF ADMINISTRATIVE HEARINGS
ADJUDICATION TIMELINESS AUDIT***

MAY 2016

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May 23, 2016

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

The City of Chicago Office of Inspector General (OIG) has completed an audit of the Department of Administrative Hearings' (DOAH) efforts to ensure timely adjudication of cases. The purpose of the audit was to determine if DOAH used nationally recognized performance measures, namely clearance rate and time to disposition, to assess the flow and timeliness of cases under its purview. Clearance rate is the ratio of cases closed to cases opened in a given reporting period. A clearance rate under 100% means that a case backlog will grow because more cases are opened than closed. Time to disposition measures the number of days it took to close a case.

As a quasi-judicial body adjudicating alleged violations of the Municipal Code of Chicago, DOAH is a frequent face of the City to its citizens. DOAH must coordinate closely with the various City departments that issue tickets adjudicated by DOAH in order to effectively manage its caseload. OIG found that DOAH did not measure or set standards for clearance rates or time to disposition. While OIG determined that DOAH's overall clearance rate from 2012 through 2014 was 99.3% (meaning that DOAH opened only slightly more cases than it closed), the Department was unaware of the quarterly caseload backlog and case length increases for some case types identified by OIG analysis.

Based on the audit results, OIG concluded that DOAH's lack of performance monitoring impeded the Department's ability to identify problematic backlogs and unusually long cases. OIG recommends that the Department use clearance rate and time to disposition, as well as other similar measures where appropriate, to evaluate its own performance on an ongoing basis. When management identifies changing trends, it should work with ticketing departments to identify causes and, if necessary, create a plan to address them. In response to the audit, DOAH committed to adopting clearance rate and time to disposition standards and monitoring its performance through quarterly reporting and appropriate corrective actions.

We thank DOAH management and staff for their cooperation on this audit.

Respectfully,

Joseph M. Ferguson
Inspector General
City of Chicago

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Acronyms

AHMS	Administrative Hearings Management System
ALJ	Administrative Law Judge
ANOV	Administrative Notice of Violation
CPD	Chicago Police Department
DOAH	Department of Administrative Hearings
DOB	Department of Buildings
MCC	Municipal Code of Chicago
NCSC	National Center for State Courts
OIG	Office of Inspector General

I. EXECUTIVE SUMMARY

The Office of Inspector General (OIG) conducted an audit of the Department of Administrative Hearings' (DOAH) efforts to ensure timely adjudication of cases. The first objective of the audit was to determine if the Department used the nationally recognized performance measures of clearance rate and time to disposition to evaluate the flow of cases requiring disposition in order to determine if it had a backlog.¹ The audit also examined whether the Department could identify how long a case took to move through court and analyzed the Department's performance using the two metrics mentioned above. Finally, the audit sought to determine whether DOAH's scheduling matrix effectively served operational needs by allotting sufficient court rooms and time for cases.

DOAH conducts administrative hearings for alleged violations of the Municipal Code of Chicago (MCC), the Chicago Park District Code, and the Chicago Transit Authority Code. It handles approximately 545,000 cases per year on matters ranging from building code violations to overdue water bills and employs 42 staff and roughly 80 independently contracted Administrative Law Judges (ALJs) to hear cases. DOAH must coordinate closely with the various City departments that issue tickets in order to effectively manage its caseload and allocate its resources.² It uses a scheduling matrix to assign cases by ticketing department and case type to hearing rooms in order to regulate the number of cases scheduled to be heard on a given day and time.

OIG found that DOAH did not measure or set standards for clearance rates or time to disposition. As a result, it was unaware of caseload backlog and case length increases for certain case types identified by OIG analysis. Clearance rate and time to disposition are two nationally recognized performance measures for all court levels, including municipal courts, to use to improve their performance.³ Clearance rate is the ratio of cases closed to cases opened in a given reporting period. A clearance rate under 100% means that a case backlog will grow because more cases are opened than closed. Time to disposition measures the number of days it took to close a case.

OIG's analysis found that DOAH's overall clearance rate for all cases between 2012 and 2014 was 99.3%. However, we also identified some case types with clearance rates substantially lower than the Department's overall rate, including Building Code Target cases that involve life and safety violations. Such clearance rates lead to growing backlogs that may ultimately create a strain on DOAH resources and adversely impact the Department's administration of this important public service. In addition, we found that some case types had significant changes in time to disposition between quarters, revealing occasional spikes in case length. Based on these findings, we determined that the scheduling matrix, while regularly updated, could better meet

¹ The National Center for State Courts (NCSC), a professional association that works closely with other industry organizations such as the American Bar Association, has established clearance rate and time to disposition as two performance measures that courts can use to improve their performance. National Center for State Courts, "High Performance Courts," accessed November 3, 2015, <http://www.ncsc.org/Information-and-Resources/High-Performance-Courts.aspx>, and "CourTools," <http://www.courttools.org/Trial-Court-Performance-Measures.aspx>.

² In this report, "ticket" is used generically to refer to any Administrative Notice of Violation (ANOV) that falls under DOAH's purview.

³ National Center for State Courts, "CourTools: Why Measure Performance?" accessed November 3, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/CourTools_Trial_Why_Measure.ashx.

the Department's operational needs if DOAH incorporated additional information learned from ongoing monitoring of these performance measures.

OIG concluded that DOAH's lack of performance monitoring impeded the Department's ability to identify potentially problematic backlogs and unusually long cases. OIG recommends that the Department use these measures, and other similar measures as appropriate, to evaluate its own performance on an ongoing basis. When management identifies changing trends, it should work with departments that issue the tickets to identify causes and, if necessary, create a plan to address them. OIG conducted our analysis using data readily available in DOAH's AHMS database. We believe that the small cost to DOAH of creating similar reports would be significantly outweighed by the benefit of information provided.

In response to our audit findings and recommendations, the Department stated that it will adopt clearance rate and time to disposition standards and monitor its performance relative to those standards through ongoing, quarterly reporting. The Department stated that, based on these reports, it will take appropriate remedial actions to promote the timely adjudication of its cases.

The specific recommendation related to the finding, and DOAH's response, are described in the "Audit Finding and Recommendation" section of this report.

II. BACKGROUND

DOAH is a municipal judicial body with the mission of providing “quality administrative hearings for the City of Chicago in a timely, efficient, and cost-effective manner, with respect for the dignity of individuals and their due process rights.”⁴ DOAH conducts administrative hearings for approximately 545,000 cases per year. As such, the Department is a frequent representative of the City to its citizens.⁵ Hearings are limited to alleged violations of the MCC, the Chicago Park District Code, and the Chicago Transit Authority Code. Per the MCC, ALJs may not imprison a respondent, nor may they impose a fine of more than \$50,000, except in tax cases.⁶ The Cook County Circuit Court is the appellate body for ALJs’ decisions.⁷

The Department operates in three hearing facilities and divides hearings into four Divisions: Buildings, Environmental Safety and Consumer Affairs, Municipal, and Vehicle.⁸ Below is a sample of the types of cases each division adjudicates:

Table 1. DOAH Divisions and Sample Case Types

Buildings	Environmental Safety and Consumer Affairs	Municipal	Vehicle
<ul style="list-style-type: none"> • Building, zoning, and fire code violations • Lead paint violations 	<ul style="list-style-type: none"> • Sanitation code violations • Chauffeur violations • Complaints against food businesses • Complaints of harboring rodents • Home and auto repairs complaints • Overflowing garbage • Selling cigarettes to minors 	<ul style="list-style-type: none"> • Civil infractions, e.g., disorderly conduct, trespassing, drinking on the public way • Business tax collections • Wage garnishment • Vehicle impoundments 	<ul style="list-style-type: none"> • Red light camera violations • Parking tickets • City sticker violations • Booted vehicles

Source: City of Chicago, Office of Budget and Management, “2015 Budget Overview,” 41-42, accessed July 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2015Budget/OV_book_2015_ver_11-24.pdf. This is not an exhaustive list of potential violations.

⁴ City of Chicago, Department of Administrative Hearings, “Mission,” accessed July 28, 2015, http://www.cityofchicago.org/city/en/depts/ah/auto_generated/ah_mission.html.

⁵ The National Center for State Courts notes that, “As ‘citizen courts,’ municipal courts can have a great influence over how the public perceives the justice system as a whole, since the principal and most common case types of these courts include traffic and ordinance violations, small claims cases, domestic cases, misdemeanor offenses, and other preliminary proceedings in felony cases.” National Center for State Courts, “Municipal Courts: Resource Guide,” accessed November 3, 2015, <http://www.ncsc.org/Topics/Special-Jurisdiction/Municipal-Courts/Resource-Guide.aspx>.

⁶ City of Chicago, Municipal Code, § 2-14-040(10).

⁷ 735 ILCS 5/3-111.

⁸ City of Chicago, Office of Budget and Management, “2015 Budget Overview,” 41, accessed July 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2015Budget/OV_book_2015_ver_11-24.pdf.

A. DOAH's Annual Budget, Staff, and Administrative Law Judges

DOAH's budget and full-time equivalent positions (FTEs) from 2012 to 2015 were as follows:

Table 2. DOAH Budget Appropriation and FTEs 2012-2015

Year	2012	2013	2014	2015
Total Appropriation	\$7,279,375	\$7,335,668	\$7,835,668	\$7,965,375
FTEs	41	42	42	42

Source: City of Chicago, Office of Budget and Management, "2013 Budget Overview," 46, accessed July 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2013%20Budget/2013Overview.pdf; "2014 Budget Overview," 43, accessed July 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2014%20Budget/2014Overview.pdf; "2015 Budget Overview," 42, accessed July 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2015Budget/OV_book_2015_ver_11-24.pdf; and "2016 Budget Overview," 68, accessed October 28, 2015, http://www.cityofchicago.org/content/dam/city/depts/obm/supp_info/2016Budget/2016BudgetOverviewCoC.pdf.

Hearings are conducted by approximately 80 ALJs, who are contracted attorneys from the private bar and have been licensed to practice law for at least three years.⁹ They are not employees of the City but are paid and retained as independent contractors.¹⁰

DOAH Division Chiefs have Division-specific ALJs and support staff, though ALJs are cross-trained to fill in for other divisions as needed. According to DOAH senior management, Division Chiefs schedule the minimum number of ALJs they expect to need, and ALJs are paid by the hour. Chiefs will schedule more ALJs in overflow courtrooms and shift support staff as needed if the scheduled hearings increase in the Department's Administrative Hearings Management System (AHMS)¹¹ or if ticketing departments give notice to expect an increase. However, Chiefs noted that, due to fluctuations in ticketing activity outside DOAH's control, scheduling ALJs is a time-intensive process. Should an increase or decrease in a particular case type continue for at least a quarter, Division Chiefs notify the Department's Executive Director, who adjusts the scheduling matrix accordingly.¹²

B. Issuance and Adjudication of ANOVs

As noted above, DOAH hears cases involving violations of the MCC and sister agency codes. These codes empower certain departments to issue tickets to violators. When a department's designated agent identifies a violation, he or she issues a ticket, or Administrative Notice of Violation (ANOV), to the person or business (the "respondent") allegedly in violation of the code. Some tickets require hearings at DOAH, while others offer respondents the option to forgo

⁹ City of Chicago, Department of Administrative Hearings, "Administrative Law Judges," accessed July 28, 2015, http://www.cityofchicago.org/city/en/depts/ah/supp_info/administrative_lawjudges.html.

¹⁰ City of Chicago, Department of Administrative Hearings, "Administrative Law Judges," accessed July 28, 2015, http://www.cityofchicago.org/city/en/depts/ah/supp_info/administrative_lawjudges.html.

¹¹ AHMS is the department's electronic case management system.

¹² The scheduling matrix is further described in the following section of this report.

the hearing and pay the ticket. If the ticket requires a hearing, the agent usually schedules it at the time of issuance.¹³

To manage its courtroom schedules, DOAH provides a courtroom scheduling matrix to departments that issue tickets.¹⁴ Through the matrix, DOAH assigns each case type to a courtroom on certain days of the week or month. DOAH also limits the number of each case type that the ticketing department can schedule on that day.

Most ticketing departments have field staff who carry handheld computers that simultaneously issue the ANOV and schedule the hearing date per the scheduling matrix. A few ticketing departments send the tickets to DOAH, where clerks process them through an electronic scanner that automatically uploads the data into AHMS, creating casefiles and filling the docket.

A variety of factors impact how long it takes for a case to move through the administrative hearing process, including,

- front-end processing on the part of the ticketing department and front-end processing by DOAH;¹⁵
- the amount of time needed for the ALJ to assess the merits of a case;¹⁶
- reliance on other court systems to complete proceedings, as happens in vehicle impoundment cases where the criminal proceedings must be complete before the owner can reclaim the vehicle;
- time for respondents to acquire permits and contractors, and whether the case requires outdoor construction, which can be delayed by weather, as happens with Department of Buildings cases; and
- case appeals that result in remand to DOAH for further action. If a party appeals a decision to Cook County Circuit Court, the case leaves DOAH's control and may or may not be remanded at a later time. This process may add months or years to cases.

¹³ Most departments have handheld devices that can automatically schedule a hearing date. However, to reduce the amount of equipment that a police officer must wear, officers are assigned a particular hearing date and time that is a certain number of days from the ticketing date (the number varies by ticket type).

¹⁴ See Appendix A for an example of DOAH's scheduling matrix.

¹⁵ Depending on the ticket type, "front-end processing" may include creating an electronic file in the ticketing department's computer system from the ticket information, setting a hearing date, notifying the respondent of the violation and hearing date, transmitting ticket information to DOAH, or creating an electronic file in AMHS, among other processing steps.

¹⁶ For example, DOAH management explained that tax cases require extensive document review and therefore may take longer than other cases.

III. OBJECTIVES, SCOPE, AND METHODOLOGY

A. Objectives

The objectives of the audit were to determine if,

- DOAH tracked clearance rates in accordance with management best practice;
- DOAH tracked time to disposition in accordance with management best practice; and
- DOAH's scheduling matrix effectively served operational needs.

B. Scope

Our review covered all cases that were opened or closed in AHMS between January 1, 2012, and December 31, 2014. This audit did not consider,

1. notice requirements, which are managed by the ticketing department,¹⁷
2. parking tickets, as the majority are disposed of within a single hearing and therefore are unlikely to have a significant impact on clearance rate or time to disposition, and
3. front-end processing by the ticketing department and by DOAH, which happens before the case has its initial hearing.

C. Methodology

To determine if DOAH used the abovementioned performance measures, we interviewed senior management at DOAH, including the Executive Director, Deputy Director, IT Administrator, and Division Chiefs. To measure clearance rates, we divided the number of cases closed by the number of cases opened in AHMS¹⁸ for each quarter from 2012 to 2014.¹⁹ For time to disposition, we measured the days elapsed between the first hearing date and the date of final disposition for each case opened and closed in AHMS between 2012 and 2014 by quarter. We analyzed both performance measures by case type because different case types have different proceedings and levels of complexity, which impact the number of hearings expected to dispose of a case. To assess whether the current scheduling matrix effectively served operational needs, we discussed the scheduling process with the Executive Director and reviewed changes to historical matrices.

D. Standards

We conducted this audit in accordance with generally accepted Government Auditing Standards issued by the Comptroller General of the United States. Those standards require that we plan and

¹⁷ Notice requirements are defined by law or ordinance. They specify how defendants must be made aware of the case against them (e.g., by postal mail or personal service).

¹⁸ To assess the reliability of AHMS, the project team, (a) reviewed system controls, (b) observed courtroom practices involving the use of AHMS, and (c) conducted in-depth interviews with management about how data is transferred between departments and contractors. We found the data to be sufficiently reliable for further analysis.

¹⁹ This measure does not require that a single case opened in one time period must be closed by the end of that period; instead, it compares the *total* number of cases closed to the *total* number opened. If more cases are being opened than closed, a backlog of cases that require a court decision exists. See "Clearance Rates" in Finding 1 for more information on the utility of this measure.

perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

E. Authority and Role

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

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

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

IV. FINDING AND RECOMMENDATION

Finding 1: DOAH did not measure clearance rates or time to disposition, which impeded its ability to identify operational trends, including caseload backlogs and variations in case duration.

OIG found that DOAH did not use nationally recognized performance metrics to evaluate its operational timeliness. The National Center for State Courts (NCSC), a professional association that works closely with other industry organizations such as the American Bar Association, has established clearance rate and time to disposition as performance measures to assist courts in improving performance.²⁰ Caseload backlogs may put undue stress on a court system by requiring additional resources to keep up with the caseload, and any unduly long cases hinder timely justice.

Clearance Rates

According to NCSC, clearance rates measure “whether a court is keeping up with its incoming caseload. If cases are not disposed of in a timely manner, a backlog of cases awaiting disposition will grow.”²¹ When compared month-to-month or year-to-year, clearance rates “help a court pinpoint emerging problems and indicate where improvements may be made.”²² To ensure that a backlog of cases does not accumulate, “[c]ourts should aspire to clear... at least as many cases as have been filed/opened/reactivated in a period by having a clearance rate of 100 percent or higher.”²³

OIG analyzed DOAH’s caseload and determined that the Department’s clearance rate for all cases during the three-year time period of 2012 through 2014 was 99.3%. In other words, DOAH opened slightly more cases than it closed. However, the clearance rates differed by case type. For example, one case type with over 15,000 cases, described in further detail below, had a clearance rate of only 88.8%, representing a growing backlog of 1,963 cases to be adjudicated.

²⁰ National Center for State Courts, “About Us,” accessed June 15, 2015, <http://www.ncsc.org/About-us.aspx>; “High Performance Courts,” accessed June 15, 2015, <http://www.ncsc.org/Information-and-Resources/High-Performance-Courts.aspx>. NCSC has established ten court performance measures. OIG limited its review to clearance rates and time to disposition measures to focus on operational timeliness. Other systems that use these metrics include Judicial Council of California, Michigan Courts, Minnesota Judicial Branch, Ohio’s Cuyahoga County Common Pleas Court, Oregon’s Lane County Circuit Court, Texas’s Bexar County Judicial Services, and Utah State Courts.

²¹ National Center for State Courts, “CourTools: Clearance Rates,” 1, accessed July 20, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/courttools_Trial_measure2_Clearance_Rates.ashx.

²² National Center for State Courts, “CourTools: Clearance Rates,” 1, accessed July 20, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/courttools_Trial_measure2_Clearance_Rates.ashx.

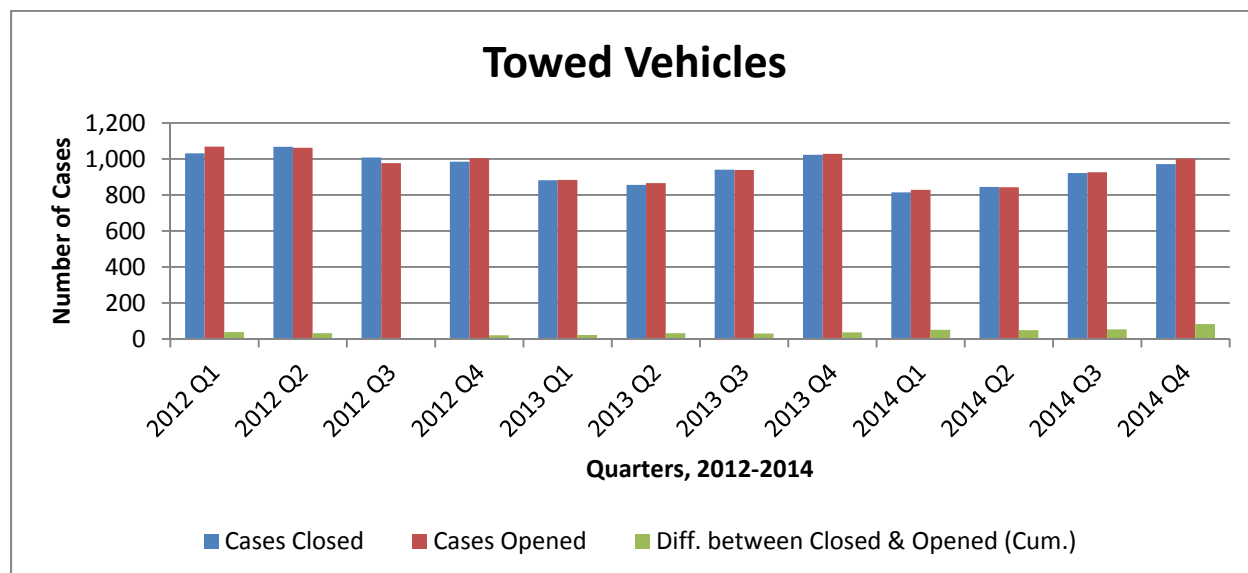
See “Methodology,” above, for more information on how OIG measured clearance rates.

²³ National Center for State Courts, “CourTools: Clearance Rates,” 1, accessed July 20, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/courttools_Trial_measure2_Clearance_Rates.ashx.

Some examples of case types with clearance rates of 99.0% or higher include,²⁴

1. Towed Vehicles: 99.3% (11,347 cases closed versus 11,430 cases opened);
2. Police-Issued Tickets: 99.8% (299,238 cases closed versus 299,921 cases opened); and
3. Sanitation Code: 99.0% (79,645 cases closed versus 80,456 cases opened).

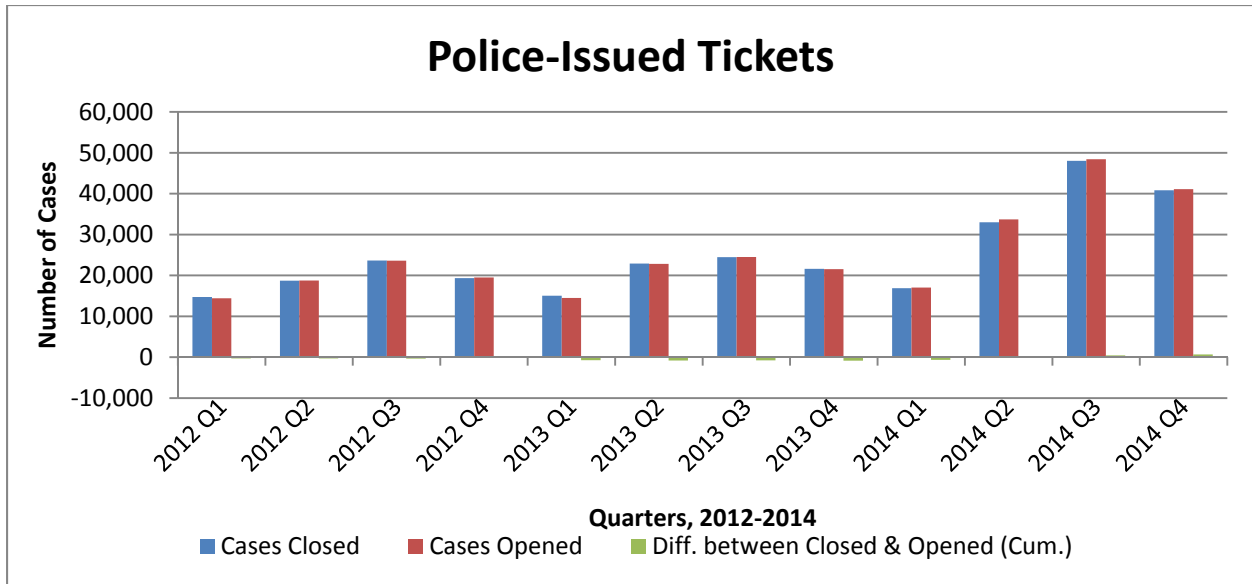
The graphs below illustrate clearance rates for these case types by quarter from 2012 through 2014.²⁵ In each graph, the cases closed (blue column) minus the cases opened (red column) equals the cumulative cases remaining (green column). As these graphs demonstrate, for these case types the Department kept up with much of the incoming caseload.



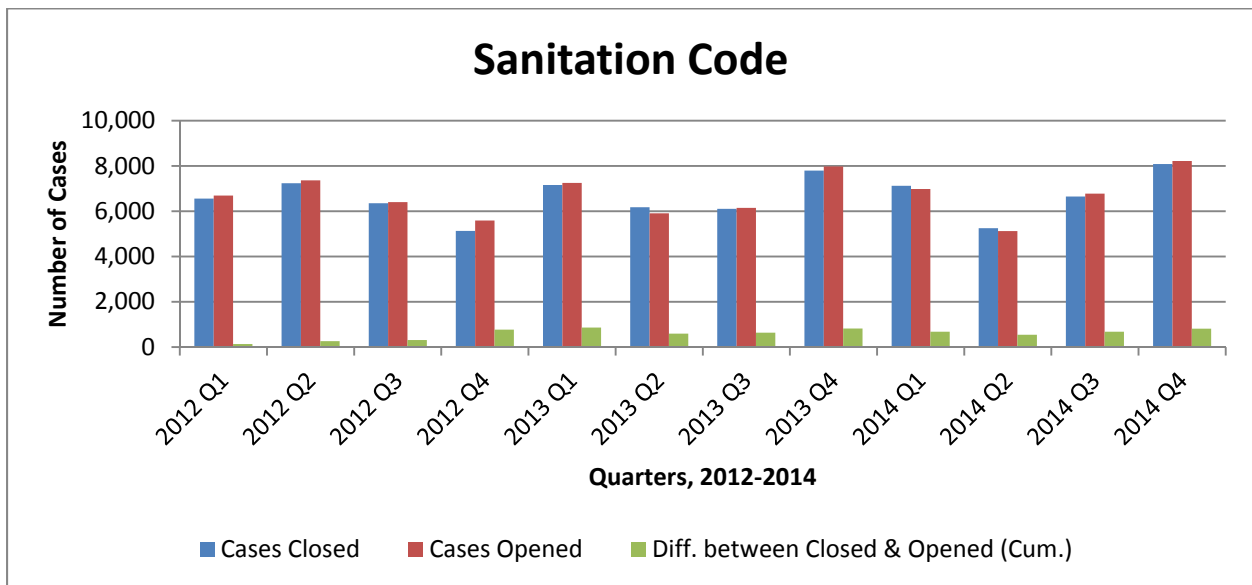
Source: OIG analysis of DOAH data in AHMS.

²⁴ Appendix B shows clearance rate data for all the case types that we reviewed.

²⁵ OIG evaluated the data by quarter, rather than by year, to better identify any possible seasonal trends in the flow and timeliness of cases.

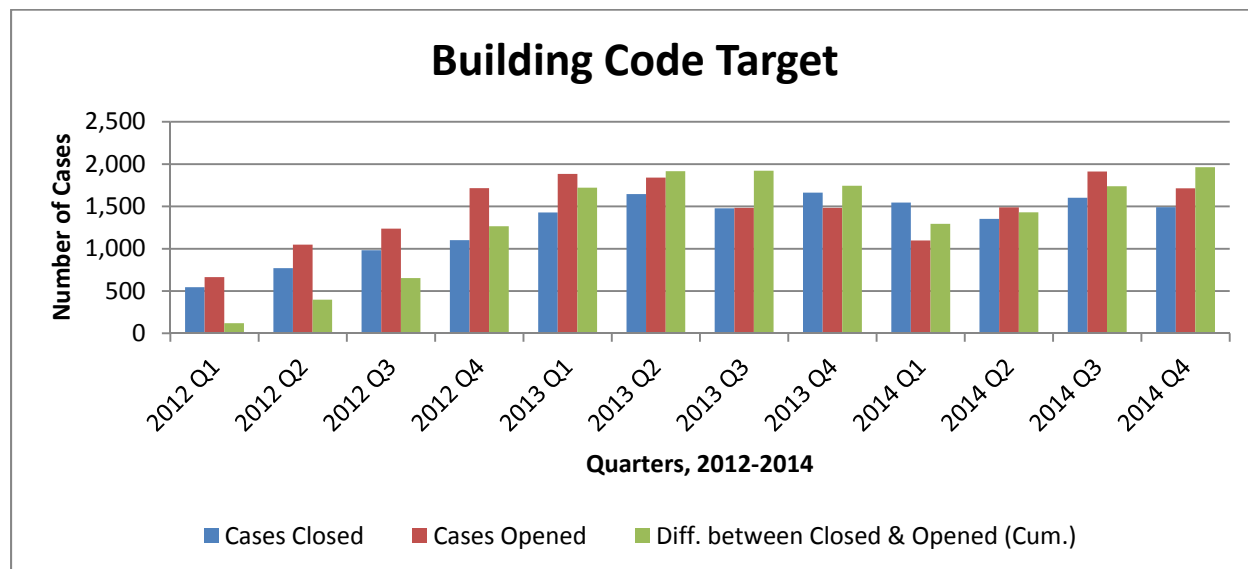


Source: OIG analysis of DOAH data in AHMS.



Source: OIG analysis of DOAH data in AHMS.

A different case type that illustrates the potential value in reviewing clearance rates is Building Code Target cases, which had a clearance rate of 88.8% (15,607 cases closed versus 17,570 cases opened).²⁶ The following graph reveals that this case type had accumulations in the number of cases opened versus cases closed. In other words, the number of cases that remained open at the end of a quarter increased and created a growing backlog of cases, which is of particular concern for these cases that involve life and safety violations.



Source: OIG analysis of DOAH data in AHMS.

OIG did not attempt to determine the specific cause of this clearance rate trend but recommends that DOAH do so (see the Recommendation for this Finding).

Time to Disposition

NCSC also recommends that courts monitor time to disposition as a performance metric so that courts can compare their performance internally and, when available, with comparable court systems to ensure timely processing.²⁷ Time to disposition is dependent on the type of case because some case types typically can be disposed of in one or two hearings while others may require more. NCSC recommends a fractile measurement, whereby a court measures the percent of cases closed in a given reporting period that met an established standard for time to

²⁶ Building Code Target cases are life and safety violations that put building occupants in danger, according to Department of Buildings' management.

²⁷ National Center for State Courts, "CourTools: Time to Disposition," 1, accessed July 20, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/courttools_Trial_measure3_Time_To_Disposition_pdf.ashx. While NCSC does have standards for time to disposition for state civil, criminal, and administrative cases, OIG did not apply these standards to DOAH because they are designed for state courts, not municipal courts. NCSC did not set time to disposition standards specific to municipal courts, and OIG did not find any other widely recognized source for such standards. OIG believes DOAH to be in the best position to determine what appropriate time to disposition standards are in light of the NCSC standards.

disposition. For example, a state court could set a standard that 90% of divorce cases are disposed of in 180 days or less.²⁸

Since DOAH did not have time to disposition standards for any case types at the time of the audit, we did not use a fractile measurement. Instead, OIG measured the average time to disposition for each case type by quarter between 2012 and 2014.²⁹ We measured from the initial hearing date, which is the day the case comes under DOAH's control, to the final hearing date, which is the date of the ALJ's final decision. This analysis did not account for time from when a respondent appealed a decision to when the appellate court remanded the case back to DOAH for further review. We excluded this time from our calculations because it represents days elapsed when a case is outside of DOAH's control.

Our analysis revealed some case types with steady time to disposition trends and others with notable changes. Some examples of those with steadier times to disposition over the three-year period include,³⁰

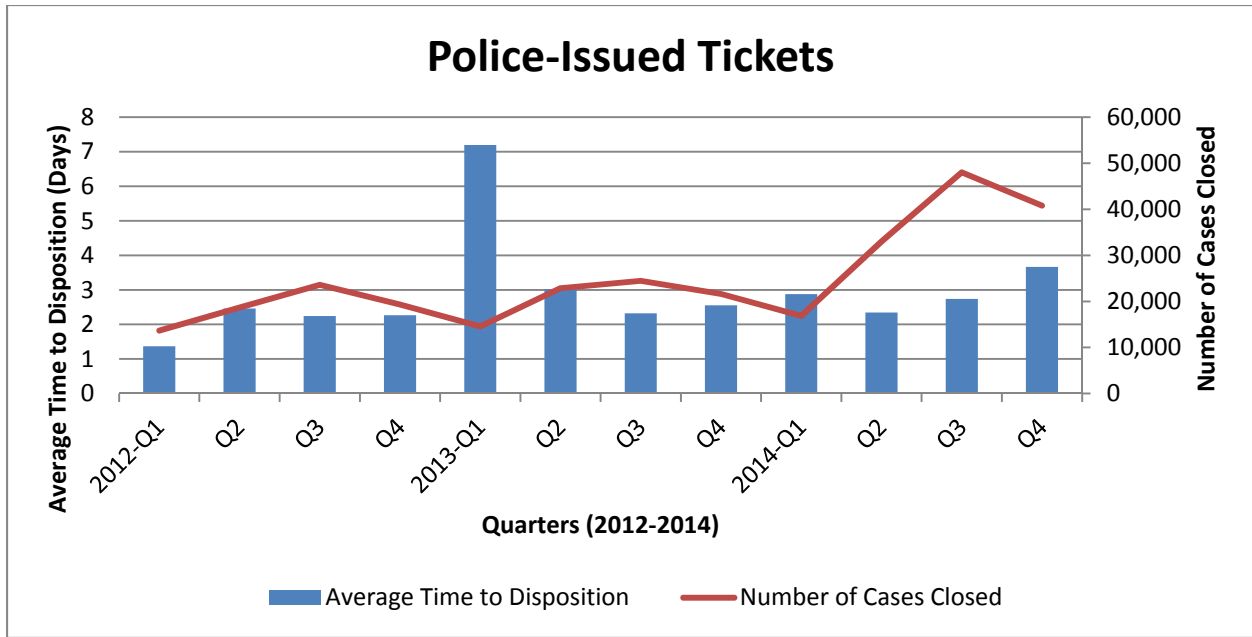
1. Police-Issued Tickets, ranging from 1 to 7 days (for 297,433 cases closed);
2. Towed Vehicles, ranging from 2 to 5 days (for 11,320 cases closed); and
3. Health Code, ranging from 2 to 5 days (for 7,577 cases closed).

The charts below show the number of cases closed (red line) in each quarter for these case types, compared to the average time to disposition (blue column) for the same case types closed in that quarter.

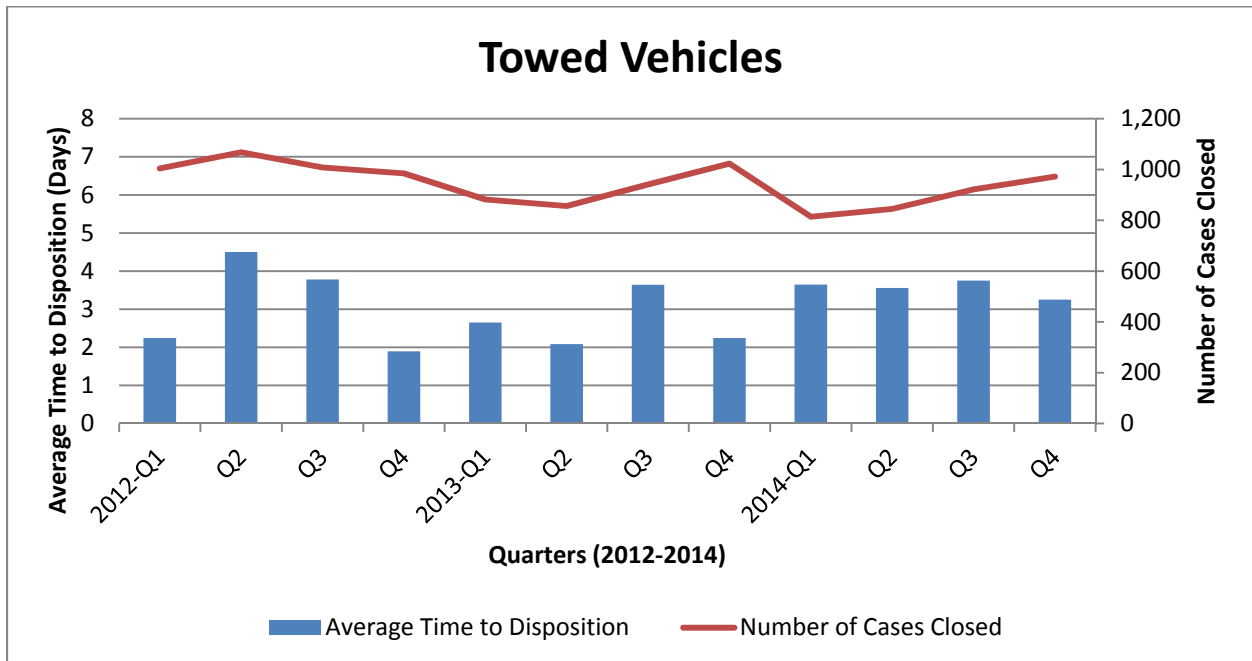
²⁸ National Center for State Courts, "CourTools: Time to Disposition," 4, accessed November 3, 2015, http://www.courttools.org/~media/Microsites/Files/CourTools/courttools_Trial_measure3_Time_To_Disposition_pdf.ashx.

²⁹ OIG searched cases that were both opened and closed between January 1, 2012, and December 31, 2014, and evaluated the data by quarter, rather than by year, to better identify any possible seasonal trends in the flow and timeliness of cases.

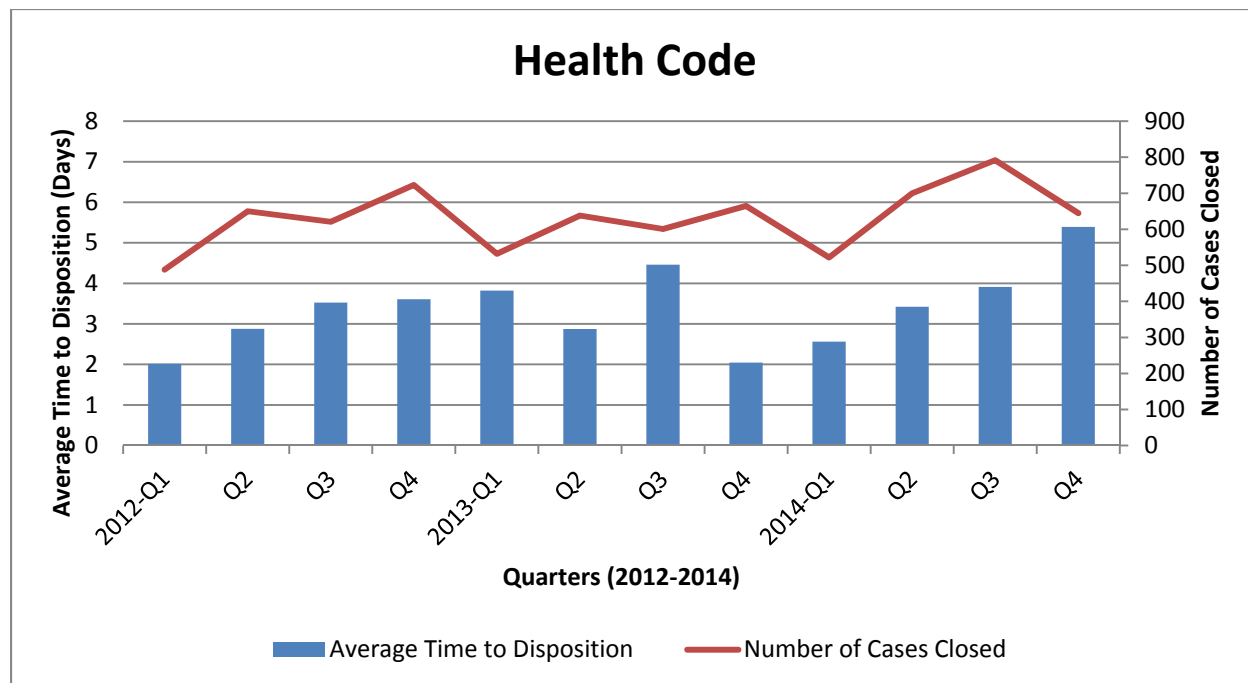
³⁰ See Appendix C for time to disposition data for all case types we reviewed.



Source: OIG analysis of DOAH data in AHMS.



Source: OIG analysis of DOAH data in AHMS.



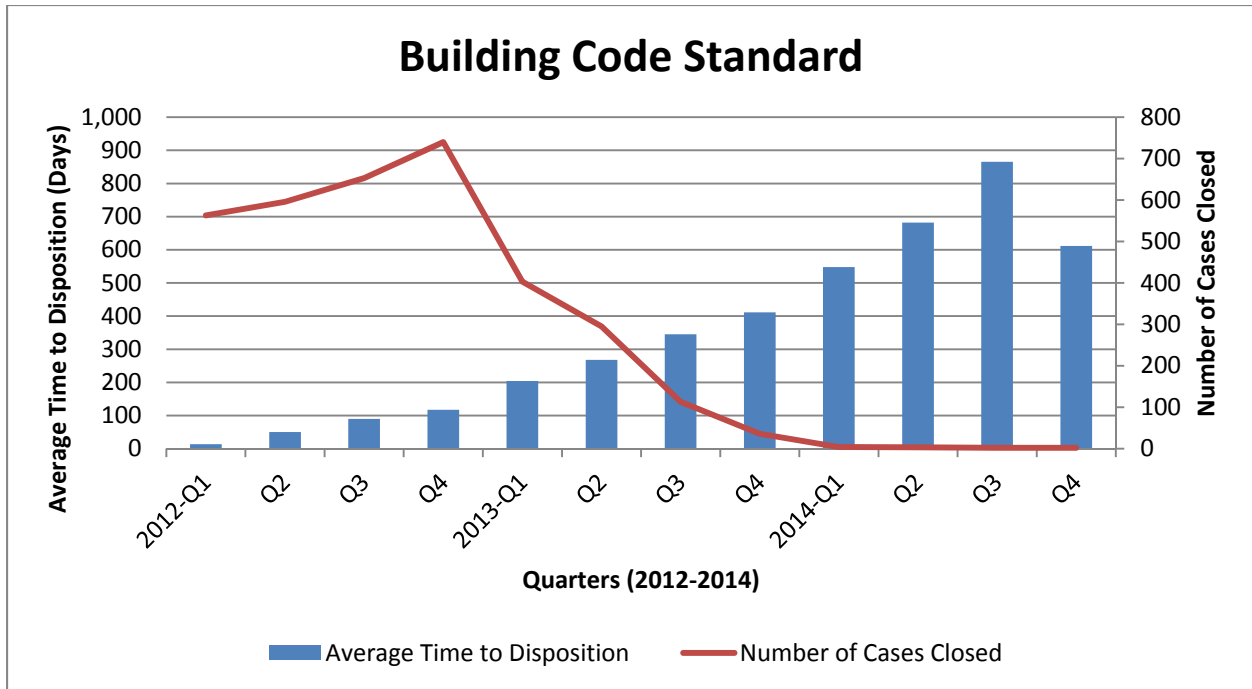
Source: OIG analysis of DOAH data in AHMS.

The following examples show greater changes in times to disposition over the three-year period:³¹

1. Building Code Standard, ranging from a low of 14 days in 2012Q1 to a high of 866 days in 2014Q3 (for 3,410 cases closed);
2. Indebtedness/Water, ranging from a low of 2 days in 2012Q1 to a high of 57 days in 2014Q4 (for 14,548 cases closed); and
3. Vehicle Impoundment, ranging from a low of 4 days in 2012Q1 to a high of 25 days in 2013Q1 (for 54,682 cases closed).

In Building Code Standard cases, the number of cases closed reached a maximum of 740 in Quarter 4 of 2012 and declined through 2014 to 2 in Quarter 4 of 2014. At the same time, the average time to disposition increased from 117 days in Quarter 4 of 2012 to a peak of 866 days in Quarter 3 of 2014, potentially indicating that these cases were no longer being worked on. The chart below demonstrates that, as the number of Building Code Standard cases closed dropped, the time required to resolve those cases increased.

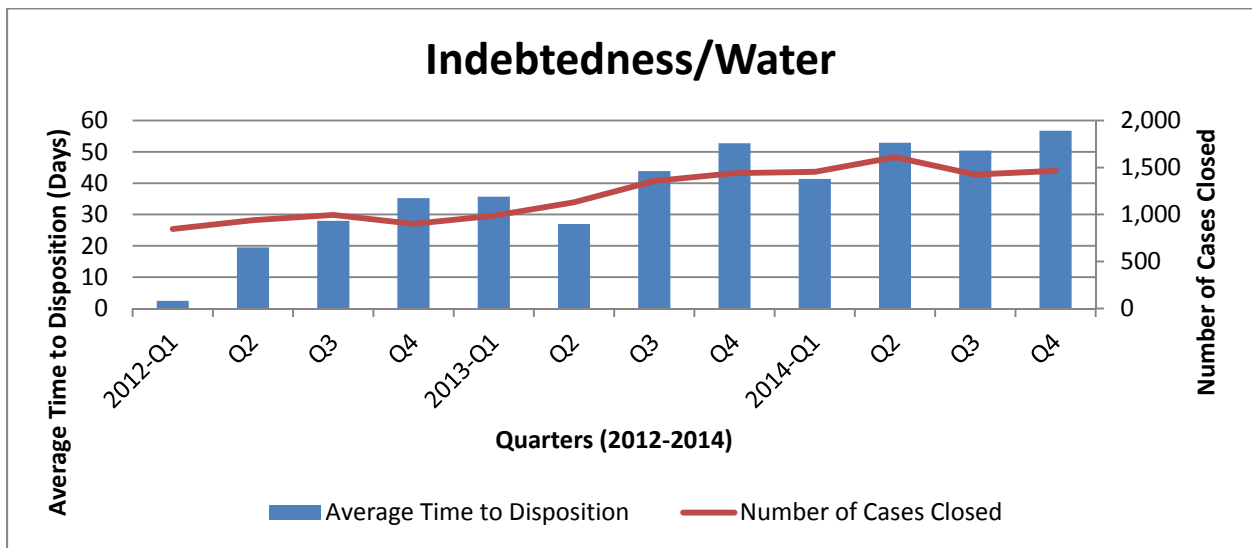
³¹ This analysis measures cases that were both opened and closed between January 1, 2012, and December 31, 2014. Therefore, results for 2012Q1 will naturally show the shortest time to disposition for case types that typically last more than a few days because they include only cases that were both opened and closed in that quarter. Subsequent quarters include any cases opened in prior quarters starting with January 1, 2012.



Source: OIG analysis of DOAH data in AHMS.

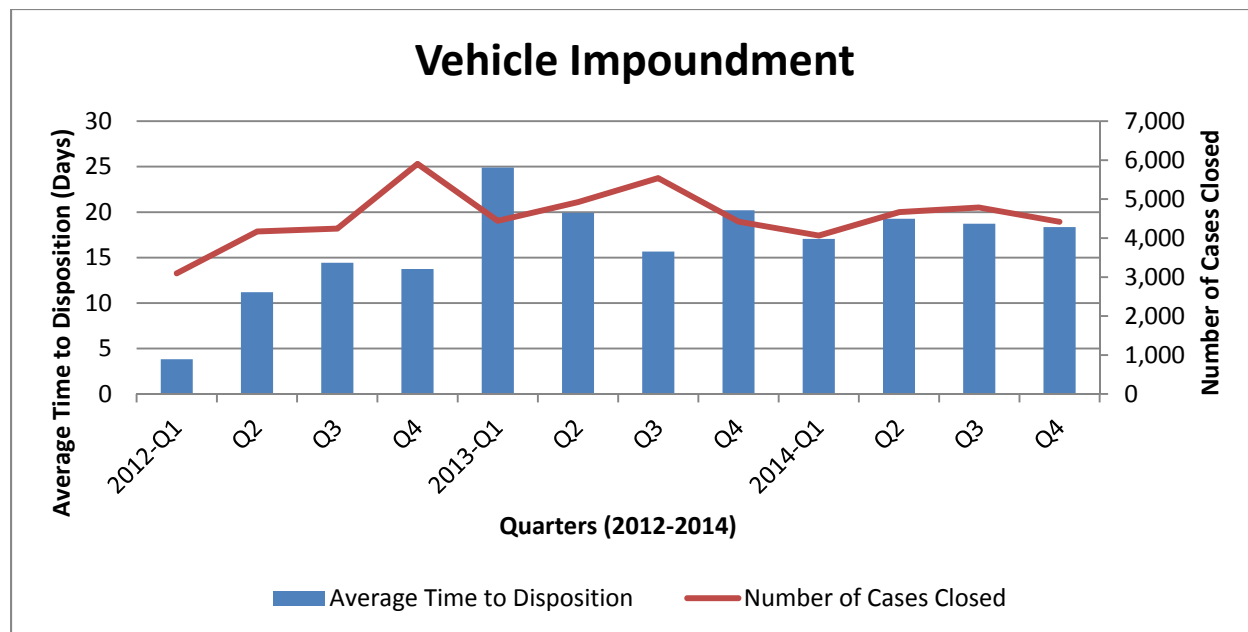
We asked DOAH and DOB why there was such a significant decline in Building Code Standard cases. Management reported that DOB stopped coding cases as “Building Code Standard,” which historically were minor violations and did not pose a threat to occupants’ life or safety. Instead, DOB consolidated Building Code Standard cases with Building Code Target cases, which were for more serious life-safety violations.

Indebtedness/Water and Vehicle Impoundment cases show a different scenario. The time to disposition for Indebtedness/Water grew from 2 days during Quarter 1 of 2012 to 57 days in Quarter 4 of 2014, while the number of cases closed increased from 845 to 1,464.



Source: OIG analysis of DOAH data in AHMS.

The time to disposition for Vehicle Impoundment cases grew from 4 days during Quarter 1 of 2012 to 25 days in Quarter 1 of 2013, then hovered between 15 and 20 days for the remainder of the quarters analyzed.



Source: OIG analysis of DOAH data in AHMS.

This analysis reveals that there were significant differences in time to disposition for certain case types. While some unusually long cases may be justified, that determination requires DOAH to monitor time to disposition at regular intervals and examine specific cases in depth.³²

At the time of the audit, DOAH management did not measure or set standards for clearance rates or time to disposition. Without that knowledge or analysis, the Department was unaware of the trends in caseload backlog or the case length increases in the various case types. Further, this means that the scheduling matrix used to fill each day’s docket may not have met the Department’s operational needs and may have compounded difficulties in scheduling ALJs and deploying department staff and resources. OIG conducted our analysis using data readily available in DOAH’s AHMS database. We believe that the small cost to DOAH of creating similar reports would be significantly outweighed by the benefit of information provided.

³² When OIG presented this analysis to DOAH, management did not refute the accuracy of the data but instead stated that analysis by year rather than quarter was a “more accurate measure of performance” that avoids “misleadingly low [time to disposition] in some instances and high in others.” OIG believes that measuring time to disposition both by quarter and by year is appropriate to identify such anomalies in a timely fashion and take action as needed to ensure operational efficiency and effectiveness.

Recommendation:

OIG recommends that DOAH adopt a clearance rate standard of 100% for all cases over a chosen period of time, such as each quarter, and regularly monitor its rate. DOAH should also adopt time to disposition standards by case type, either by referring to NCSC standards and methodology or identifying other standards it deems more appropriate. It should regularly compare its performance to the chosen standards to identify performance trends and to evaluate individual cases for unjustified length.

For both metrics, OIG recommends that management work with ticketing departments to identify causes of backlogs and lengthy cases, and, if necessary, create a plan to reduce the backlog and work to dispose of cases that DOAH deems to be excessively and unnecessarily long. As part of the solution, DOAH may also need to further adjust its own courtroom allocations, ALJs, and staff levels.

Management Response:

“DOAH intends to adopt a 100% clearance rate standard and work with Motorola (the City’s AHMS vendor) and/or utilize internal DOAH resources to create Quarterly Clearance Rate Reports for each major case type that identify:

- *The number of new cases opened;*
- *The number of cases closed.*

“DOAH will review these reports on a quarterly basis to:

- *Identify case types that do not meet the 100% clearance rate;*
- *Investigate the backlog internally and with the enforcing department;*
- *Determine the cause of the backlog;*
- *Assess whether the backlog is caused by a permanent or a temporary enforcement initiative; and*
- *Create a plan to reduce the backlog and meet the 100% clearance rate which, if appropriate, may include remedial action by the enforcing department and/or re-allocation of DOAH resources.*

“DOAH will adopt time-to-disposition standards for each major case type based upon historical data. DOAH will work with the Motorola and/or utilize internal DOAH resources to create Quarterly Time-to-Disposition Reports for each major case type that:

- *Identify the open and close dates for each case in AHMS.*

“DOAH will review these reports on a quarterly basis to:

- *Identify both open and closed individual cases that do not meet the time-to-disposition standard established for that case type;*
- *Investigate the reason individual cases did not meet the time-to-disposition standard;*
- *Assess whether the reason is caused by factors within DOAH or the enforcing department's control, or whether it was caused by an external factor (such as a motion to set-aside or a circuit court remand order); and*
- *If appropriate, work to dispose of individual cases in which the disposition time is unnecessarily long.*

“DOAH plans to establish and implement clearance rate and time-to-disposition metrics, and create quarterly reports commencing no later than October 1, 2016.

“DOAH plans to review quarterly performance reports commencing with the close of the 4th Quarter 2016. Internal DOAH quarterly review meetings are tentatively scheduled for 1/16/17 (Q4), 4/16/17 (Q1), 7/17/17 (Q2) 10/16/17 (Q3), 1/15/18 (Q4). Following the quarterly reviews, DOAH will work with enforcing departments to remediate any identified deficiencies. If appropriate, DOAH will re-allocate DOAH resources to address backlogs and dispose of individual cases that do not meet time-to-disposition standards.

“DOAH has already responded to the audit by identifying several water debt cases which have been pending at DOAH for more than one year. These dockets have been referred to the enforcing department (Law) for investigation and remedial action.

“DOAH has also met with the Department of Buildings concerning procedural changes for cases that have been pending in excess of one year. DOAH has implemented the following measures to reduce continuances and promote more consistent monitoring of older cases.

- 1) The Respondent's copy of continuance orders will now include language specifying the requirements to be met by the Respondent prior to the next hearing. (For example, if they are to return on the continuance date with proof of a permit application, proof of zoning variance application, or other similar documents.)*
- 2) DOB representatives familiar with the case will appear in the courtroom to advise the ALJ on the status of the Respondent's remedial action.*
- 3) DOAH will also assign certain ALJs to follow older cases.”*

V. APPENDIX A – SCHEDULING MATRIX

Below is an example of a scheduling matrix for DOAH’s Central Hearing Facility for one week. It shows the type of case to be heard in each hearing room on each day.

Central Hearing Facility Weekly Docket

Revised: 4/1/15 Buildings (B), Consumer/Environmental Safety (C/E), Municipal (M), Vehicle (V)

Room/Day	Monday	Tuesday	Wednesday	Thursday	Friday
101 <i>Extra-Large</i>	Police (M)	Police (M)	Police (M) Animal Care 1pm	Police (M)	Police (M) Animal Care 1pm
102 <i>Extra-Large</i>	Police (M)	Police (M)	Police (M)	Police (M)	Police (M)
103 <i>Small</i>	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)
104 <i>Small</i>	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)
105 <i>Large</i>	Cost Recovery 1 st (M) VIP-FTR (defaults as needed)	Tax (M) 4 th	Tax(M)	Tax (M)	Night Watchman (M) 1 st wk 45+MSAs 2 nd , 3 rd , 4 th (M)
106 <i>Large</i>	Police-PV-Tickets (C/E) PV Inv.	BACP-all calls (C/E)	BACP-all calls (C/E)	BACP-all calls (C/E)	Public Vehicle Trials (C/E)
107 <i>Large</i>	MV Repair (C/E) am M/S/A (C/E) pm	Tobacco (C/E) 1 st , 3 rd BACP Trials (C/E) 2 nd , 4 th wk	PV Citizen 1 st wk Groc/W&M, Dec.Prac & Trials (C/E) 2 nd 3 rd 4 th wk	DSS_MSA 2 nd /4 th eff. 3/1/15 Ownership call-DSS (C/E) 1 st , 3 rd	BACP License (C/E)
108 <i>Large</i>	Transportation (C/E)	VIP-MSA	VIP-Ownership-am CDOT-Mult.Cit.-pm	Sanitation (C/E)	VIP-MSAs (M)
109 <i>Small</i>	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V) Compliance (V)	Parking (V)
110 <i>Medium</i>	V Impound (M) Emg VIP (M)	V Impound (M) Emg VIP (M)	VIP - DUI (M)	V Impound (M) Emg VIP (M)	VIP - DUI (M)
111 <i>Large</i>	Sanitation (C/E)	PENDING	PENDING	PENDING	Water Debt Trials (M) 1 st 45+ MSAs 2 nd , 3 rd , 4 th (M)
112 <i>Large</i>	Buildings (B) Last Monday of month -False Statement 9am	Target (B) 9am Vacant Prop (B) 10:30 Lead Paint (B) 3:00 Crane Tickets (2)	Target (B) 9 Fire (B) 1 st -3 rd , 5 th 10:30 Target (B) 2 nd & 4 th 10:30 Zoning (B) 1:30, 3pm Signs 3 rd	Health (C/E) Environment (C/E) pm only	Buildings (B)
113 <i>Medium</i>	Streets & San - Tow (C/E)	Streets & San - Tow (C/E)	Streets & San - Tow (C/E)	Streets & San - Tow (C/E)	Streets & San - Tow (C/E)
114 <i>Medium</i>	Buildings (B)	Buildings (B) am Lead Paint (B) pm	Buildings (B)	Buildings (B) VBR - am	Buildings (B)
115 <i>Large</i>	Nuisance - STF (B)	Buildings (B)	Buildings (B)	Buildings (B)	Nuisance - G/D (B)
116 <i>Large</i>	Buildings (B)	Buildings (B)	Buildings (B)	Buildings (B) E.V.A. Target	Buildings (B)

Source: DOAH

VI. APPENDIX B – CLEARANCE RATES BY CASE TYPE

The following three tables show clearance rates by quarter from 2012-2014. The fourth table shows the totals over the three-year period. Clearance rate (CR) is cases closed ÷ cases opened. CR cells are color-coded on a graded scale where ≤0.9 is red, 1 is yellow, and ≥1.1 is green. “#DIV/0!” means it could not be calculated because cases opened was zero.

CLEARANCE RATE Case Type - Description Name	2012 Q1			2012 Q2			2012 Q3			2012 Q4		
	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR
Animal Care & Control	390	447	0.87	364	352	1.03	344	313	1.10	330	364	0.91
Building Code Nuisance	187	222	0.84	191	200	0.96	198	237	0.84	171	74	2.31
Building Code Standard	1,469	1,244	1.18	1,140	924	1.23	899	785	1.15	811	536	1.51
Building Code Target	545	665	0.82	771	1,049	0.73	983	1,238	0.79	1,102	1,715	0.64
Business License - Business Affairs & Licensing	1,762	1,780	0.99	1,750	1,720	1.02	743	695	1.07	877	905	0.97
Consumer Fraud	173	200	0.87	151	148	1.02	88	85	1.04	129	149	0.87
Cost Recovery	3	2	1.50	25	31	0.81	8	23	0.35	1	1	1.00
Cost Recovery - Benefits	2	5	0.40	4	1	4.00	0	0	#DIV/0!	0	0	#DIV/0!
Cost Recovery - City Clerk	0	0	#DIV/0!	0	0	#DIV/0!	107	132	0.81	128	103	1.24
Cost Recovery - Property Damage	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Environmental - Related Violations	73	76	0.96	118	122	0.97	114	120	0.95	91	77	1.18
Fire Code	11	11	1.00	14	21	0.67	12	4	3.00	4	0	#DIV/0!
Grocery - Grocery Related Violations	2	1	2.00	1	0	#DIV/0!	1	1	1.00	7	6	1.17
Gun Registration	36	34	1.06	27	27	1.00	21	23	0.91	20	19	1.05
Health Code	509	508	1.00	650	653	1.00	621	635	0.98	723	711	1.02
Indebtedness/ Water	1,043	1,153	0.90	1,016	1,019	1.00	1,013	1,066	0.95	908	960	0.95
Keep Chicago Renting - HLT	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Lead Paint Abatement	93	64	1.45	84	65	1.29	58	103	0.56	110	133	0.83
Overweight Trucks	67	68	0.99	58	50	1.16	144	163	0.88	169	160	1.06
Police Issued Tickets	14,726	14,404	1.02	18,717	18,746	1.00	23,649	23,609	1.00	19,346	19,494	0.99
Public Vehicle - 39th Street	410	410	1.00	375	357	1.05	209	210	1.00	261	255	1.02
Public Vehicle - Citizen (Stop-Dated)	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Public Vehicle - Field Investigations	783	814	0.96	1,181	1,063	1.11	788	857	0.92	1,381	1,387	1.00
Public Vehicle - VIP	2,052	2,044	1.00	2,175	2,117	1.03	1,769	1,823	0.97	1,543	1,505	1.03
Sanitation Code	6,559	6,691	0.98	7,241	7,367	0.98	6,355	6,405	0.99	5,133	5,594	0.92
Sanitation Code Violations - Aviation	0	0	#DIV/0!	0	0	#DIV/0!	1	1	1.00	3	3	1.00
Tobacco Sales to Minors - Business Affairs & Licensing	49	50	0.98	91	94	0.97	207	209	0.99	126	125	1.01
Towed Vehicles	1,031	1,069	0.96	1,068	1,062	1.01	1,008	977	1.03	985	1,004	0.98
Transportation - Related Violations	1,339	1,315	1.02	1,535	1,556	0.99	1,571	1,632	0.96	1,583	1,650	0.96
Un-stamped Cigarette Sales - Business Affairs & Licensing	87	88	0.99	131	131	1.00	126	130	0.97	115	132	0.87
Un-stamped Cigarette Sales - Cook County	0	0	#DIV/0!	67	73	0.92	127	127	1.00	111	127	0.87
Vehicle Impoundment	3,554	3,779	0.94	4,271	4,317	0.99	4,277	4,774	0.90	5,935	6,122	0.97
Wage Garnishment	69	74	0.93	83	86	0.97	111	109	1.02	184	195	0.94
Water Mgmt Related Violations	56	57	0.98	65	59	1.10	34	44	0.77	170	237	0.72

CLEARANCE RATE Case Type - Description Name	2013 Q1			2013 Q2			2013 Q3			2013 Q4		
	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR
Animal Care & Control	380	348	1.09	360	372	0.97	326	355	0.92	381	383	0.99
Building Code Nuisance	116	50	2.32	159	227	0.70	170	156	1.09	101	73	1.38
Building Code Standard	418	2	209.00	307	0	#DIV/0!	122	0	#DIV/0!	43	1	43.00
Building Code Target	1,429	1,885	0.76	1,645	1,840	0.89	1,478	1,483	1.00	1,662	1,484	1.12
Business License - Business Affairs & Licensing	912	949	0.96	1,122	1,111	1.01	865	856	1.01	825	791	1.04
Consumer Fraud	178	177	1.01	160	162	0.99	122	113	1.08	105	106	0.99
Cost Recovery	36	39	0.92	5	2	2.50	0	1	0.00	1	1	1.00
Cost Recovery - Benefits	1	1	1.00	0	1	0.00	0	2	0.00	1	0	#DIV/0!
Cost Recovery - City Clerk	2	2	1.00	121	125	0.97	3	0	#DIV/0!	1	0	#DIV/0!
Cost Recovery - Property Damage	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Environmental - Related Violations	41	45	0.91	76	76	1.00	42	40	1.05	52	60	0.87
Fire Code	6	19	0.32	18	21	0.86	19	19	1.00	19	10	1.90
Grocery - Grocery Related Violations	0	0	#DIV/0!	6	7	0.86	5	4	1.25	3	3	1.00
Gun Registration	37	42	0.88	27	30	0.90	4	1	4.00	0	0	#DIV/0!
Health Code	533	548	0.97	638	631	1.01	601	600	1.00	665	659	1.01
Indebtedness/ Water	996	1,074	0.93	1,134	1,408	0.81	1,359	1,318	1.03	1,441	1,413	1.02
Keep Chicago Renting - HLT	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Lead Paint Abatement	106	106	1.00	129	119	1.08	117	94	1.24	110	89	1.24
Overweight Trucks	152	159	0.96	185	183	1.01	185	181	1.02	129	126	1.02
Police Issued Tickets	15,037	14,477	1.04	22,918	22,834	1.00	24,472	24,515	1.00	21,611	21,549	1.00
Public Vehicle - 39th Street	200	243	0.82	428	442	0.97	624	645	0.97	432	396	1.09
Public Vehicle - Citizen (Stop-Dated)	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Public Vehicle - Field Investigations	984	982	1.00	953	996	0.96	804	672	1.20	970	1,078	0.90
Public Vehicle - VIP	1,277	1,253	1.02	1,187	1,187	1.00	1,155	1,148	1.01	1,228	1,232	1.00
Sanitation Code	7,161	7,251	0.99	6,175	5,911	1.04	6,109	6,146	0.99	7,795	7,981	0.98
Sanitation Code Violations - Aviation	0	0	#DIV/0!	3	3	1.00	0	0	#DIV/0!	0	0	#DIV/0!
Tobacco Sales to Minors - Business Affairs & Licensing	56	57	0.98	51	48	1.06	146	147	0.99	162	164	0.99
Towed Vehicles	882	884	1.00	856	866	0.99	941	939	1.00	1,023	1,029	0.99
Transportation - Related Violations	1,498	1,458	1.03	1,280	1,233	1.04	1,190	1,244	0.96	1,346	1,418	0.95
Un-stamped Cigarette Sales - Business Affairs & Licensing	82	71	1.15	41	38	1.08	32	31	1.03	49	48	1.02
Un-stamped Cigarette Sales - Cook County	75	69	1.09	43	38	1.13	30	29	1.03	47	48	0.98
Vehicle Impoundment	4,482	4,366	1.03	4,966	4,810	1.03	5,566	5,735	0.97	4,453	4,233	1.05
Wage Garnishment	85	75	1.13	71	74	0.96	113	110	1.03	156	158	0.99
Water Mgmt Related Violations	233	213	1.09	96	56	1.71	90	79	1.14	87	95	0.92

Department of Administrative Hearings Adjudication Timeliness Audit

CLEARANCE RATE Case Type - Description Name	2014 Q1			2014 Q2			2014 Q3			2014 Q4		
	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR	Closed	Opened	CR
Animal Care & Control	442	463	0.95	435	416	1.05	407	405	1.00	342	420	0.81
Building Code Nuisance	78	44	1.77	85	83	1.02	117	164	0.71	110	168	0.65
Building Code Standard	10	0	#DIV/0!	6	0	#DIV/0!	5	0	#DIV/0!	6	0	#DIV/0!
Building Code Target	1,546	1,097	1.41	1,353	1,488	0.91	1,603	1,912	0.84	1,490	1,714	0.87
Business License - Business Affairs & Licensing	631	626	1.01	871	1,036	0.84	941	933	1.01	783	709	1.10
Consumer Fraud	87	80	1.09	76	73	1.04	89	89	1.00	86	85	1.01
Cost Recovery	0	0	#DIV/0!	1	1	1.00	0	1	0.00	0	0	#DIV/0!
Cost Recovery - Benefits	0	0	#DIV/0!	0	1	0.00	0	1	0.00	0	0	#DIV/0!
Cost Recovery - City Clerk	0	0	#DIV/0!	49	56	0.88	111	104	1.07	0	0	#DIV/0!
Cost Recovery - Property Damage	0	0	#DIV/0!	1	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Environmental - Related Violations	221	221	1.00	41	39	1.05	42	51	0.82	83	91	0.91
Fire Code	5	0	#DIV/0!	7	10	0.70	3	7	0.43	9	7	1.29
Grocery - Grocery Related Violations	0	0	#DIV/0!	2	2	1.00	0	0	#DIV/0!	1	2	0.50
Gun Registration	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Health Code	523	530	0.99	700	718	0.97	792	814	0.97	645	632	1.02
Indebtedness/ Water	1,453	1,573	0.92	1,617	1,558	1.04	1,425	1,397	1.02	1,466	1,343	1.09
Keep Chicago Renting - HLT	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	9	18	0.50
Lead Paint Abatement	81	89	0.91	80	91	0.88	89	66	1.35	72	73	0.99
Overweight Trucks	109	105	1.04	166	211	0.79	274	277	0.99	213	211	1.01
Police Issued Tickets	16,866	17,055	0.99	33,027	33,724	0.98	48,036	48,418	0.99	40,833	41,096	0.99
Public Vehicle - 39th Street	449	470	0.96	452	456	0.99	495	504	0.98	470	486	0.97
Public Vehicle - Citizen (Stop-Dated)	0	0	#DIV/0!	0	0	#DIV/0!	1	1	1.00	0	0	#DIV/0!
Public Vehicle - Field Investigations	750	707	1.06	904	878	1.03	846	890	0.95	880	956	0.92
Public Vehicle - VIP	1,683	1,682	1.00	3,193	3,294	0.97	2,684	2,714	0.99	2,518	2,542	0.99
Sanitation Code	7,123	6,982	1.02	5,255	5,122	1.03	6,650	6,782	0.98	8,089	8,224	0.98
Sanitation Code Violations - Aviation	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
Tobacco Sales to Minors - Business Affairs & Licensing	76	76	1.00	109	139	0.78	96	91	1.05	173	179	0.97
Towed Vehicles	814	829	0.98	845	843	1.00	922	926	1.00	972	1,002	0.97
Transportation - Related Violations	1,165	1,033	1.13	773	1,001	0.77	923	890	1.04	1,024	904	1.13
Un-stamped Cigarette Sales - Business Affairs & Licensing	53	59	0.90	106	114	0.93	74	102	0.73	74	38	1.95
Un-stamped Cigarette Sales - Cook County	50	55	0.91	105	114	0.92	73	102	0.72	74	39	1.90
Vehicle Impoundment	4,089	4,255	0.96	4,719	4,803	0.98	4,823	4,811	1.00	4,433	4,551	0.97
Wage Garnishment	202	201	1.00	84	90	0.93	166	163	1.02	277	283	0.98
Water Mgmt Related Violations	49	67	0.73	92	56	1.64	43	49	0.88	43	39	1.10

Department of Administrative Hearings Adjudication Timeliness Audit

CLEARANCE RATE Case Type - Description Name	Total 2012-2014			CLEARANCE RATE Totals 2012-2014	Total Closed	Total Opened
	Closed	Opened	CR			
Animal Care & Control	4,501	4,638	0.97	Total Cases	573,244	577,137
Building Code Nuisance	1,683	1,698	0.99	Total Clearance Rate	99.3%	
Building Code Standard	5,236	3,492	1.50	Total # cases where CR is >= 0.99 for case type	388,846	388,145
Building Code Target	15,607	17,570	0.89	% of Total where CR is >=99%	67.8%	
Business License - Business Affairs & Licensing	12,082	12,111	1.00			
Consumer Fraud	1,444	1,467	0.98			
Cost Recovery	80	102	0.78			
Cost Recovery - Benefits	8	12	0.67			
Cost Recovery - City Clerk	522	522	1.00			
Cost Recovery - Property Damage	1	0	#DIV/0!			
Environmental - Related Violations	994	1,018	0.98			
Fire Code	127	129	0.98			
Grocery - Grocery Related Violations	28	26	1.08			
Gun Registration	172	176	0.98			
Health Code	7,600	7,639	0.99			
Indebtedness/ Water	14,871	15,282	0.97			
Keep Chicago Renting - HLT	9	18	0.50			
Lead Paint Abatement	1,129	1,092	1.03			
Overweight Trucks	1,851	1,894	0.98			
Police Issued Tickets	299,238	299,921	1.00			
Public Vehicle - 39th Street	4,805	4,874	0.99			
Public Vehicle - Citizen (Stop-Dated)	1	1	1.00			
Public Vehicle - Field Investigations	11,224	11,280	1.00			
Public Vehicle - VIP	22,464	22,541	1.00			
Sanitation Code	79,645	80,456	0.99			
Sanitation Code Violations - Aviation	7	7	1.00			
Tobacco Sales to Minors - Business Affairs & Licensing	1,342	1,379	0.97			
Towed Vehicles	11,347	11,430	0.99			
Transportation - Related Violations	15,227	15,334	0.99			
Un-stamped Cigarette Sales - Business Affairs & Licensing	970	982	0.99			
Un-stamped Cigarette Sales - Cook County	802	821	0.98			
Vehicle Impoundment	55,568	56,556	0.98			
Wage Garnishment	1,601	1,618	0.99			
Water Mgmt Related Violations	1,058	1,051	1.01			

Source: OIG analysis of DOAH data in AHMS.

VII. APPENDIX C – TIME TO DISPOSITION—AVERAGES AND CASE COUNTS

The first table below shows the average time to disposition (in days) for cases closed each quarter, excluding any time a case was in an appellate court and therefore outside of DOAH’s control. The second table shows the number of cases closed by case type each quarter from 2012-2014.

TIME TO DISPOSITION Average (in days) Case Type - Description Name	2012				2013				2014				Total 2012-2014
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Animal Care & Control	9	13	14	7	20	5	8	20	15	19	15	8	13
Building Code Nuisance	17	51	76	108	180	96	112	118	143	166	123	79	106
Building Code Standard	14	50	90	117	204	268	345	411	548	682	866	612	351
Building Code Target	3	22	42	55	63	81	113	118	120	115	94	94	77
Business License - Business Affairs & Licensing	3	8	12	11	11	12	14	17	17	15	23	29	14
Consumer Fraud	7	26	28	17	25	51	41	42	36	73	47	38	36
Cost Recovery	0	0	70	0	25	59	#DIV/0!	0	#DIV/0!	28	#DIV/0!	#DIV/0!	#DIV/0!
Cost Recovery - Benefits	0	68	#DIV/0!	#DIV/0!	0	#DIV/0!	#DIV/0!	28	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Cost Recovery - City Clerk	#DIV/0!	#DIV/0!	4	21	0	5	63	210	#DIV/0!	0	9	#DIV/0!	#DIV/0!
Environmental - Related Violations	5	10	13	20	16	22	21	19	10	23	24	19	17
Fire Code	0	21	82	196	0	55	100	66	230	40	75	124	82
Grocery - Grocery Related Violations	0	#DIV/0!	62	0	#DIV/0!	0	17	27	#DIV/0!	0	#DIV/0!	0	#DIV/0!
Gun Registration	2	1	0	6	1	3	69	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Health Code	2	3	4	4	4	3	4	2	3	3	4	5	3
Indebtedness/ Water	2	20	28	35	36	27	44	53	41	53	50	57	37
Keep Chicago Renting - HLT	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	20	#DIV/0!
Lead Paint Abatement	24	48	66	59	96	104	97	97	95	82	107	94	81
Overweight Trucks	4	7	4	10	6	10	9	8	10	13	18	14	9
Police Issued Tickets	1	2	2	2	7	3	2	3	3	2	3	4	3
Public Vehicle - 39th Street	3	7	9	10	10	12	11	13	10	15	15	11	10
Public Vehicle - Citizen (Stop-Dated)	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	0	#DIV/0!	#DIV/0!
Public Vehicle - Field Investigations	3	11	14	14	21	29	36	13	24	22	23	16	19
Public Vehicle - VIP	3	6	6	7	10	7	7	6	7	4	8	6	6
Sanitation Code	3	7	9	10	14	18	14	11	14	18	12	10	12
Sanitation Code Violations - Aviation	#DIV/0!	#DIV/0!	0	0	#DIV/0!	0	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Tobacco Sales to Minors - Business Affairs & Licensing	1	2	3	7	11	5	3	2	12	11	25	15	8
Towed Vehicles	2	5	4	2	3	2	4	2	4	4	4	3	3
Transportation - Related Violations	8	11	14	18	24	23	28	21	26	38	47	37	24
Un-stamped Cigarette Sales - Business Affairs & Licensing	6	3	4	7	27	16	13	11	7	10	18	37	13
Un-stamped Cigarette Sales - Cook County	#DIV/0!	1	5	5	24	16	12	9	8	10	17	37	#DIV/0!
Vehicle Impoundment	4	11	14	14	25	20	16	20	17	19	19	18	16
Wage Garnishment	0	5	6	4	10	7	5	6	3	8	6	3	5
Water Mgmt Related Violations	3	12	26	9	22	47	42	36	29	49	40	105	35

TIME TO DISPOSITION Case Counts (Cases Closed) Case Type - Description Name	2012				2013				2014				Total 2012-2014
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Animal Care & Control	374	362	343	330	380	360	326	380	442	426	407	341	4,471
Building Code Nuisance	74	141	160	158	111	158	169	101	76	84	117	109	1,458
Building Code Standard	563	596	653	740	403	295	113	36	4	3	2	2	3,410
Building Code Target	402	712	946	1,088	1,426	1,641	1,477	1,662	1,546	1,353	1,602	1,488	15,343
Business License - Business Affairs & Licensing	1,588	1,739	742	863	905	1,122	864	825	629	871	936	780	11,864
Consumer Fraud	159	143	84	126	178	160	121	105	87	76	87	86	1,412
Cost Recovery	1	25	8	1	36	5	0	1	0	1	0	0	78
Cost Recovery - Benefits	2	4	0	0	1	0	0	1	0	0	0	0	8
Cost Recovery - City Clerk	0	0	107	128	2	121	3	1	0	49	111	0	522
Environmental - Related Violations	64	114	114	91	41	76	42	52	220	41	42	83	980
Fire Code	6	14	12	4	6	18	19	19	5	7	3	9	122
Grocery - Grocery Related Violations	1	0	1	6	0	6	5	3	0	2	0	1	25
Gun Registration	33	27	20	20	37	27	4	0	0	0	0	0	168
Health Code	488	650	621	723	532	638	601	665	522	700	792	645	7,577
Indebtedness/ Water	845	939	995	901	987	1,131	1,357	1,440	1,453	1,611	1,425	1,464	14,548
Keep Chicago Renting - HLT	0	0	0	0	0	0	0	0	0	0	0	0	9
Lead Paint Abatement	32	46	45	108	104	128	117	110	80	79	88	72	1,009
Overweight Trucks	61	54	144	169	150	185	185	129	109	166	274	213	1,839
Police Issued Tickets	13,647	18,670	23,611	19,329	14,563	22,880	24,460	21,606	16,843	33,003	48,014	40,807	297,433
Public Vehicle - 39th Street	364	377	209	261	200	428	624	432	449	452	494	470	4,760
Public Vehicle - Citizen (Stop-Dated)	0	0	0	0	0	0	0	0	0	0	1	0	1
Public Vehicle - Field Investigations	616	1,094	762	1,371	975	941	798	968	743	894	844	879	10,885
Public Vehicle - VIP	1,862	2,160	1,767	1,543	1,267	1,187	1,155	1,224	1,675	3,190	2,680	2,517	22,227
Sanitation Code	6,055	7,132	6,261	5,100	7,142	6,137	6,101	7,793	7,109	5,247	6,642	8,085	78,804
Sanitation Code Violations - Aviation	0	0	1	3	0	3	0	0	0	0	0	0	7
Tobacco Sales to Minors - Business Affairs & Licensing	48	91	207	126	56	51	146	162	76	109	96	173	1,341
Towed Vehicles	1,004	1,068	1,008	985	882	856	941	1,023	814	845	922	972	11,320
Transportation - Related Violations	1,128	1,457	1,553	1,578	1,490	1,278	1,189	1,345	1,163	771	924	1,023	14,899
Un-stamped Cigarette Sales - Business Affairs & Licensing	83	131	126	115	82	41	32	49	53	106	74	73	965
Un-stamped Cigarette Sales - Cook County	0	67	127	111	75	43	30	47	50	105	73	74	802
Vehicle Impoundment	3,098	4,168	4,243	5,906	4,443	4,925	5,541	4,423	4,064	4,667	4,784	4,420	54,682
Wage Garnishment	68	82	111	184	85	71	113	156	202	84	166	277	1,599
Water Mgmt Related Violations	44	61	34	169	233	96	90	87	49	92	17	2	974

Source: OIG analysis of DOAH data in AHMS.³³

³³ OIG searched cases that were both opened and closed between January 1, 2012, and December 31, 2014, and evaluated the data by quarter, rather than by year, to better identify any possible seasonal trends in the flow and timeliness of cases.

CITY OF CHICAGO OFFICE OF INSPECTOR GENERAL

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To Suggest Ways to Improve City Government	Visit our website: https://chicagoinspectorgeneral.org/get-involved/help-improve-city-government/
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MISSION

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

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

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

AUTHORITY

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

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