

OFFICE OF THE INSPECTOR GENERAL
City of Chicago



REPORT OF THE INSPECTOR GENERAL'S OFFICE:

IGO AUDIT OF DEPARTMENT OF AVIATION OVERTIME

OCTOBER 2010

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

The Inspector General's Office ("IGO") has completed an audit of overtime at the Chicago Department of Aviation ("CDA") between July 1, 2007 and June 30, 2008. The purpose of the audit was to review, test and evaluate CDA overtime activities and practices to determine (i) whether CDA had effective and efficient operations and internal controls respecting overtime distribution and pay, (ii) whether CDA policies and procedures respecting overtime were adequate, and (iii) whether CDA distribution and payment of overtime was in compliance with governing collective bargaining agreements. The general objective of the audit was to evaluate the justification of overtime to prevent waste and the potential for misconduct. Attached is a copy of the audit containing our findings and recommendations and incorporating CDA's responses.

In overview, the audit found for this 12-month period, during which CDA overtime totaled approximately \$11.4 million dollars, that CDA's internal controls respecting application of overtime procedures were *not* adequate to ensure efficient and effective management of overtime distribution and payment. Moreover, we found deficiencies in compliance with collective bargaining agreements that resulted in *overpayment* of overtime to employees in one of the audited positions. Acting on our audit recommendation, CDA audited overtime payments for the position, which confirmed more than \$31,000 in overpayments. CDA was advised by the Law Department that recovery of overpayments of wages through payroll deductions was not possible without the agreement of the union. The union – Laborer's International Union of North America Local 1001 – refused.

More specifically, the audit found, among other things, that as a result of the inadequacy of internal controls:

- Overtime payments disbursed for certain positions would have allowed for the hire of 72 full-time positions while only approximately 46 full-time employees would be necessary to cover the actual hours as straight time.
 - Of the \$11.4 million spent on overtime, \$2.21 million was distributed for Aviation Security Officers' ("ASOs") overtime alone.

- Approximately 38 ASOs could have been hired based on the amount paid in overtime, but only about 25 would have been needed to cover the actual hours as straight time.
- Such a move would have saved the City approximately \$735,000 over the audited period alone.
- Similar cost/benefit analysis for Laborers and Motor Truck Drivers (“MTDs”) revealed that the City could have saved approximately \$712,000 by hiring additional employees in those categories with funds paid for overtime.
- Numerous CDA employees worked extended hours, including several ASOs – who perform critical public safety functions -- and MTDs – who drive heavy machinery -- were observed to work 16-18 hour shifts several days in a row. Such extended shift schedules for workers in comparable positions have been noted by the U.S. Government Accountability Office (GAO) and Occupational Health and Safety Administration (OSHA) as leading to fatigue which decreases worker performance. ASOs and MTDs working excessive overtime thus could, at the margin, pose safety and performance issues.

Specific instances of non-compliance with the CBAs resulting in overpayment of overtime were found to include:

Airport Operations Supervisors (AOSs) time and a half pay for the first 2.5 hours of overtime for the *week* and double time pay for all additional *weekly* overtime hours, when the CBA required time and a half for the first 2.5 hours of overtime each *day* and double time for any time after, resulting in an overpayment.

Paying double time for-ASO volunteered 7th day work after refusing 6th day work when the CBA requires that the employee be present for all previous days in order to be paid 6th and 7th day pay.

Failure to allocate overtime distribution for ASOs on a rotating basis.

During performance of IGO audit field work, CDA, which cooperated with the audit, began formulating and implementing policy and procedural changes responsive to the deficiencies revealed by the audit. Accordingly, CDA officials, in many respects, are to be credited with acknowledging the audit findings, and acting promptly to implement remedial measures responsive to them.

Respectfully,



Joseph M. Ferguson
Inspector General
City of Chicago

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AUDITOR'S REPORT

We have completed an audit of the overtime performed at the Chicago Department of Aviation ("CDA"). We conducted the audit for the period of July 1, 2007 through June 30, 2008.

The authority to perform such an audit is established in the City of Chicago Municipal Code § 2-56-030 which states that the Inspector General's Office 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.

Our purpose was to review, test, and evaluate activities performed to determine whether the CDA had effective and efficient operations and internal controls regarding overtime distribution and pay, had adequate policies and procedures, and was in compliance with the collective bargaining agreements ("CBAs"). We also analyzed the cost/benefit of hiring more employees as opposed to distributing more overtime. CDA management is responsible for establishing and monitoring effective internal controls for the distribution and justification of overtime.

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

Based upon the results of our audit, we determined that the CDA's lack of internal controls over the distribution of overtime as well as the distribution of overtime pay resulted in non-compliance with specific CBAs. Deficiencies were noted with employees being paid based on their individual workweeks instead of the City's workweek which is stated in the CBAs. We also performed a cost/benefit analysis to depict the additional number of employees that could have been hired rather than distributing overtime to employees that may have already worked several hours beyond their normal workday.

We thank the Chicago Department of Aviation management and staff for their cooperation during the audit. Their assistance contributed significantly to the successful completion of the audit.

Wendy Funk
Chief Auditor

EXECUTIVE SUMMARY

The Inspector General's Office ("IGO") performed an audit of the overtime procedures at the Department of Aviation ("CDA") for the twelve-month period July 2007 through June 2008. For this period, overtime for the entire CDA totaled approximately \$11.4 million. The purpose of the audit was to review, test, and evaluate activities performed to determine whether the CDA had effective and efficient operations and internal controls regarding overtime distribution and pay as well as adequate policies and procedures. We also analyzed the cost/benefit of hiring more employees as opposed to distributing more overtime. The audit was also conducted to evaluate the justification of overtime to prevent waste and the potential for misconduct.

Audit steps included:

- interviewing CDA management, payroll staff, and various employees;
- understanding and identifying key requirements of the collective bargaining agreements ("CBAs");
- identifying and documenting internal controls in place to determine the necessity of overtime;
- documenting and testing manual and system controls; and
- analyzing the accuracy of overtime payments through observation, review of documentation, and review of system inputs and outputs.

Based upon the results of our audit, we determined that the CDA's internal controls over the application of overtime procedures *were not* adequate to ensure efficient and effective management of the overtime payment distribution. We also found significant deficiencies in compliance with the CBAs.

We found that the deficiencies in internal controls had the following negative consequences:

- Our cost/benefit analysis indicates that 72 full-time positions (exclusive of Pool Motor Truck Drivers "Pool MTDs") could have been added with the funds distributed as overtime to the current employees during the audited period. However only approximately 46 full-time employees would be necessary to cover the actual hours as straight time. Of the \$11.4 million spent on overtime, \$2.21 million was distributed for Aviation Security Officers' ("ASOs") overtime alone. The analysis showed that an additional 37 ASOs could have been hired based on the amount paid in overtime, but that only about 25 would be needed to cover the actual hours as straight time, saving the City approximately \$735,000. Such a move would distribute the work hours among more employees rather than unduly burdening current ASOs with substantial overtime beyond normal duty hours. A similar cost/benefit analysis for Laborers and Motor Truck Drivers ("MTDs") shows the City could have saved approximately \$712,000 by hiring additional employees in those categories. See further details at the "Exhibit A – Cost/Benefit Analysis" section in this report beginning on page 18.
- We conducted the abovementioned analysis in follow-up to our audit observation of numerous CDA employees working extended hours. Among other things, we noted that several ASOs worked 16-18 hour shifts several days in a row. This also applies to

several other CDA positions, such as MTDs. Given the responsibilities of the ASOs, we believe that an ASO who has worked these hours would not be as effective or productive in resolving a potential dangerous situation should it arise, not to mention compromising the safety of travelers as well. The same applies to the MTDs since driving vehicles and maneuvering heavy equipment after excessive hours on the job could be very dangerous. As has been noted by the Government Accountability Office (GAO) and the Occupational Health and Safety Administration (OSHA), working excessive overtime can lead to fatigue which decreases worker performance.^{1,2} In the case of ASOs and MTDs, working excessive overtime could, at the margin, pose safety issues as the performance of fatigued ASOs and MTDs suffers.

- There were also several instances of non-compliance with the CBAs:
 - Airport Operations Supervisors (“AOSs”) are to be paid under the CBA at time and a half for the first 2.5 hours after the regular workday shift and double time for any time after that on a daily basis. However, their overtime hours were all added together for the week and the first 2.5 hours were paid at time and a half and the remainder paid at double time. This resulted in an overpayment. See Finding 08-2a in the “Audit Findings and Recommendations” section for further details.
 - According to their CBA, 6th and 7th day pay for ASOs’ should be based on the *employer’s* workweek. We found, however, that ASOs were being paid overtime for 6th and 7th day work based on the *employee’s* workweek. ASOs were also volunteering for 7th day work and getting paid double time after refusing 6th day work. However, their CBA states that the employee must be present for all previous days in order to be paid 6th and 7th day pay. The foregoing resulted in a pattern of overpayment. See Finding 08-2b in the “Audit Findings and Recommendations” section for further details.
 - Overtime distribution for ASOs was not allocated on a rotating basis as per the CBA.
- The CDA does not have a policies and procedures manual that is distributed to all employees.

The CDA should consider hiring more employees and reduce overtime based on the cost/benefit analysis for both the safety reasons and potential cost savings. Additionally our main recommendation is to institute training and procedures to ensure that all timekeepers are aware of and follow all the overtime regulations of each CBA within the CDA.

¹ Government Accountability Office. “Border Security: Despite Progress, Weaknesses in Traveler Inspections Exist at Our Nation’s Ports of Entry.” November 5, 2007. page 33.

² Occupational Health and Safety Administration. “Emergency Preparedness Guide: Extended/ Unusual Work Shifts.”

(<http://www.osha.gov/SLTC/emergencypreparedness/guides/extended.html> last accessed August 25, 2010)

This summary highlights the key findings which are described in detail in the “Audit Findings and Recommendations” section beginning on page 9.

BACKGROUND

The Chicago Department of Aviation (“CDA”) encompasses Chicago's O’Hare and Midway airports, which are owned and operated by the City of Chicago. The CDA is responsible for the management, planning, design, operation and maintenance of both airports.

The CDA maintains airfield and airport facilities to provide for efficient airline flight operations and passenger convenience. It also manages airport tenant and concession license agreements, ground transportation facilities, financial administration, research, planning and development activities.

In 2008, the number of appropriated positions at both airports was 1,439 with total appropriated funds of \$543,632,104 of which \$93,555,699 was for personnel costs.

The CDA is involved with approximately 17 unions which each have their own collective bargaining agreement (“CBA”) with the City of Chicago. Although there are many similarities within each CBA, there are also many differences. One significant difference is the way overtime is distributed and paid. In some instances, employees are paid at time and a half for the first 2.5 hours after their regular 8-hour shift and at double time after 10.5 hours. Others are paid at time and a half for all hours after their 8-hour shift for the day.

This audit was initiated after the Inspector General’s Office (“IGO”) reviewed dollars spent on overtime in the CDA. Based on this review, the IGO noted that one individual accumulated over \$60,000 in overtime throughout the 12-month audit period July 1, 2007 to June 30, 2008. An additional twenty-nine employees earned more than \$30,000 in overtime in the same period and 110 employees earned over \$20,000.

OBJECTIVES, SCOPE AND METHODOLOGY

Objectives

The objectives of the audit were to:

- gain an understanding of the procedures as to how overtime work is determined;
- gain an understanding of the regulations of the relevant collective bargaining agreements relating to overtime;
- evaluate the policies and procedures that are applied in distributing overtime;
- verify overtime calculations are accurate; and
- test and evaluate activities performed to ensure effective and efficient operations and compliance with policies and procedures.

Scope and Methodology

The scope of the audit consisted of reviewing the policies and procedures for distributing overtime for the period July 1, 2007 to June 30, 2008. A cost/benefit analysis was also conducted in order to determine how many additional employees could have been hired as opposed to distributing overtime. Fieldwork was completed in December 2009.

Audit steps included:

- interviewing CDA management, payroll staff and other aviation employees;
- reviewing existing policies and procedures for the management of overtime;
- documenting and testing manual procedures in place for distributing overtime;
- documenting and testing manual and system procedures in place for reporting overtime;
- analyzing the effectiveness and efficiency of overtime distribution through observation, review of overtime request forms and payroll documentation, and review of system inputs and outputs;
- selecting testing samples from data of all overtime paid to all aviation employees for the audit period (top 10 Aviation Security Officers, as the majority of overtime was spent with this group of employees, and top 10 various employees in other positions);
- comparing overtime procedures with collective bargaining agreements;
- recalculating overtime payments based on what was reported to payroll compared to what payroll actually paid out; and
- determining the cost/benefit of hiring additional employees in place of assigning overtime to current employees.

Audit Team

Melanie Mui, Senior Auditor
Wendy Funk, Chief Auditor

AUDIT FINDINGS AND RECOMMENDATIONS

Finding 08-1: Safety Issue and \$1.7 Million Wasteful Spending Due to Excessive Overtime Usage

During the course of the audit of overtime, the IGO noted that several employees were working 16-18 hours a day for several days in a row. Given the responsibilities of the Aviation Security Officers (“ASOs”), we believe that an ASO who has worked these hours would likely not be as effective or productive in resolving a potential dangerous situation should one arise. The same applies to the Motor Truck Drivers (“MTDs”) as driving vehicles and maneuvering heavy equipment after several hours on the job would be very dangerous.

Research regarding personnel in similar positions to ASOs and MTDs has highlighted the risks of having employees work extended overtime. A Government Accountability Office (GAO) study of U.S. Customs and Border Protection (CBP), found that CBP security “officer fatigue caused by excessive overtime negatively affected inspections at their ports of entry.”³ In response to concerns about fatigued truck drivers, the federal government has established guidelines that limit the amount of hours truck drivers involved in interstate commerce can work in any 24-hour time period primarily as a way of keeping “fatigued drivers off public roadways.”⁴ In an Emergency Preparedness guide, the Occupational Safety and Health Administration (OSHA) has written that “extended or unusual work shifts may be more stressful physically, mentally, and emotionally. Non-traditional shifts and extended work hours may disrupt the body’s regular schedule, leading to increased fatigue, stress, and lack of concentration. These effects lead to an increased risk of operator error, injuries and/or accidents.”⁵

ASOs have the responsibilities of securing airport air side and land side areas, airport terminals, roadways, and City facilities, issuing citations, and making arrests of persons violating the law on Aviation property.

MTDs transport materials, tools, equipment and personnel to and from projects as well as drive sweepers, snowplows and spreaders to clear streets, airfields and runways. There is another class of drivers called Pool Motor Truck Drivers (“Pool MTDs”) which is a group of drivers who are assigned to different departments throughout the City based on necessity. They are assigned to the CDA mostly during the winter months and are then reassigned to other departments.

Based on the cost/benefit analysis performed during this audit, it was noted that of the \$2.2M spent on overtime for ASOs, an additional 25 ASOs could have been hired at straight time resulting in an approximate \$735,000 savings. The hiring of an additional seven MTDs to cover

³ Government Accountability Office. “Border Security: Despite Progress, Weaknesses in Traveler Inspections Exist at Our Nation’s Ports of Entry.” November 5, 2007. page 33.

⁴ Federal Motor Carrier Safety Administration. “Interstate Driver’s Guide to Hours of Service”.

⁵ Occupational Health and Safety Administration. “Emergency Preparedness Guide: Extended/ Unusual Work Shifts.”

(<http://www.osha.gov/SLTC/emergencypreparedness/guides/extended.html> last accessed August 25, 2010)

the overtime hours worked by current employees would have resulted in an approximate savings of \$324,000 and an additional nine laborers would have produced an approximate savings of \$389,000. See the “Exhibit A – Cost/Benefit Analysis” section of this report beginning on page 18.

Due to the revolving nature of the Pool MTDs, it would not be prudent to calculate how many additional employees the City as a whole should hire. This would be beyond the scope of this audit and could potentially warrant an audit of its own. However it should be noted that the amount of overtime these Pool MTDs worked for Aviation amounted to a full-time equivalent of 32 employees.

The excessive overtime was due to the lack of manpower.

Recommendation:

The CDA should hire additional employees in order for the work to be evenly distributed to more people and therefore reduce the dangers of having current employees working 16-18 hours a day for several days in a row as well as to increase cost-savings.

Management Response:**Aviation Security Officers (ASO)**

The Security division has modified its security operations and ASOs schedules to reduce overtime. ASOs began a rotating day off schedule in January 2010. This schedule has allowed all officers to rotate days off into the weekend allowing for every ASO to have a weekend off. This has reduced the amount of sick call-ins on the weekend which has also reduced overtime. In addition this new schedule placed ASOs in 7 different day-off groups which allow a balanced allocation of personnel to ensure equal daily staffing. Also the following measures listed below have also been implemented:

- Part-time officers have been scheduled to meet operational needs and fill vacancy shortages;
- All watch commanders have established maximum staffing levels for part-time officers forcing part-time officers to work during staffing shortages;
- All watches have been re-balanced based on operational activity so that the more active watches have the personnel needed to complete the daily requirements;
- Hiring of both full-time and part-time ASOs has assisted in increasing overall section staffing. In 2010, the department hired 16 full-time and 12 part-time ASOs;
- Staffing contingencies have been implemented by combining mobile and foot patrol units assignments;
- Several fixed post assignments have been turned over to contract security personnel.

Motor Truck Drivers (MTDs)

Motor Truck Drivers are assigned an 8 hour work day. However, during the snow events they maybe required to work 4 hours additional overtime at either the beginning or at the end of their shift. Under this plan, no MTD works more than 12 hours a day.

This plan was implemented during the 2009-2010 winter season. During this same time, the department invoked the use of the 2-Hour Work Rule, which allows the department to send MTDs home after 2 hours if there is no snow event or related work to be performed. The 2-Hour Work Rule reduced fatigue as employees could go home to rest/prepare for snow events.

Finally, in 2008 the department hired 175 Pool MTDs. For 2010, the department's goal is to hire 212 Pool MTDs, an increase of 37 Pool MTDs. Modifications in the work hours and the increase in the number of MTDs will greatly eliminate overtime and concerns of safety and security related to fatigue.

Finding 08-2: Non-compliance with Collective Bargaining Agreements (“CBAs”)

See Exhibit B for a summary of various CBAs beginning on page 23.

Finding 08-2a: Incorrect Overtime Payments for Airport Operations Supervisors (“AOSs”)

According to the CBA, “All work performed in excess of eight hours worked in any workday, including work required to be performed immediately before or after any scheduled workshift, shall be paid at one and one-half (1-1/2) times the regular straight-time rate of pay, except: (a) All work performed in excess of 10 1/2 hours worked in any workday, including work required to be performed before or after any scheduled workshift, shall be paid at two times the regular straight-time hourly rate of pay...”

Instead of breaking out the first 2 ½ hours immediately after a regular shift at time and a half and the remainder at double time on a daily basis, we found the department was adding all overtime for the week and breaking out the first 2 ½ hours at time and a half and the remainder at double time.

For example, if an AOS’s normal workweek is from Monday to Friday, 8am-4pm and he worked four hours of overtime everyday of that week immediately after his regular shift, his pay should be as follows:

Monday – 4pm-6:30pm = time and a half; 6:30pm-8pm = double time

Tuesday – 4pm-6:30pm = time and a half; 6:30pm-8pm = double time

Wednesday – 4pm-6:30pm = time and a half; 6:30pm-8pm = double time; and so on for Thursday and Friday. Therefore, it should have been 12.5 hours of time and a half and 7.5 hours of double time. AOS average hourly wage in 2008 was approximately \$24.27 with time and a half of \$36.41 and double time of \$48.55. Thus, this example would have resulted in a payment of \$819.26 for the week.

However, the following shows how the department actually paid out the overtime:

Monday – 4pm-6:30pm = time and a half; 6:30pm-8pm = double time

Tuesday – 4pm-8pm = double time

Wednesday – 4pm-8pm = double time; and so on for Thursday and Friday. This practice resulted in 2.5 hours of time and a half and 17.5 hours of double time. Hence, this resulted in a payment of \$940.66 for the week netting a \$121.40 *overpayment*.

Therefore, the inaccurate payment of overtime as presented above would result in a significant number of time and a half hours being paid out at double time. The cause of this error is due to conflicting instructions given to timekeepers by management.

Recommendation:

We recommend that timekeepers follow the CBA requirements and break out hours of overtime on a daily basis. Timekeepers should be properly trained to better understand the procedures stated in the CBA for the specific employees whose timekeeping they process.

We also recommend that the CDA conduct a departmental audit to recover the overpayments.

Management Response:

Timekeepers and Field Editors have been trained on how to properly calculate the work week and overtime hours for the AOSs. It was determined that an AOS Field Editor was not calculating overtime correctly.

An audit was conducted and it was determined that the AOSs were overpaid in the amount of \$31,832.57. The department contacted Labor Law to discuss how monies could be collected from the AOSs. CDA was advised that any deductions from payroll to return the monies would have to be approved by Local 1001. CDA discussed the reimbursement of funds with Local 1001 and they would not agree to the payroll deductions or reimbursement through any other means.

Finding 08-2b: Incorrect Workweek for Aviation Security Officers (“ASOs”)

According to the Public Safety Employees Union Unit II CBA, 6th and 7th day pay should be based on the employer’s workweek which begins on Sunday. ASOs were being paid overtime for 6th and 7th day work based on the start of the employee’s workweek. The CBA states that employees will be paid at time and a half for 6th day work and at double time for 7th day work. However, in order to receive 6th and 7th day pay, the employee must have been present for all days prior to the 6th and 7th days. Employees were not working on the 6th day but volunteering for the 7th day without being present for all the previous days and getting paid double time.

Therefore, the timekeepers were not complying with the CBA related to the employer’s workweek, however this did not materially impact the dollars paid out. The ASOs were also purposely taking advantage of 7th day pay without having worked all six days before.

Recommendation:

We recommend that timekeepers comply with CBA and base overtime on employer’s workweek of Sunday to Saturday as well as verify that the employee was present for all six days prior to the 7th day before paying double time for the 7th day. Timekeepers should be properly trained to better understand the procedures stated in the CBA for the specific employees whose timekeeping they process.

Management Response:

Timekeepers have been trained on how to interpret the 6th and 7th day pay for the ASOs. However, the Security division has modified its security operations and ASOs schedules to reduce overtime and the need to work the 6th and 7th days. ASOs began a rotating day off schedule in January 2010. This schedule has allowed all officers to rotate days off into the weekend allowing for every ASO to have a weekend off. This has reduced the amount of sick call-ins on the weekend which has also reduced overtime.

In addition, this new schedule placed ASOs in 7 different day-off groups which allow a balanced allocation of personnel to ensure equal daily staffing. Saturdays and Sundays would be defined as the 6th and 7th days based on the City's work week. The rotating schedule limits the need for an ASO to work the 6th and/or 7th day.

Finding 08-2c: Incorrect Overtime Distribution of ASOs

According to the Public Safety Employees Union Unit II CBA, overtime is to be distributed based on seniority on a rotating basis. Overtime distribution for ASOs was not allocated on a rotating schedule based on seniority. Overtime was always going to the most senior people unless they refused it. The ASOs were not in compliance with the CBA and were practicing unfair overtime policies. It is not clear as to what caused this error.

Recommendation:

We recommend that the ASO Lieutenants comply with the CBA and distribute overtime starting with the most senior employee and continuing to distribute to the next junior employee until the most junior employee is offered overtime.

Management Response:

Overtime is distributed to ASOs in accordance with the collective bargaining agreement. Overtime is offered by seniority. Once an employee has been given the option to work overtime, whether the option is accepted or rejected, that employee will not be afforded the option to work subsequent overtime until all other employees have been afforded the opportunity to work overtime. In addition, if overtime is offered and not accepted, overtime is then distributed by reverse seniority.

Attached are two separate logs that are maintained on each watch and posted in the roll call room to track the distribution of overtime to ensure compliance with the CBA. Also, please see the attached for the tracking sheet that provides clarification of the first attachment. When reviewing the tracking sheet, R represents that the overtime was refused, W represents that the overtime was accepted and worked by the employee and N represents that the employee was not present to work the overtime.

Finding 08-3: Poor Internal Controls***Finding 08-3a: Lack of policies and procedures***

As a matter of best practices, all departments should have a policies and procedures manual. The CDA does not have written policies and procedures that are distributed or communicated to all employees. In the event of an unforeseen circumstance and the regularly scheduled staff is not available, the replacement may not know what the procedures are in order to efficiently run the specific department.

Recommendation:

We recommend that all departments within the CDA have specific policies and procedures in place regarding payroll and overtime distribution and payment for all sub-departments. At the very least, there should be one overall Policies and Procedures manual that encompasses the entire Department of Aviation. It should also be communicated and/or distributed to all staff. CDA should train employees on the policies and procedures that are put in place.

Management Response:

In 2009, the department engaged consulting firm KPMG to assist with the development of SOPs for HR, Contracts and certain Airfield Operation responsibilities (see attached SOPs). In 2010, the department continued with KPMG for Phase II of the SOP Project to include Vehicles Services, Security, IT/Telecommunications and Facilities. Phase II is scheduled to be complete Mid-October 2010. Phase III, which will include Finance and ID Badging, is scheduled to begin early 2011.

Finding 08-3b: Inconsistent Entry of Payroll Information

There are several payroll codes that are used for entering payroll information into the system. These codes represent the type of hours an employee works. Specifically, the payroll codes RX and RD are used to represent “time and a half” and “double time”, respectively. There are also payroll codes of RXF and RDF which signify that a modification was made to a payroll entry. The payroll clerks do not use the RXF or RDF payroll codes and therefore, it is not possible to decipher whether an entry has been modified without opening each entry and looking at the “Comments” section.

Another issue concerns the situation in which an overtime form is received by the payroll section for overtime worked in a previous pay period and the payroll clerk needs to enter an override of RX or RD. Currently, the system sets a default date of the current date when the payroll clerk enters the modification screen. S/he will just enter descriptive information in the “Comments” section that the overtime was for a past date without updating the date to reflect the actual day the overtime was worked. At face value, the overtime worked for a specific date will show as worked on the date the entry was made.

The above issues are a result of the lack of training or improper and/or ineffective training, which results in misleading information for those in the CDA, or elsewhere in the City, who might be monitoring and reviewing such information.

Recommendation:

We recommend that payroll clerks follow proper and consistent procedures when entering payroll information. When the payroll clerk makes a change to a time entry in the system for RX or RD, they should change the payroll code to the already available codes of RXF or RDF to signify that a change was made to that time entry.

S/he needs to change the date to the actual date the overtime was worked and not leave the current default date in the field and put the actual worked date in the “Comments” section.

Overall, the payroll clerks should be retrained on what payroll codes are available and how best to use the system consistently.

Management Response:

Timekeepers and Field Editors have been properly trained on using the RXF and RDF codes and not using the default date but the actual date to record “time and half” and “double time” entries when processing overtime payments.

Finding 08-3c: Inconsistent Use of Overtime Forms

All positions tested required a “Swipe Correction Sheet” to be completed by the employee, signed off by their supervisor and forwarded to the payroll section to record overtime except Aviation Security Officers (“ASOs”). A Swipe Correction Sheet details the overtime hours worked, days worked and reason for overtime. Currently, ASOs are only required to sign in on the sign-in sheet for the watch in which the overtime is worked. Without having filled out a Swipe Correction Sheet, there is a great potential for the payroll section to overlook overtime worked. The sheet clearly indicates when and why the overtime was worked.

Recommendation:

We recommend that all positions requesting overtime should fill out Swipe Correction Sheets to verify overtime worked and forward them to the payroll section.

Management Response:

All employees are required to submit Swipe Correction Sheets to Timekeepers or Field Editors to process overtime worked. ASOs are required to submit the Swipe Correction Sheets to the department’s HR division for processing. Failure to do so will result in non-payment of overtime to the employee. Effective January 1, 2010, the department issued a SOP to all CDA staff on Overtime Authorization (see attached for SOP). This SOP outlines the use of the Swipe

Correction Sheets as the form required to process overtime. All CDA employees have attended training on this topic. This SOP is also available on the department's intranet for easy reference for employees.

EXHIBIT A – COST/BENEFIT ANALYSIS

Based on the discovery of excessive overtime hours, the IGO also performed a cost/benefit analysis which presents the additional number of employees that could have been hired and therefore reduced the amount of overtime worked by current employees.

The Senior Auditor (“SA”) used the 2008 overtime data as it was the most up-to-date and complete information available. The percentage of fringe benefits data was obtained from the City Comptroller’s Office for all positions. The SA rounded up to the nearest thousand of average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire.

Aviation Security Officers (ASOs)

The base salary was based on the latest ASO hire of 2008. According to the "Classification and Pay Plan Salary Resolutions 2008-2009 Schedule A", ASOs receive a raise after the first six months of employment. Therefore, the SA will use the average base salary for the first year of an ASO in order to have a more representative estimate of the cost of hiring more ASOs.

Monthly Salary 1st Six Months	Monthly Salary Next 12 Months	Average Salary 1st 12 Months	Fringe Benefit %	Est. Annual Cost of Additional ASO
\$3,238	\$3,394	\$39,792	45.83%	\$58,029
2008 ASO Overtime		# of Potential ASOs		
\$2,206,238		38.02		

The \$2.2M paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional ASOs.

# of Potential ASOs	Divided by time and a half*	Actual # of New ASOs	Est. Annual Cost of Additional ASO	Total Cost of Additional ASOs	Actual Savings
38.02	1.5	25.35	\$58,029	\$1,471,035.15	\$735,203

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

Foreman of Laborers/Airport Maintenance Foremen

The base salary was obtained by using the average hourly rate from the Collective Bargaining Agreement handbook between County, Municipal Employees', Supervisors' and Foremen's Union, Local 1001, effective 7/1/07 - 6/30/17.

Hourly Rate 7/1/2007	Hourly Rate 7/1/2008	Base Salary for 2008	Fringe Benefit %	Est Annual Cost of Additional Foreman
\$28.52	\$30.12	\$60,985.60	35.05%	\$82,361
		# of Potential Foreman		
2008 Overtime		2.39		
\$197,037				

The \$197K paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional Foremen.

# of Potential Foremen	Divided by time and a half*	Actual # of New Foremen	Est. Annual Cost of Additional Foreman	Total Cost of Additional Foremen	Actual Savings
2.39	1.5	1.59	\$82,361	\$130,953.99	\$66,083

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

Laborers

The SA rounded up to the nearest thousand of the average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire. The base salary was the hourly rate for all Aviation Laborers for 2008.

Hourly Rate for 2008	Base Salary for 2008	Fringe Benefit %	Est. Annual Cost of Additional Laborer
\$29.12	\$60,569.60	35.05%	\$81,799
		# of Potential Laborers	
2008 Overtime		14.27	
\$1,167,008			

The \$1.2M paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a

regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional Laborers.

# of Potential Laborers	Divided by time and a half*	Actual # of New Laborers	Est. Annual Cost of Additional Laborer	Total Cost of Additional Laborers	Actual Savings
14.27	1.5	9.51	\$81,799	\$777,908.49	\$389,100

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

Motor Truck Drivers (MTDs)

The SA rounded up to the nearest thousand of the average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire. The base salary was the hourly rate for all aviation Motor Truck Drivers for 2008.

Hourly Rate 2008	Base Salary for 2008	Fringe Benefit %	Est. Annual Cost of Additional MTD
\$30.70	\$63,856.00	34.08%	\$85,618
2008 Overtime		# of Potential MTDs	
\$971,466		11.35	

The \$971K paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional MTDs.

# of Potential MTDs	Divided by time and a half*	Actual # of New MTDs	Est. Annual Cost of Additional MTD	Total Cost of Additional MTDs	Actual Savings
11.35	1.5	7.56	\$85,618	\$647,272.08	\$324,194

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

Pool Motor Truck Drivers (Pool MTDs)

The SA rounded up to the nearest thousand the average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire. The hourly rate was the lowest hourly wage for Pool Motor Truck Drivers in 2008.

Hourly Rate 2008	Base Salary for 2008	Fringe Benefit %	Est. Annual Cost of Additional Pool MTD
\$24.56	\$51,084.80	38.60%	\$70,804
2008 Overtime	# of Potential Pool MTDs		
\$2,309,515	32.62		

Due to the revolving nature of the Pool MTDs, it would not be prudent to calculate how many additional hires the City as a whole should hire. This would be beyond the scope of this audit and could potentially warrant an audit of its own.

Airport Operations Supervisor I (“AOSIs”)

The SA rounded up to the nearest thousand of the average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire. The monthly rate was the lowest monthly wage for Airport Operations Supervisors I in 2008.

Monthly Rate 2008	Base Salary for 2008	Fringe Benefit %	Est. Annual Cost of Additional AOSI
\$4,208.00	\$50,496.00	39.07%	\$70,225
2008 Overtime	# of Potential AOSIs		
\$297,903	4.24		

The \$298K paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional AOSIs.

# of Potential AOSIs	Divided by time and a half*	Actual # of New AOSIs	Est. Annual Cost of Additional AOSI	Total Cost of Additional AOSIs	Actual Savings
4.24	1.5	2.83	\$70,225	\$198,736.75	\$99,166

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

Airport Operations Supervisor II (“AOSIIs”)

The SA rounded up to the nearest thousand of the average salary to have a more conservative percentage of fringe benefits used to calculate the cost of a new hire. The monthly rate was obtained from the Collective Bargaining Agreement between County, Municipal Employees', Supervisors' and Foremen's Union, Local 1001, effective 7/1/07 - 6/30/17. Based on data from the Office of Budget and Management for the Airport Operations Supervisors II, no AOSIIs were hired near the 2008 year. Therefore, SA noted AOSIIs were Class Grade 15 on the rate table in the CBA and used the average monthly salary for the first year.

Monthly Rate 2008	Base Salary for 2008	Fringe Benefit %	Est. Annual Cost of Additional AOSII
\$4,513.50	\$54,162.00	37.29%	\$74,359

	# of Potential AOSIIs
2008 Overtime \$295,106	3.97

The \$295K paid out as overtime was paid at time and a half or double time. If additional employees were hired, their hours would essentially be the actual hours worked by current employees that are earning overtime. Therefore, the actual new hires would be working a regular shift and would theoretically eliminate overtime pay. With that in mind, the calculation below represents the actual number of employees needed to cover the hours worked by employees earning overtime, and shows the cost savings that could be achieved by hiring additional AOSIIs.

# of Potential AOSIIs	Divided by time and a half*	Actual # of New AOSIIs	Est. Annual Cost of Additional AOSII	Total Cost of Additional AOSIIs	Actual Savings
3.97	1.5	2.65	\$74,359	\$197,051.35	\$98,055

*Time and a half was used in the calculation, but it should be noted that some of the overtime was paid at double time or greater, thus this is a conservative calculation.

EXHIBIT B – SUMMARY OF VARIOUS COLLECTIVE BARGAINING AGREEMENTS (“CBA”)

Public Safety Employees Union Unit II – Effective 7/1/2003 through 6/30/2007

(This contract was still in effect at the time of the audit as a new contract was not yet developed.)

This CBA is for **Aviation Security Officers**.

Distribution of overtime

- City’s workweek begins on Sunday
- Offered 1st to the employee performing the job, thereafter to volunteers with the most senior being given the opportunity
- Rotation lists shall be maintained and posted

Payment

- All work performed in excess of 40 hours worked per week in the Employer’s workweek; or in excess of eight hours worked per day where the employee has over 40 hours of work or excused absences in the Employer’s workweek, shall be paid at time and a half
- Hours worked immediately before a regularly scheduled shift are not included in the 40-hour calculation
- Hours worked before a regularly scheduled shift are always paid at time and a half
- All work performed on the sixth consecutive day shall be paid at time and a half
- All work performed on the seventh consecutive day shall be paid at double time

Locals 1001, 1092 and 76 of the Laborers International Union of North America – Effective 7/1/2007 through 6/30/2017

This CBA is for the **Airport Operations Supervisors, Airport Maintenance staff, and Laborers**.

Distribution of overtime

- City’s workweek begins on Sunday
- Offered 1st to the employee performing the job, thereafter to volunteers with the most senior being given the opportunity
- Rotation lists shall be maintained and posted

Payment

- Anything over 8 hours in any workday and any work performed immediately before/after any scheduled work shift is paid at time and a half
- All work performed in excess of 10.5 hours worked in any workday, including work required to be performed before/after any scheduled work shift, is paid at double time
- 1st eight hours of 6th day = time and a half
- All hours after eight hours of 6th day = double time

- All hours on 7th day = double time

Teamsters Local 726 – Effective 7/1/2007 through 6/30/2017

This CBA is for the **Motor Truck Drivers and Pool Motor Truck Drivers**.

Distribution of overtime

- City's workweek begins on Sunday
- Offered 1st to the employee performing the job and thereafter by seniority
- Whether accepted or rejected, employees asked to work the overtime will not be afforded the option to work subsequent overtime until all employees have been reasonably afforded the opportunity

Payment

- All work prior to regular start time is paid at time and a half
 - All work after eight hours of regular workday is paid at time and a half
 - Saturday or 6th consecutive day = time and a half
 - Sunday or 7th consecutive day = double time
-

Chicago and Northeast Illinois District Council United Brotherhood of Carpenters and Joiners of America – Effective 7/1/2007 through 6/30/2017

Distribution of overtime

- City's workweek begins on Sunday
- Carpenters workweek is Monday through Friday, 8:30 – 4:30, except where different hours are currently in effect
- Offered 1st to employee performing the job and thereafter by seniority
- Whether accepted or rejected, employees asked to work the overtime will not be afforded the option to work subsequent overtime until all employees have been reasonably afforded the opportunity

Payment

- All work performed after eight hours is paid at time and a half up to the 1st two hours after the regular eight
- All work after the 1st ten hours of a regular workday is paid at double time
- All work performed before a regular shift is paid at double time
- Saturday work = time and a half for the 1st eight hours, double time after that
- Sunday work = double time

Overtime Seniority by Watch 2009

July				THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	T
3rd Watch				16	17	18	19	20	21	22	23	24	25	26	27	28	29	
PKPATRICK	MANLEY	1	T/W					R				R						
NKOVIC	SIMON	2	S/S					N										
JODS	ROBERT	3	S/S					N				R						
ARTINEZ	ALBERTO	4	S/S					N										
LLIAMS	RODNEY	5	S/S					N	S/S			R						
JRALES	EMILIANO JR	6	S/S					N				N						
FARO	BERNARDO	7	S/S					N				R						
ITTON	THADONIA	8	S/M					N										
JRONADO	FRANCISCO	9	S/S					N	S/S			N						
UCKIE	WARREN	10	F/S					N				N						
YS	NORMAN	11	F/S					R				R						
GAN	CHRIS	12	S/M															
JMIREZ	ROCIO	13	F/S					N				R						
ITCHERSON	DARRYL	14	F/S					N				N						
JRILLO	JOSE	15	F/S					R				R						
JL	CAROL	16	F/S															
IAZNOWSKI	STANLEY	17	S/M					N				N						
JORE	JOHN	18	S/M					N										
EIDEL	TIMOTHY	19	F/S					R				R						
IKOWSKY	MARVIN	20	T/W															
NNEHILL	TIMOTHY	21	S/M					N				R						
EVES	HARRY	22	F/S					N										
JAMS	GREGORY	23	T/F					R				N						
ICOWN	LLOYD JR	24	T/F									N						
YLOR	JALANDA	25	T/F					R				N						
JARES	BRIAN	26	W/T									N						
JYNES	DAVID	27	T/W					W				R						
JOSBY	HAROLD	28	T/F					N				N						
JDERSON	THOMAS	29	T/F					R				N						
JLE	AURELIUS	30	W/T									N						
JAY	JESSE	31	S/M					N				R						
JENEZ	JUAN	32	T/F					N				N						
JILLERMO	JAMES	33	M/T					R				R						
JINONES	GILBERTO	34	T/F									N						
JIMPAS	NANTUSCHA	35	W/T					N				N						
JRNSTINE	AMY	36	M/T															
JODWIN	NICHOLAS	37	M/T					R				R						
GADY	THOMAS	38	M/T															
JRISI	ANTHONY	39	T/F					R				N						
JMARCO	ROBERT	40	T/W															
JTOR	KEVIN	41	M/T					R				W						
JUGH	THOMAS	42	M/T									N						
JOWN	ANGELA	43	T/W					R				R						
JRGIS	NICHOLAS	44	W/T					N				N						
JPELLUTI	JOSEPH	45	M/T					R				R						
JRTINEZ	GILBERT	46	T/W									N						
JRN	JOSEPH	47	M/T					R				W						
JING	JASON	48	T/W															
JOPER	WILLIAM	49	W/T					R				N						
JTIERREZ	ISRAEL	50	W/T									N						
JRRES	BEATRICE	51	W/T					N				N						
JNAS	RICKY	52	M/T															
JNGER	STEVEN	53	T/W					R				R						
JENCER	WILLIAM	54	M/T					N										
JFFY	STEPHEN	55	T/W					R				R						

City of Chicago
Department of Aviation Police
3rd Watch Officers Working 1st Watch
Mandatory Overtime
(Revised 01 October 2009)

Employee by Seniority	SEN #	Day off	Employee Status	Mandatory Date	Supervisor's Badge # and Initials	Overtime Event #
KIRKPATRICK, M	1	T/W	ACTIVE			
JANKOVIC, S	2	S/S	ACTIVE			
WOODS, R	3	S/S	ACTIVE			
MARTINEZ, A	5	S/S	ACTIVE			
WILLIAMS, R	7	S/S	ACTIVE			
MORALES, E	15	S/S	ACTIVE			
ALFARO, B	17	S/S	ACTIVE			
SUTTON, T	21	S/M	ACTIVE			
CORONADO, F	22	S/S	ACTIVE	17 JUN. 08	Lt. RJ#5	
STUCKIE, W	25	F/S	ACTIVE	17 JUN. 08	Lt. RJ#5	
MAYS, N	26	F/S	ACTIVE	17 JUN. 08	Lt. RJ#5	
LOGAN, C	27	S/M	ACTIVE			
RAMIREZ, R	29	F/S	ACTIVE			
HUTCHERSON, D	40	F/S	ACTIVE	16 JUN. 08	Lt. RJ#5	
CARRILLO, J	42	F/S	ACTIVE			
HILL, C	43	F/S	ACTIVE			
PRAZNOWSKI, S	46	S/M	ACTIVE			
MOORE, J	47	S/M	ACTIVE			
WEIDEL, T	49	F/S	ACTIVE	19 FEB. 08	SGT. NALLS	
DITKOWSKY, M	51	T/W	ACTIVE	16 MAR. 08	SGT. MATTOX	
TANNEHILL, T	58	M/T	ACTIVE	16 MAR. 08	SGT. MATTOX	
NIEVES, H	59	T/F	ACTIVE	4 FEB 08	SGT. ANGELOPOULOS	
ADAMS, G	64	T/F	ACTIVE	4 FEB 08	SGT. ANGELOPOULOS	
BROWN, L	66	T/F	ACTIVE	16 DEC 07	SGT. WOODS	
TAYLOR, J	71	T/F	ACTIVE			
CASARES, B	73	W/T	ACTIVE	17 DEC 08	SGT. WOODS	
HAYNES, D	79	T/W	ACTIVE	9 DEC. 05	SGT. WOODS	
CROSBY, H	80	T/F	ACTIVE	16 DEC. 07	SGT. WOODS	
ANDERSON, T	81	T/F	ACTIVE	9 DEC. 05	SGT. WOODS	
COLE, A	82	W/T	ACTIVE	7 JAN. 08	SGT. MATTOX	
GRAY, J	91	S/M	ACTIVE	16 DEC.07	SGT. WOODS	

Employee by Seniority	SEN #	Day off	Employee Status	Mandatory Date	Supervisor's Badge # and initials	Overtime Event #
JIMENEZ, J	93	T/F	ACTIVE	10 DEC.07	SGT. ANGELOPOULOS	
GUILLERMO, J	94	M/T	ACTIVE	3 JUL 06	SGT. ANGELOPOULOS	
STEWART, T	95	S/S	DETACHED	17 JUN 04	SGT. ROGERS	
QUINONES, J	102	T/W	ACTIVE	10 DEC 07	SGT. ANGELOPOULOS	
BUMPAS, N	103	T/W	ACTIVE			
BURNSTINE, A	105	M/T	ACTIVE	16 DEC.07	SGT. WOODS	
GOODWIN, N	108	M/T	ACTIVE	16DEC 07	SGT. WOODS	
McGADY, T	112	M/T	ACTIVE	19 JUN 06	SGT. ANGELOPOULOS	
PARISI, A	114	T/F	ACTIVE	22 JUL 07	SGT. ANGELOPOULOS	
DeMARCO, R	117	W/T	ACTIVE	17 JUN 06	Lt. SCQ#4 (3 rd watch)	
ZATOR, K	122	T/W	ACTIVE	7 JAN 08	SGT. MATTOX	
KEOUGH, T	123	M/T	ACTIVE	3 JUL 06	SGT. ANGELOPOULOS	
BOEY, M	127	S/S	DETACHED	19 DEC 04	SGT. WOODS	
BROWN, A	128	T/F	ACTIVE	1 JUL 07	SGT. WOODS	
VERGIS, N	130	W/T	ACTIVE	2 JUL 07	SGT. YANEZ	
CAPPELLUTI, J	131	M/T	ACTIVE	19 JUN 06	SGT. ANGELOPOULOS	
MARTINEZ, G.	142	T/W	ACTIVE			
HARN, J	146	M/T	ACTIVE	3 DEC 07	SGT. NALLS	
FONG, J	147	T/W	ACTIVE			
COOPER, W	150	W/T	ACTIVE	10 DEC 07	SGT. ANGELOPOULOS	
GUTIERREZ, I.	153	W/T	ACTIVE	18 MAR 08	2 ND WATCH	
LANAS, R	160	M/T	ACTIVE			
SINGER, S.	162	T/W	ACTIVE			
SPENCER, W.	169	M/T	ACTIVE			
DUFFY, S.	171	T/W	ACTIVE			

Next up for mandatory OT pending day off groups:

DUFFY, SPENCER, SINGER, LANAS, FONG, G. MARTINEZ, BUMPAS, TAYLOR

Human Resources

The CDA Human Resources Function consists of eight (8) Processes within which SOPs are organized alphabetically, as indicated in the table below.

Function	Process		SOP
Human Resources	1	Employee Performance	Performance Evaluation
	2	Ethics & Conduct	Badge Wearing
			Children in the Workplace
			Document Retention & Destruction
			Dress Policy
			Outside Employment
			Smoking Restrictions
	3	Hiring	Acting Up
			Position Reclassification
	4	Labor Relations	Discipline
	5	Leave Administration	Administrative Leave
			FMLA Request
			Separation
	6	Time & Attendance	Attendance & Swiping
			Lunch Period
			Overtime Authorization
			Payroll Error
			Requesting Time Off
			Rest Periods
			Work Week
	7	Training & Certification	Tuition Reimbursement
	8	Workplace Safety & Accessibility	Accident/Incident Response

The pages of the above SOPs are numbered individually in order to clearly delineate the beginning and end of each SOP document



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Employee Performance
SOP:	Performance Evaluation
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to performance evaluation.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XIV: Section 1-5 (Version 12/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees will receive a performance evaluation on an annual basis. Performance evaluations will be conducted as follows:
 - 1. Non-collective bargaining unit (CBU) employees will be evaluated in March.
 - 2. CBU employees will be evaluated in April.
 - 3. New CDA employees will be evaluated prior to the end of the probationary period.
- B. All supervisors must follow the *DHR Employee Performance Management Program* when conducting performance evaluation activities (see *III. Forms, Documents & Resources*).

II. PROCESS FLOW & PROCEDURES



- A. **Supervisor Schedules & Prepares for Evaluation** – Supervisors should schedule the performance evaluation meeting with direct-report employees at least two (2) weeks prior to the evaluation meeting and gather necessary documentation to support the employee's rating.
 - 1. The supervisor should provide the employee with the *Performance Evaluation Form* to be completed by the employee as a self-evaluation prior to the scheduled performance evaluation meeting.
 - 2. The supervisor must gather documentation to support the rating that will be determined, such as:
 - a. Employee's prior year *Annual Expectations Meeting Form*, if available
 - b. Performance measures or other documentation supporting employee's operational performance
 - c. Any other documented occurrences of performance or discipline during the past year
- B. **Supervisor & Employee Meet to Conduct Evaluation** – The supervisor and employee will meet as scheduled to conduct the performance evaluation.
 - 1. Utilizing the *Performance Ratings Guide: General / Supervisory Performance Factors*, supervisors must complete the *Performance Evaluation Form* prior to the scheduled meeting and attach any supporting documentation gathered in process step A(2) above.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

2. The supervisor and employee meet to review the following:
 - a. Employee's self-completed *Performance Evaluation Form* and prior year's *Annual Expectations Meeting Form*
 - b. Supervisor's final rating per the *Performance Evaluation Form* and supporting documentation
 3. Once the evaluation discussion is complete, the supervisor, next-level supervisor must sign the above forms. The employee will be asked to sign the form as an acknowledgement of receipt. If the employee refuses to sign, the supervisor must sign the form "employee refuses to sign".
 4. After signatures are obtained, supervisors should also discuss and complete with the employee an *Annual Expectations Meeting Form* for the upcoming year.
- C. Establish Performance Improvement Plan (if needed)** – If an employee receives a "Below Expectations/Unsatisfactory" rating overall or related to any individual performance factor, the supervisor must complete a *Performance Improvement Plan* within ten (10) business days of the evaluation meeting.
1. The supervisor should meet with employee, discuss the planned corrective action over the next 90 days. The employee will be asked to sign the form as an acknowledgement of receipt. If the employee refuses to sign, the supervisor must sign the form "employee refuses to sign".
- D. Submit Documentation to CDA-HR** – The supervisor must submit all documentation to CDA-HR during the process of performance evaluation within five (5) business days of completing process steps B or, if applicable, process steps B and C.
1. The supervisor must maintain a copy and distribute additional copies to both the next-level supervisor and the employee.
 2. CDA-HR will review the performance evaluation documentation and may notify the supervisor if the process was not conducted in accordance with DHR requirements.
- E. Employee Requests Review of Evaluation (if requested)** – If unsatisfied with the supervisor's final evaluation, the employee can request in writing that the CDA Commissioner review the evaluation within seven (7) days of signing the *Performance Evaluation Form*.
1. Probationary employees do not have the right to request a review of evaluation under Rule IX of the DHR Personnel Rules.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
DHR Employee Performance Management Program Documentation		
Performance Evaluation Form	Serves as a self-evaluation for the employee and the final evaluation by the supervisor.	Submit to CDA-HR within five (5) business days of completing steps B or, if applicable, step C.
Performance Evaluation Form: Probationary	Completed by supervisor at the end of the probationary period for all new employees.	Submit to CDA-HR within five (5) business days of completing steps B or, if applicable, step C.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

Title	Purpose	Submission
Performance Ratings Guide: General / Supervisory Performance Factors	Used by supervisor for guidance in completing Performance Evaluation Form.	Not applicable – for supervisor reference only.

Title	Purpose	Submission
DHR Employee Performance Management Program Documentation (cont'd)		
Performance Improvement Plan	Documents substandard performance areas and establishes steps to improve employee performance over a 90-day period.	Submit to CDA-HR within five (5) business days of completing steps step C, if applicable.
Annual Expectations Meeting Form	Documents employee goals for upcoming year to be completed after evaluation is complete.	Submit to CDA-HR within five (5) business days of completing steps B or, if applicable, step C.

B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION

STANDARD OPERATING PROCEDURE



FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Badge Wearing
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to badge wearing.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. As the managing authority of a secure, federally-regulated airport system, CDA requires its employees to adhere to the following:

Display of Badge	✓ CDA employees must visibly display their CDA-issued identification badge at all times while on CDA property, preferably in the following ways: ○ Attached to a neck lanyard. ○ Affixed to an outer layer of clothing in the chest or waist area. ✓ CDA employees should not affix any labels or stickers to their CDA identification badge.
Replacing a Badge	✓ If a CDA employee no longer possesses his or her CDA identification badge due to damage, loss or theft, such employee should contact CDA-HR to obtain a replacement.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Children in the Workplace
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to children in the workplace.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. CDA prohibits unescorted children age 17 or younger in the work place due to potential liability, safety, and operational disruption issues.
- B. CDA prohibits the presence of children who require direct supervision in lieu of other child care arrangements.
- C. The CDA Commissioner reserves the right to designate appropriate events, dates or times when children in the workplace are acceptable.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
 - 1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 - 2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Document Retention & Destruction
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to document retention and destruction.
AUDIENCE:	All CDA Employees
AUTHORITY:	Illinois Local Records Act (50 ILCS 205)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. CDA is subject to the Illinois Local Records Act ("LRA"), which governs the preservation and destruction of public records created by CDA.
- B. All CDA employees are instructed to adhere to the LRA and retain any and all public records.
 1. The LRA defines a public record as "any book, paper, map, photograph, digitized electronic material (i.e. email or other electronic records), or other official documentary material, regardless of physical form."
 2. Examples of public records within CDA may include, but are not limited to, the following:

Administration	✓ Work Related E-mail Correspondence ✓ Meeting Agendas & Minutes	✓ Memoranda & Electronic Documents
Personnel	✓ Employee Files ✓ Payroll System Data	
Vendor Relationships	✓ Contracts ✓ Drawings	✓ Invoices & Payment Vouchers

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Dress Policy
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to dress policy.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

A. CDA employees must adhere to the requirements included in the table below.

Office Environment	✓ A CDA employee working primarily in an office location must dress in business professional attire.
Airside Environment	✓ A CDA employee working primarily in airside operations and not otherwise required to wear a uniform must wear attire appropriately suited to perform his or her job duties.
Uniformed Employees	✓ A CDA employee who is issued or required to be in uniform must wear the assigned uniform.

B. Exceptions – The CDA Commissioner reserves the right to grant written temporary or permanent, case-by-case exceptions to this SOP on an individual employee or department-wide basis.

C. Prohibited Attire – Final determinations related to prohibited attire remains at the discretion of the CDA Commissioner. Employees are currently prohibited from wearing the following types of clothing:

1. Unclean garments at the start of the workday
2. Inappropriate or revealing (e.g. Spandex)
3. Garments containing offensive words, logos, pictures or slogans

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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STANDARD OPERATING PROCEDURE

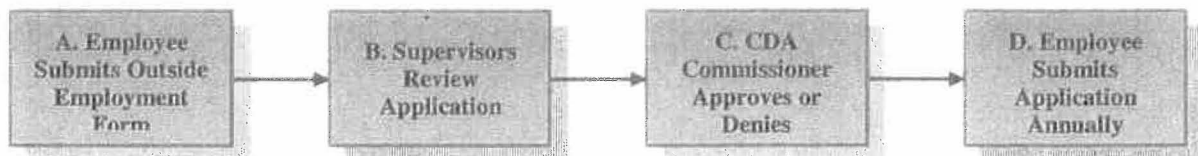


FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Outside Employment
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to outside employment.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XX: Section 3 (10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees are prohibited from engaging in outside employment, or any paid employment performed by an employee in addition to his or her employment with the City, without prior written approval by the CDA Commissioner.
- B. New CDA employees must complete and submit the *DHR Outside Employment Form* to his or her immediate supervisor upon accepting employment with CDA.
- C. All CDA employees must complete and submit the *DHR Outside Employment Form* to his or her immediate supervisor at the start of each calendar year, regardless of whether or not they have been engaged in outside employment in the past.

II. PROCESS FLOW & PROCEDURES



- A. **Employee Submits Outside Employment Form** – Prior to engaging in outside employment, the employee must complete and submit a *DHR Outside Employment Form* to his or her immediate supervisor for approval.
- B. **Supervisors Review Application** – The *DHR Outside Employment Form* will be reviewed by the employee's immediate supervisor, the manager presiding over his or her CDA section, and his or her applicable Managing Deputy Commissioner based on an assessment of the following:
 1. Potential conflicts of interest.
 2. Potential conflicts in logistics and scheduling based on outside employment hours and location.
 3. Any additional information that may be pertinent to approval.
- C. **CDA Commissioner Approves or Denies** – Once the CDA Commissioner approves based on the recommendation of the employee's supervisors, the employee will receive an approved copy of the *DHR Outside Employment Form* and may then begin approved outside employment activities.
 1. An immediate supervisor will inform the employee if his or her request has been denied.
- D. **Employee Submits Application Annually** – The employee will continue to submit a *DHR Outside Employment Form* annually to obtain approval in accordance with process steps A, B and C above.

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III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
DHR Outside Employment Form (PER 125)	Details outside employer description, location and hours for approval by supervisors and CDA Commissioner.	Thirty (30) days in advance of outside employment start date, start of employment with CDA or beginning of next calendar year.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION

STANDARD OPERATING PROCEDURE



FUNCTION / PROCESS:	Human Resources / Ethics & Conduct
SOP:	Smoking Restrictions
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to smoking restrictions.
AUDIENCE:	All CDA employees
AUTHORITY:	Smoke Free Illinois Act (Public Act 095-0017); FAA Order 3900.47; CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. CDA employees must adhere to the following requirements.

CDA Employees	✓ CDA is a smoke-free workplace. Employees are prohibited from smoking on CDA property or in any CDA vehicle, except in clearly designated smoking areas.
Contractors & Visitors	✓ CDA employees are required to advise CDA contractors and visitors to adhere to the above restrictions.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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STANDARD OPERATING PROCEDURE

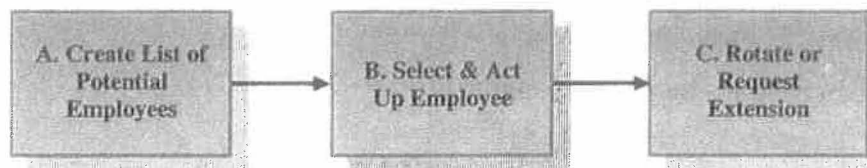
FUNCTION / PROCESS:	Human Resources / Hiring
SOP:	Acting Up
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to acting up an employee into a higher-rated title.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Policy & Guidelines for Use of Acting Up (Version 8/7/07)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees must adhere to the DHR Policy & Guidelines for Use of Acting Up (Acting Up Policy) when acting into a higher-rated title occurs.

II. PROCESS FLOW & PROCEDURES

The process and procedures included in this section pertain to acting up employees who are members of collective bargaining units (CBU). For the acting up of non-CBU members, please refer to the procedures included within the Acting Up Policy.



- A. **Create List of Potential Employees** – Once a supervisor identifies an operational need to act up an employee, he or she must create a listing of eligible employees in accordance with the Acting Up Policy.
 1. The list of potential employees should include employee names, collective bargaining unit (CBU) seniority dates and the duration, in hours, that each employee will act up before rotating.
 - a. A copy of this list must be submitted to CDA-HR's Acting Up Liaison prior to the start of any acting up, and must be accompanied by an Attachment B to the Acting Up Policy (Shakman Certification).
 2. The supervisor should update the employee list if a new employee joins the applicable team within a CDA section or at least on an annual basis. An updated list should then be submitted to the Acting Up Liaison.
 3. Potential employees included on this list should review the CBU seniority dates to help ensure accuracy and rotation in order of seniority.
- B. **Select & Act Up Employee** – After a list of potential employees has been created, the supervisor must select and act up the most senior employee who accepts the opportunity.
 1. The supervisor should document whether potential employees accept or decline the opportunity to act up using the *CDA Acting Up Waiver* form (see *III. Forms, Documents & Resources*) and submit to the Acting Up Liaison within two (2) business days of obtaining such forms.

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- a. If declining, employees have the option to decline the individual opportunity or any further opportunities during the calendar year.
 2. Once the most senior employee who accepts the opportunity to act up has been selected, the supervisor must complete and submit the *CDA Acting Up Notification* form to the Acting Up Liaison (see *III. Forms, Documents & Resources*) within two (2) business days of selection.
 - a. The selected employee must also complete and submit a Shakman Certification to the Acting Up Liaison within two (2) business days of the start of the acting up assignment.
 - b. If the employee selected is not the most senior employee accepting the opportunity, the supervisor must create and submit justification in accordance with Attachment E to the Acting Up Policy (Justification Memo).
 3. While the selected employee acts up, the supervisor must complete and submit an *OBM-103 Green Form* to the timekeeper assigned to his or her section as well as to the Acting Up Liaison (see *III. Forms, Documents & Resources*).
 - a. The Green Form must be submitted within two (2) business days from the earlier of (i) the last day on which acting up occurred or (ii) the end of the applicable pay period.
- C. **Rotate or Request Extension** – Once the acting employee completes the duration indicated on the list of potential employees, the supervisor must rotate to the next most senior employee who previously accepted the opportunity.
1. The supervisor should follow tasks 2 and 3 under process step B above as needed until all potential employees who accepted the opportunity have acted up.
 2. If the supervisor identifies a need to act up an employee beyond 520 total hours in a calendar year, he or she must contact the Acting Up Liaison to develop a written request to the Office of Compliance (OCX).
 - a. The written request should include the information required when creating a Justification Memo as part of task 2 (b) in process step B.
 - b. Written approval from OCX must be obtained prior to the acting employee exceeding 520 hours.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available in hard copy and can be obtained by contacting the Acting Up Liaison.

Title	Purpose	Submission
CDA Acting Up Waiver	Documents the decision of a potential employee to accept or decline the opportunity to act up.	Two (2) business days from obtaining employee decision.
CDA Acting Up Notification	Notifies CDA-HR of employee selected and applicable dates of acting up.	Two (2) business days of employee selection.
OBM-103 Green Form	Notifies CDA-Payroll and CDA-HR of dates the employee performed the acting up assignment.	Two (2) business days from earlier of last day acting or end of pay period.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

- B. Additional information and guidance may be obtained by contacting the following Human Resources Liaison personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Susan Earle, CDA-HR Acting Up Liaison, Office: 773-686-6239, Email: searle@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process.

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STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Hiring
SOP:	Position Reclassification
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to the reclassification of positions.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule I: Sections 1-14 & Rule XXVI: Section 1-14 (Version 10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. According to the DHR Personnel Rules, reclassification is defined as the process of reassigning a position to a different class of positions based upon a re-evaluation of its duties and/or responsibilities as they may have changed.
- B. Please refer to Rules I and XXVI of the DHR Personnel Rules for further information on reclassification definitions and procedures.

II. PROCESS FLOW & PROCEDURES



- A. **CDA Identifies Position to Reclassify** – A CDA employee, his or her immediate supervisor, the CDA Personnel Liaison or the CDA Commissioner identify that a position may require a reclassification.
- B. **Employee Completes PER-15** – The employee must complete the *DHR Position Description Questionnaire (PER 15)* and obtain information and approval signatures from the immediate supervisor and the CDA Personnel Liaison. Such individuals are required to provide the following information:

Employee	✓ Official job description ✓ Employee's payroll title ✓ For any employees supervised, payroll titles and pay grades of such employees ✓ Principal duties
Immediate Supervisor	✓ Reasons why position is being submitted for review ✓ Knowledge, abilities and skills required to perform essential functions ✓ If position is vacant, immediate supervisor must provide the above information
CDA Personnel Liaison	✓ Organizational chart showing the position and reporting relationships ✓ If position is currently filled, resume of incumbent employee

- C. **CDA Commissioner Reviews & Approves** – Once completed and approved by the immediate supervisor and CDA Personnel Liaison, the PER 15 and supporting documentation is submitted to the CDA Commissioner for review and approval.

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1. The CDA Commissioner will approve or deny requests based on justification provided, supporting documentation and supervisory approvals.
 - a. If approved, the CDA Commissioner's office sends documentation to DHR to request a job audit.
 - b. If denied, the immediate supervisor will be notified by the CDA Commissioner's office.
- D. **DHR Performs Job Audit & Reclassification** – DHR will contact CDA to perform job audit activities to determine whether reclassification is necessary.
 1. DHR may conduct interviews with the immediate supervisor and employee to obtain an understanding of the request. In addition, DHR may also perform in-person observations to facilitate an assessment of the duties and responsibilities of the position.
 2. Once the review is complete, DHR will notify the CDA Commissioner of its decision whether to reclassify the position as requested or not.
 3. If approved, DHR will determine the effective date of the reclassified position. If denied, DHR will notify the CDA Commissioner that the request will not be granted.
- E. **Decision is Accepted or Appealed** – If desired, the employee may request a review of the DHR's reclassification within five (5) calendar days of receipt of the notice of DHR's decision.
 1. The employee initiates this review by providing a written request to the DHR Commissioner.
 2. This review will proceed in accordance with Sections 3-14 of Rule XXVI of the DHR Personnel Rules.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
DHR Position Description Questionnaire (PER 15)	Summarizes key position information and required approvals to initiate the DHR reclassification process.	Upon identification of DHR to request job audit
DHR Guide to Completing the Position Description Questionnaire	Provides guidance to employees completing the DHR Position Description Questionnaire (PER 15).	Not applicable – for employee reference only.

- B. Additional information and guidance may be obtained by contacting the following CDA personnel:
1. Bill McKeown, CDA-HR, Office: 773-686-2865, Email: bill.mckeown@cityofchicago.org
 2. Robert May, CDA-HR, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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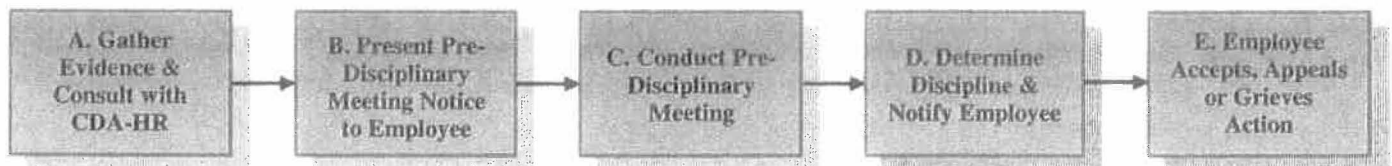
STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Labor Relations
SOP:	Discipline
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to administering discipline to employees.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XVIII: Section 1-6 (Version 10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. CDA has the right and obligation to take appropriate disciplinary action against any employee who has violated the DHR Personnel Rules, CDA policies and procedures, and any applicable collective bargaining agreement.
- B. CDA employees have a right to discipline that is administered in a fair and consistent manner. CDA reserves the right to progress to a higher level of disciplinary action based on the circumstances, severity and frequency of the violation.
- C. The discipline process included below applied to Career Service employees only. Non-Career Service employees should review Rule XVIII A of the DHR Personnel Rules.

II. PROCESS FLOW & PROCEDURES



- A. **Gather Evidence & Consult with CDA-HR** – Once an employee's immediate supervisor identifies or is made aware of a violation, the employee's supervisor or a designee within the employee's chain of command must first gather any relevant evidence and consult with CDA-HR for guidance on conducting the pre-disciplinary meeting.
- B. **Present Pre-Disciplinary Meeting Notice to Employee** – After consultation with CDA HR, the employee's supervisor or a designee within the employee's chain of command completes and presents the accused employee with a *Pre-Disciplinary Meeting Notice*.
 - 1. This notice includes a description of the violation, the rule violated, the date and location of occurrence, the meeting date and time as well as any supporting documentation (e.g. witness statements, time and attendance records, etc.).
 - 2. The pre-disciplinary meeting will be scheduled by the employee's supervisor or a designee within the employee's chain of command to occur 72 hours or more after the notice is received by the accused employee based on the employee's availability and that of CBU representation, if applicable.

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- C. **Conduct Pre-Disciplinary Meeting** – The pre-disciplinary meeting is conducted on the scheduled meeting date and time.
1. Individuals in attendance at the meeting may include the employee, the employee's supervisor or a designee within the employee's chain of command, the presiding manager over his or her CDA section (Section Manager), and a CBU representative, if applicable.
 2. At the meeting, the accused employee will have an opportunity to respond to the violation and present additional information, if applicable.
 - a. Any new information provided by any of the attendees will be reviewed at the meeting.
 - b. If new information is inconsistent with the violation presented at the meeting, the employee's supervisor or a designee within the employee's chain of command may have to conduct additional activities (e.g. research, interviewing witnesses, etc.), include such information as supporting documentation, and schedule a new meeting.
- D. **Determine Discipline & Notify Employee** – Once the pre-disciplinary meeting is completed, the employee's supervisor or a designee within the employee's chain of command makes a determination of disciplinary action to be taken and notifies CDA-HR Labor Relations.
1. The employee's supervisor or a designee within the employee's chain of command provides the *Pre-Disciplinary Meeting Notice* and any supporting documentation to CDA-HR Labor Relations for review.
 2. CDA-HR Labor Relations reviews such documentation for fairness, consistency and uniformity and provides a recommendation to the Section Manager for his or her consideration.
 3. The employee's supervisor or a designee within the employee's chain of command formally notifies the employee of the disciplinary action to be taken once this action is confirmed with the Section Manager.
 4. The *Notice of Progressive Discipline* is completed by the employee's supervisor or a designee within the employee's chain of command, detailing the nature and effective date(s) of the disciplinary action to be implemented. Effective dates may be determined by the employee's supervisor or a designee within the employee's chain of command based on operational needs.
 5. Once complete, the employee's supervisor or a designee within the employee's chain of command signs the notice and presents it to the accused employee for his or her signature to acknowledge receipt. If the employee refuses to sign, the supervisor must sign the form "employee refuses to sign".
 6. The employee's supervisor or a designee within the employee's chain of command retains this notice and provides copies to the accused employee, CDA-HR Labor Relations and a CBU representative, if applicable.
- E. **Employee Accepts, Appeals or Grieves Action** – The accused employee then has the option to accept, appeal or grieve the disciplinary action as follows:

Accept	✓ If accepted by the employee, the discipline process is complete.
Appeal	✓ The employee may appeal to CDA-HR Labor Relations or to the City of Chicago Human Resources Board (HRB). ○ Appeal must be made within five (5) business days of receiving the <i>Notice of</i>

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	<i>Progressive Discipline</i> from the employee's supervisor or a designee within the employee's chain of command. ○ An accused employee may appeal an HRB decision to the Circuit Court of Cook County. ✓ If discharged, AFSCME & SEIU Unit II employees may request that the CBU appeal to binding arbitration. ○ Timeframe and procedures for arbitration are specified in an employee's CBU agreement.
Grieve	✓ The employee may file a grievance in accordance with the CDA Grievance SOP and his or her respective CBU agreement. ○ Timeframe within which the grievance must be filed are specified in an employee's CBU agreement.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
Pre-Disciplinary Meeting Notice	Formally documents a violation and notifies an accused employee of a meeting date and time.	Three (3) business days before scheduled meeting.
Notice of Progressive Discipline	Formally documents the disciplinary action to be implemented and notifies an accused employee of the timing of such disciplinary action.	Three (3) business days after scheduled meeting.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR Labor Relations personnel.
1. Robert May, CDA-HR Labor Relations Lead, Office: 773-686-3458, Email: rmay@ohare.com
 2. Argentene Hrysikos, CDA-HR Labor Relations, Office: 773-686-3522, Email: argentene.hrysikos@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Leave Administration
SOP:	Administrative Leave
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to requesting administrative leave.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

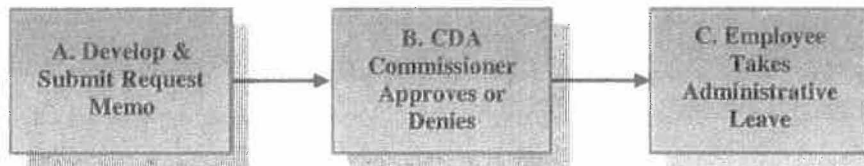
I. RULES

- A. Administrative leave (AL) may be granted to non-CBU employees solely at the discretion of the CDA Commissioner for the following circumstances:

Medical Condition or Hardship	✓ Employee faces a hardship caused by a medical condition or similar hardship, such as recovery from a serious illness or surgery, pregnancy or adoption of a child, and serious family hardships.
Extraordinary Contribution	✓ Employee has made an extraordinary contribution to CDA and the City and paid days off are provided as a reward to the employee, such as completion of a major project, assignment or other matter requiring extensive evening, weekend or holiday work.

Employees who are CBU members are not eligible to request AL.

II. PROCESS FLOW & PROCEDURES



- A. **Develop & Submit Request Memo** – The presiding manager of a CDA section (Section Manager) may develop and submit to the CDA Commissioner a request to grant AL to an employee within their section.
1. For Medical Condition or Hardship AL, Section Managers should complete the *CDA Administrative Leave Request Memo* as soon as the hardship is identified with the following information:

Explanation	✓ An explanation of the circumstances requiring AL to be granted.
Plan for Use	✓ Plan for the use of requested AL time that adheres to the following requirements. ○ AL requests may not exceed 30 days. ○ Employee's accumulated vacation, personal or sick time (i.e. paid time off) must be used prior to the use of AL if employee has more than ten (10) days of accrued time. ○ If ten (10) days or fewer have accrued, the employee will not be required to use his or her paid time off prior to using AL. ○ To the extent possible, a calendar including the specific dates that each type of paid time off, AL or FMLA, if applicable, will be taken (see CDA FMLA Request SOP if needed).

(table continued on next page)

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Agreement to Reimburse	✓ Employee's signature agreeing to reimburse the City for the value of AL granted to them if they resign from CDA during the leave period or within one (1) year after returning from AL. ✓ Exceptions to this requirement may apply to employees who leave CDA to work for other City departments, or other circumstances as determined by the CDA Commissioner on a case-by-base basis.
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2. For Extraordinary Contribution AL, Section Managers should complete the *CDA Administrative Leave Request Memo* with a detailed description of the work performed by the employee that warrants the granting of AL.
 - a. AL requests of this type may not exceed four (4) days.
 - b. Request must be submitted two (2) weeks prior to the specific desired leave date(s), if applicable.
 - i. If specific dates are requested, the employee's immediate supervisor must provide an approval signature on the request.
- B. **CDA Commissioner Approves or Denies** – The CDA Commissioner will review the request and provide an approval or denial decision within ten (10) business days.
 1. The CDA Commissioner's office will notify the Section Manager of the decision, who must then provide notification to the employee.
- C. **Employee Takes Administrative Leave** – The employee may take administrative leave as specified by the request and approved by the CDA Commissioner.
 1. If Medical or Hardship AL is granted and the employee will also continue on FMLA, requirements while on leave and the reinstatement process are governed by the CDA FMLA Request SOP.
 2. If Extraordinary Contribution AL is granted, it must be used within the period specified by the CDA Commissioner's response to the request, or at a minimum before the end of the calendar year.
 - a. AL not used in the current calendar year is forfeited and may not be carried over into future years.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
CDA Administrative Leave Request Memo	Notifies the CDA Commissioner of a request for leave, reasons for the request and the date(s) requested.	Two (2) weeks in advance of requested leave date, if possible.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
 1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Leave Administration
SOP:	FMLA Request
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to FMLA requests.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XI: Section 3 (Version 10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. The Family and Medical Leave Act (FMLA or Act) allows CDA employees to take up to 12 weeks of unpaid, job-protected leave for the following circumstances defined in the Act:

1. Pregnancy, birth of a child and child care needs
2. Care of oneself, or family members specified in the Act, in case of a serious health condition
3. Care of family service-members and other covered service-members specified in the Act

Please refer to *Employee Rights & Responsibilities Under FMLA* within *III. Forms, Documents & Resources* for further information and definitions of the above circumstances.

- B. FMLA also provides for the following guidance to employees:

FMLA	✓ An employee does not need to specifically assert his or her rights under the FMLA, or even mention the FMLA, when providing notice. ✓ The employee must provide "sufficient information" to make the employer aware of the need for FMLA leave and the anticipated timing and duration of the leave. ✓ When an employee requests FMLA leave or the employer acquires knowledge that leave may be for a FMLA purpose, the employer must notify the employee of his or her eligibility to take leave, including a reason for non-eligibility if the employee is determined not to be eligible. ✓ When the employer has enough information to determine that leave is being taken for an FMLA-qualifying reason, the employer must notify the employee that the leave is designated and will be counted as FMLA leave.
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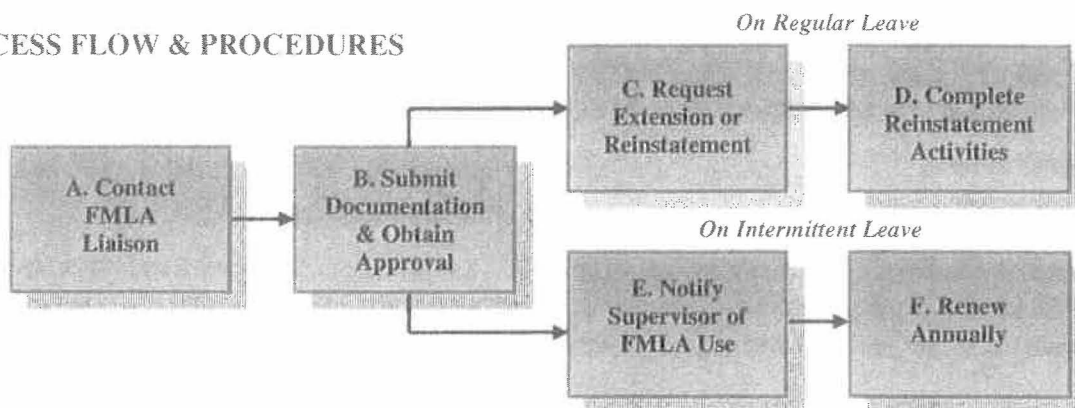
- C. Two (2) types of FMLA are available to assist employees in meeting their needs:

Regular Leave	✓ Employee takes leave on a continual basis for a pre-determined period of time.
Intermittent Leave	✓ Employee takes leave on a periodic or as-needed basis.

- D. To be eligible for FMLA, an employee must have worked for the City for at least one (1) year and have worked 1,250 hours over the previous twelve (12) months.
- E. To be paid while on FMLA, an employee may use accrued vacation, sick or compensatory time.
- F. To maintain health coverage, an employee must continue to pay his or her portion of health insurance premiums. If the 12-week limit of FMLA is exceeded, the employee must then pay the full amount of health insurance premiums.

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II. PROCESS FLOW & PROCEDURES



- A. **Contact FMLA Liaison** – When practical, an employee will contact CDA-HR’s FMLA Liaison directly or discuss FMLA with his or her immediate designated supervisor to be referred to CDA-HR.
 1. The FMLA Liaison will coordinate with the CDA payroll section to determine whether the employee meets the eligibility requirements under FMLA.
 2. The employee must complete the *FMLA Application Documents* listed within the table under *III. Forms, Documents & Resources*.
- B. **Submit Documentation & Obtain Approval** – The employee must submit his or her completed FMLA documentation to the FMLA Liaison to obtain CDA-HR approval thirty (30) days in advance of the anticipated leave start date or provide as much advance notice as possible based on circumstances.
 1. CDA-HR may approve eligible requests as follows:

Regular Leave	✓ Requests are granted for up to three (3) months. ○ If a period longer than three (3) months is required, an extension must be requested prior to the expiration of the original three-month period. ○ Extensions must then be requested every three (3) months thereafter until you have been on leave for a total of one (1) year. ○ Thereafter, leaves of up to one (1) year in duration may be requested.
Intermittent Leave	✓ Requests may be approved based on calendar year.

- a. The FMLA Liaison will contact the employee if the *Certification of Health Care Provider for Serious Health Condition* is not fully completed by the employee’s health care provider. An employee’s FMLA application can not be processed without this documentation.
 2. Within 7-10 business days after of CDA-HR approval, the FMLA Liaison will perform the following activities:
 - a. The employee is provided with an approval notification letter detailing the approved start and end dates of the leave period as well as a copy of FMLA documentation previously submitted.
 - b. The employee’s immediate supervisor and presiding CDA section manager will also receive a copy of the approval notification letter. The details of the employee’s medical condition, or that of a family member, will remain confidential within CDA-HR.

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3. Once notified of CDA-HR approval, the employee may begin FMLA leave as of the approved start date. If approved for intermittent FMLA, the employee must also notify his or her immediate supervisor for each individual use of FMLA leave.

On Regular Leave

Process steps C and D apply only to employees who are requesting regular FMLA leave.

- C. **Request Extension or Reinstatement** – The FMLA Liaison will contact the employee three (3) to four (4) weeks before the end of the scheduled leave period to ask whether the employee is ready to be reinstated or the FMLA leave must be extended.
1. If the employee is not ready to return to work and requires an extension, updated *FMLA Application Documents* must be completed and submitted to the FMLA Liaison in accordance with process step B above (see *III. Forms, Documents & Resources*).
 2. If the employee is ready to return to work, *Reinstatement Documents* must be completed and submitted to the FMLA Liaison (see *III. Forms, Documents & Resources*). A health care provider's release of employee to work, written on provider's letterhead, must be submitted.
 3. If the employee has remained on FMLA leave for a period that exceeds 90 days, *Additional Reinstatement Documents* must be completed and submitted to the FMLA Liaison (see *III. Forms, Documents & Resources*).
- D. **Complete Reinstatement Activities** – Once all reinstatement documentation is received and processed by CDA-HR, the FMLA Liaison will call to notify the employee that he or she has been cleared to return to work usually within two (2) business days.
1. CDA-HR will notify the employee's immediate supervisor as well as the manager presiding over the applicable CDA section one (1) business day in advance of the employee's return to work.

On Intermittent Leave

Process steps E and F apply only to employees who are requesting intermittent FMLA leave.

- E. **Notify Supervisor of FMLA Use** – In addition to CDA-HR approval, the employee must also notify his or her immediate supervisor in advance of each individual use of intermittent FMLA leave, if possible.
1. The employee's immediate supervisor has the right to request reasonable supporting documentation for each use of intermittent FMLA leave, if available. The immediate supervisor may not request any information divulging the employee's medical condition or that of a family member.
 2. If CDA identifies a pattern of abuse of intermittent FMLA leave by an employee, the department has the right to follow Section 5, Rule XXVIII of the DHR Personnel Rules, to seek disciplinary action.
- F. **Renew Annually** – If the use of intermittent FMLA is required beyond the start of a future calendar year, the employee must contact the FMLA Liaison to renew approval on an annual basis.
1. While an employee may apply for intermittent FMLA at anytime during the year, the employee must obtain an updated health care provider's note on provider's letterhead dated to renew his or her FMLA annually.
 2. Renewal documentation should be submitted to the FMLA Liaison within the final two (2) weeks of December or first two (2) weeks of January in accordance with process step B above.

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3. Any instances of employee absence while not approved for use of intermittent FMLA may result in disciplinary action by the employee's immediate supervisor or CDA-HR.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location. If a title is not linked, contact CDA-HR to obtain a hard copy of the form or document.

Title	Purpose	Submission
FMLA Application Documents		
DHR Request for Leave of Absence Form (PER 73A)	Serves as the official DHR leave of absence form with applicant information and effective dates.	Thirty (30) days prior to anticipated leave date.
FMLA Application Documents (cont'd)		
Certification of Health Care Provider for Serious Health Condition: ✓ Family (WH-380-F) ✓ Employee (WH-380-E)	Documents health care provider's certification of medical condition of the employee or an eligible family member as well as the required duration of leave.	Thirty (30) days prior to anticipated leave date.
Application for Family & Medical Leave or Personal Medical Leave	Application used by the City's Benefits Management Office to document FMLA eligibility and benefit contributions.	Thirty (30) days prior to anticipated leave date.
City of Chicago Family & Medical Leave Insurance Premium Recovery Authorization Form	Certifies employee's understanding that he or she is responsible to reimburse the City for the cost of insurance premiums paid during the leave period if the employee fails to return to work, with some exceptions noted.	Thirty (30) days prior to anticipated leave date.
Employee Rights & Responsibilities Under FMLA	Informs employee of his or her entitlements, protections, eligibility and responsibilities under FMLA.	Not applicable – for reference only.
Reinstatement Documents		
CDA Reinstatement Letter	Allows the employee to initiate the reinstatement process and notify the employee's CDA section of his or her return.	Prior to employee reinstatement.
Employee Information Form (PER-120)	Notifies the City's Benefits Management Office of reinstatement to resume applicable benefits coverage.	Prior to employee reinstatement.
Acknowledgement Receipt of Medical Plan Choices	Confirms employee has been advised of his or her medical plan choices upon reinstatement.	Prior to employee reinstatement.
Additional Reinstatement Documents		
DHR Fingerprint Form	Initiates identity and background check verification activities prior to reinstatement of employee.	Prior to employee reinstatement if leave exceeds 90 days.
City of Chicago Indebtedness Form	Confirms the existence and amount of any outstanding debts the employee has with the City.	Prior to employee reinstatement if leave exceeds 90 days.
City of Chicago Child Support Affidavit	Confirms the existence and amount of any court ordered child support obligations the employee must honor.	Prior to employee reinstatement if leave exceeds 90 days.

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B. Additional information and guidance may be obtained by contacting the following FMLA Liaison personnel.

1. Josephine Love, CDA-HR FMLA Liaison Lead, Office: 773-686-2865, Email: jlove@cityofchicago.org
2. Barbara Bassett, CDA-HR FMLA Liaison Assistant, Office: 773-686-3459, Email: barbara.bassett@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION

STANDARD OPERATING PROCEDURE



FUNCTION / PROCESS:	Human Resources / Leave Administration
SOP:	Separation
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to separation from CDA employment.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XIII (Version 10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

A. CDA employees must adhere to the requirements included in the table below.

Resignation & Retirement	✓ An employee resigning or retiring from City employment is required to follow the process included in this SOP to complete the separation process.
Termination for Cause or Lay-Off	✓ An employee who is terminated for cause or laid off must contact his or her respective Pension Board Office to schedule an appointment to discuss available benefits.

II. PROCESS FLOW & PROCEDURES



- A. **Contact Pension Board Office** – An employee who intends to resign should contact his or her respective Pension Board Office to schedule an appointment to discuss available benefits:
1. Municipal Employees' Annuity and Benefit Fund of Chicago – Phone: (312) 236-4700
 2. Laborers' Annuity and Benefit Fund of Chicago – Phone: (312) 236-2065
- While this step is not required, it may assist the resigning employee in successfully planning for post-employment.
- B. **Contact the CDA-HR Resignation Liaison** – Contact CDA-HR's Resignation Liaison to discuss the resignation process and obtain any assistance needed to complete the required resignation forms under *III. Forms, Documents & Resources*.
- C. **Submit Resignation Packet** – Submit completed documents to the Resignation Liaison as indicated in *III. Forms, Documents & Resources*. The Resignation Liaison will then transmit a copy of an employee's resignation letter to the applicable Pension Board Office.

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- D. **Return All City Property** – Return any City property issued to the resigning employee by CDA and submit the *CDA Check List for Returned City Property* to the Resignation Liaison on the final work date.
- E. **Complete Exit Interview** – Contact the Resignation Liaison to conduct an exit interview on the final work date in order to document the specific reasons for which the employee is leaving City employment.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location. If a title is not linked, contact CDA-HR to obtain a hard copy of the form or document.

Title	Purpose	Submission
CDA Resignation Letter	Formally notifies CDA Commissioner of employee's intent to resign and is transmitted to applicable Pension Board Office.	Two (2) weeks before final work date.
Board of Ethics (BOE) Post-City Employment Ethics Rules Notice	Outlines ethics rules concerning post-City employment and documents employee receipt of such rules.	Two (2) weeks before final work date.
Office of Budget & Management (OBM) Voluntary Wage Deduction Agreement	Serves as agreement that any debts owed the City by resigning employee will be deducted from final paycheck.	Two (2) weeks before final work date.
CDA Checklist for Returned City Property	Formally documents the return of all City property issued during employment at CDA.	On final work date.
DHR Exit Interview Report (PER-78)	Documents exit interview completion and the specific reasons for leaving City employment.	On final work date.
DOF Benefits Management Office Notice to Employees Leaving City Employment	Information from the Department of Finance (DOF) Benefits Management Office on the following: ✓ Vacation and compensatory time payments ✓ Health, life and long-term disability insurance ✓ Pension contributions ✓ Deferred compensation enrollment ✓ Unemployment compensation	For reference only.

- B. Additional information and guidance may be obtained by contacting the following Resignation Liaison personnel.

1. Josephine Love, CDA-HR Resignation Liaison Lead, Office: 773-686-2865, Email: jlove@cityofchicago.org
2. Barbara Bassett, CDA-HR Resignation Liaison Assistant, Office: 773-686-3459, Email: barbara.bassett@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Attendance & Swiping
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to attendance and swiping, including tardiness, absences, sick leave, failure to swipe, lost swipe ID and swipe malfunctions.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rule XVIII: Section 1 (Version 10/10/09)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. *Sick Leave/Absences* – It is the policy of the City of Chicago that sick leave is an employee benefit to be used only for the following as specified in the DHR Personnel Rules:

Allowable Use of Sick Leave	✓ Legitimate illness or injury of an employee
	✓ Legitimate illness or injury to a qualifying family member

Use of sick time for reasons not specified in the Personnel Rules could subject an employee to progressive discipline.

1. Notification – If an employee must call in absent, the employee or person calling on the employee's behalf must adhere to the following:
 - a. The appropriate supervisor or designee must be notified by phone no later than thirty (30) minutes prior to the start of their shift, except for the CDA Security section whose notification period is two (2) hours prior to the start of the employees shift, and the Airfield Operations Section whose notification period is ninety (90) minutes.
 - b. In the event sick leave notification is not made within thirty (30) minutes except for the CDA Security section whose notification period is two (2) hours prior to the start of the employees shift, and the Airfield Operations Section whose notification period is ninety (90) minutes, the absence will be without pay, unless the employee can later substantiate and document that it was impossible to make or cause such notification.
2. Excused Absences – Examples of excused absences are included in the table below and require the appropriate approvals by the designated Section manager.

Excused Absences	✓ Vacation time requested & utilized in accordance with applicable policies or procedures, compensatory time, FMLA, or VESSA.
	✓ SP time requested & utilized in accordance with DHR Personnel Rules and the rules outlined in this SOP.

3. Unexcused Absences – Examples of unexcused absences that may result in progressive discipline are included in the table below (e.g. SP called in less than 30 minutes in advance except for the CDA

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Security section whose notification period is two (2) hours prior to the start of the employees shift, and the Airfield Operations Section whose notification period is ninety (90) minutes, SN, AN, etc.).

Excessive Absenteeism	✓ An employee who has two (2) or more unexcused absences per month.
	✓ An employee who has one (1) or more unexcused absences per month for each of three (3) or more consecutive months.

- b. Furthermore, if an unexcused absence occurs under the circumstances listed below and a doctor's note or a medical self-certification is not provided for each instance of absence, an employee is considered to have a pattern.

Circumstances Leading to a Pattern	✓ In conjunction with an employee's day off group	✓ On the same day of the week
	✓ In conjunction with a holiday	✓ On a payday

4. Sick With Pay (SP) – Use of a doctor's note or personal certification for the use of SP time will automatically be required in the following circumstances:

Doctor's Note/Personal Certification Required	✓ For use of any three (3) consecutive sick days, or three (3) sick days used in conjunction with the employee's day off group.
	○ An example is one (1) SP for the day immediately prior, and two (2) for the two (2) days immediately following the day off group.
	✓ For any SP day used on a day that was previously denied as time off by management.

Without a doctor's note or personal certification, the employee will be subject to discipline for violating Rule XVIII, Section 1, Paragraph 48 of the DHR Personnel Rules (i.e. "Violating any departmental, regulations, rules or policies.")

- B. **Tardiness** –Employees will be considered late if they are not at their work locations and ready for work at the scheduled start time of their shifts.

1. Employees will not be able to call in and use SP or Compensatory time to cover tardiness.
2. Employees shall be subject to progressive discipline in the circumstances indicated below.

Instances of Tardiness	✓ An employee who has more than three (3) unexcused instances of tardiness in a month.
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3. Winter storms, the immediate aftermath thereof, or other events impacting more than one (1) employee shall be circumstances in which instances of tardiness can be considered excused.

- C. **Swiping In & Out** – Employees are expected to swipe in, using the KRONOS system, no later than the designated/authorized beginning time of their shift, and at the designated/authorized end time of their shift.

1. **Approved Locations** – Employees must swipe in and out using the KRONOS timekeeping device to which they have been registered.

ORD	✓ Unless otherwise explicitly authorized by management, personnel are required to swipe in and out utilizing their assigned card reader.
MDW	✓ Unless otherwise explicitly authorized by management, personnel are

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	required to swipe in and out utilizing their assigned card reader.
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2. Failure to Swipe – It is the responsibility of the employee to verify that the KRONOS reader has provided an “Okay” indication in the window of the reader, along with the employee’s swipe ID card number and a score assigned by the system.

An employee could be subject to progressive discipline in the following circumstances:

Instances of Failure to Swipe	✓ An employee who forgets to swipe in or out more than two instances in a month.
	✓ An employee who forgets to swipe in or out one (1) or more times per month for each of three (3) or more consecutive months.

3. KRONOS or Swipe ID Malfunctions – An employee who has made a legitimate attempt to swipe either with his or her swipe ID card or the KRONOS reader’s keypad, and notes that the reader has not accepted his or her swipe, is responsible for informing his or her supervisor immediately and completing a Swipe Correction Form which must be submitted to his or her supervisor immediately. The Supervisor is responsible for completing the Swipe Correction Form within two (2) business days of receipt of the Form.
 - a. If an employee reports a malfunction and the following circumstances apply, he or she must obtain an authorization form from CDA-Payroll within five (5) weekdays to replace his or her swipe ID.

Replace Swipe ID Badge	✓ Malfunction reported by an employee impacts the reporting employee only.
	✓ Malfunction was verified by CDA-Payroll as having occurred on three (3) or more consecutive days.

- b. If an employee alleges after-the-fact that a malfunction resulted in missed swipes for one (1) or more days in a month and the following circumstances apply, he or she must obtain an authorization form from CDA-Payroll within five (5) weekdays to replace his or her swipe ID.

Replace Swipe ID Badge	✓ Malfunctions were alleged as occurring two (2) or more times in a given month.
	✓ Malfunction was alleged as occurring one (1) or more times per month for each of three (3) or more consecutive months.
	✓ Malfunctions reported by an employee impacts the reporting employee only.

If the employee fails to replace his or her swipe ID badge, any additional failures to swipe following the five (5) weekday deadline may result in progressive discipline.

- c. An employee who has received a replacement swipe ID badge but still fails to record a swipe must notify his or her supervisor immediately.
 - i. CDA-Payroll must be notified on the first possible weekday for resolution of malfunction.
4. Lost/Misplaced Swipe ID – An employee who has lost or misplaced his or her ID swipe badge is responsible for informing his or her supervisor immediately.
 - a. An employee who fails to swipe in or out due to a lost swipe ID badge for three (3) or more consecutive days without informing his or her supervisor may be subject to discipline.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

D. *Monitoring & Discipline* – Employees who do not adhere to the policies described in this notice can be subject to progressive discipline. Attendance will be monitored and reviewed on a regular basis.

1. It is recognized that extenuating circumstances beyond the control of the employee can and do occur.
 - a. In such instances, it is incumbent on each respective employee to explain such circumstances to the appropriate supervisor.
 - b. No disciplinary action will be imposed if, in the supervisor's judgment, the infraction(s) in question are legitimately due to such occurrences.
2. All discipline issued for any employee that exceeds documented verbal counseling will be preceded by a pre-disciplinary meeting beforehand (see CDA Discipline SOP).
3. The policies outlined in this notice are a supplement to, and shall not replace, those outlined in the DHR Personnel Rules.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
CDA Swipe Correction Request	Documents the corrected swipe in or out times, the reason for the correction and approval sign-offs.	Within two (2) business days of the missed swipe.

B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR Labor Relations, Office: 773-686-3458, Email: rmay@ohare.com
3. Patricia McCaskill, CDA – Payroll, Office: 773-686-3594, Email: patricia.mccaskill@cityofchicago.org
4. Cesar Pinto, CDA-Payroll, Office: 773-686-3443, Email: cesar.pinto@cityofchicago.org

IV. COMPLIANCE

A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Lunch Period
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to lunch periods.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. CDA employees must take an **unpaid** lunch period in accordance with the following requirements. Collective bargaining unit (CBU) members should also consult their respective CBU agreements.

Employee Group		Required Minutes Per Day	Combine with Rest Periods*
CBU Employees	SEIU Local 73-Unit II and Custodial, Laborers Local 1001/1092 & Carpenters Union	30 minutes	No
	All Other CBU's	None	No
Non-CBU Employees, AFSCME & Local 1001/1092 (Salaried Employees Only)		60 minutes	No

Note (*): Refer to CDA Rest Period SOP for additional information on combining lunch & rest periods.

- B. CDA employees are also subject to the requirements included in the table below.

Scheduling	✓ Employees must schedule their unpaid lunch periods with their immediate supervisors to help ensure adequate staffing to support daily operational needs.
Compensation	✓ Employees may not work through a lunch period be compensated for doing so. For example: ○ An employee may not work through the lunch period to end the scheduled work day early. ○ An employee may not arrive late for the scheduled work day and work through the lunch period to make up such time.
Return to Work	✓ Employees must return to work by the end of the scheduled lunch period.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. William McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
2. Robert May, CDA-HR, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Overtime Authorization
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to overtime authorization.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

A. Foreseen Overtime Needs – CDA employees may not incur overtime unless approved in advance.

Document	✓ Overtime approval should be documented by the employee's immediate supervisor within two (2) business days of the occurrence. ✓ Documentation must include the names of employee(s) incurring overtime, the authorized duration of overtime, and the rationale supporting the need for overtime.
Submit	✓ A <i>CDA Swipe Correction Request</i> should be completed and submitted by the immediate supervisor to CDA-Payroll within two (2) business days of the earlier of the following: ○ Last day overtime was worked, or ○ End of the applicable pay period.
Retain	✓ Overtime approval documentation should be retained by the CDA section to support overtime expenditures in case of inquiry from CDA-Payroll or external audit.

B. Immediate Overtime Needs – in cases where it is not feasible to approve overtime in advance due to the immediate safety or security of operations, CDA sections must adhere to the following:

1. CDA sections must determine the level of supervisor that may approve immediate overtime.
2. Approval documentation must be completed by the authorized supervisor within two (2) business days after the occurrence of overtime in accordance with A above.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
CDA Swipe Correction Request	Documents the corrected swipe in or out times, the reason for the correction and approval sign-offs.	Within two (2) business days of earlier of last day overtime worked or end of applicable pay period.

B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.

1. Pat McCaskill, CDA-Payroll, Office: 773-686-3594, Email: patricia.mccaskill@cityofchicago.org
2. Cesar Pinto, CDA-Payroll, Office: 773-686-3443, Email: cesar.pinto@cityofchicago.org

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



STANDARD OPERATING PROCEDURE

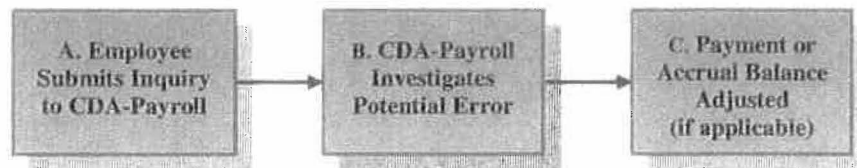


FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Payroll Error
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to reporting payroll errors.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees should review their payments and leave accrual balances to help ensure accuracy in accordance with their applicable compensation levels.
 - 1. Employees who identify potential payroll errors should report such errors to CDA-Payroll utilizing the process established in this SOP.
- B. If CDA-Payroll identifies an overpayment at any time, CDA-Payroll will work with the employee to prepare a plan for reimbursement.
 - 1. CDA-Payroll will notify an employee's immediate supervisor in advance of a deduction, who then will inform the employee within one (1) business day of notification from CDA-Payroll.

II. PROCESS FLOW & PROCEDURES



- A. **Employee Submits Inquiry to CDA-Payroll** – Once a potential error is identified, the employee should contact CDA-Payroll by email at askpayroll@flychicago.com with the following:
 - 1. Detailed description and amount of potential error.
 - 2. Pay period ending date related to potential error.
- B. **CDA-Payroll Investigates Potential Error** – CDA-Payroll will investigate the potential error and contact the employee with the result of such investigation as soon as possible, but no later than five (5) business days after inquiry receipt.
- C. **Payment or Accrual Balance Adjusted (if applicable)** – If CDA-Payroll determines that an error has occurred, the amount of error will be reflected in the employee's paycheck or leave balance accrual on the next possible pay date.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

III. FORMS, DOCUMENTS & RESOURCES

A. Additional information and guidance may be obtained by contacting the following CDA personnel:

1. Patricia McCaskill, CDA-Payroll, Office: 773-686-3594, Email: patricia.mccaskill@cityofchicago.org
2. Cesar Pinto, CDA-Payroll, Office: 773-686-3443, Email: cesar.pinto@cityofchicago.org
3. Dan Davila, CDA-Payroll, Office 773-686-3446, Email: daniel.davila@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Requesting Time Off
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to requesting time off.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner & Department of Human Resources (DHR) Personnel Rules, Rule XXVIII (Version 10/10/08) for Sick Leave
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees must adhere to the minimum advance notice and other requirements indicated in the table below when requesting time off.

Type	Minimum Advance Notice*	Requirements
Vacation	Two (2) weeks before requested use.	✓ Immediate supervisor's approval required.
Personal	Two (2) weeks before requested use.	✓ Immediate supervisor's approval required.
Compensatory	Two (2) weeks before requested use.	✓ Immediate supervisor's approval required.
Sick	Thirty (30) minutes before start of scheduled work day, if possible.	✓ The employee, or person accompanying employee, must contact the employee's immediate supervisor at least 30 minutes before the start of the work day, or as soon as practical in case of emergency, except for the CDA Security section whose notification period is two (2) hours prior to the start of the employees shift, and the Airfield Operations Section whose notification period is ninety (90) minutes ○ If an immediate supervisor is not available, a message and contact information must be left for the immediate supervisor. ✓ Per DHR Personnel Rules, "the employee has the burden of establishing that an illness-related absence was legitimate." ○ If a doctor is seen, the employee may be required to provide a doctor's note supporting the appropriate use of sick time.
All Other	Two (2) weeks before requested use, if possible.	✓ Collective Bargaining Unit (CBU) employees should follow their respective CBA agreements regarding other types of leave. ✓ Non-CBU employees should refer to the DHR Personnel rules for further information.

Note (): CDA sections may establish more stringent advance notice requirements due to operational needs. If circumstances prohibit notification as indicated in the table above, employees should contact their immediate supervisors as soon as practical.*

For all types of time off, employees should refer to their respective CBU agreements or the DHR Personnel rules, as applicable, for further information on the accrual and use of time off.

- B. Annual Scheduling – CDA sections or CBUs may require employees to request time off for the entire upcoming year in advance. Any changes to time off scheduled and approved for the upcoming year must comply with the advance notice requirements indicated in rule A above.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

- C. Documentation – Requesting employees are required to complete and submit a Swipe Correction Request to his or her immediate supervisor for approval to use any type of time off (see *III. Forms, Documents & Resources*). The Supervisor is responsible completing the Swipe Correction Form within two (2) business days of receipt of the Form.
1. An immediate supervisor may also require reasonable evidence of the appropriate use of sick time as defined in Section 4, Rule XXVIII of the DHR Personnel Rules.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents required to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location.

Title	Purpose	Submission
Swipe Correction Request	Documents the corrected swipe in or out times, the reason for the correction and approval sign-offs.	Within 48 hours of the missed swipe.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 2. Pat McCaskill, CDA-Payroll, Office: 773-686-3594, Email: patricia.mccaskill@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Rest Periods
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to rest periods.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. Non-Collective Bargaining Unit (CBU) Employees – Non-CBU employees must schedule any rest periods or smoking breaks with their immediate supervisors and must adhere to rule C below.
- B. CBU Members – CBU members receive rest periods in accordance with the requirements below.

Employee Group		Allowable Rest Periods Per Day	Combine With Lunch Period
Career Service CBU	Security SEIU Unit II & 1001	✓ 15 min. break between start of work day and lunch ✓ 15 min. break between lunch and end of work day	Yes
	AFSCME	✓ 15 min. break between start of work day and lunch ✓ 15 min. break between lunch and end of work day	No
	Custodians SEIU Local 73	✓ 15 min. break between start of work day and lunch ✓ 15 min. break between lunch and end of work day (depends on whether attendance goal was met in the previous month)	No
	All Other CBU's	✓ None (some employees may be allowed breaks due to past practices of CDA)	No

If an employee fails to take an allowable rest period, the rest period may not be taken at a later time.

- C. CDA employees are also subject to the requirements included in the table below.

Scheduling	✓ Employees must schedule their rest periods with their immediate supervisors to help ensure adequate staffing to support daily operational needs.
While on Break	✓ Employees on break may not interfere or distract other employees who are not on break.
Return to Work	✓ Employees must return to work by the end of the scheduled rest period.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
 - 1. William McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 - 2. Robert May, CDA-HR, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.



CITY OF CHICAGO
CHICAGO DEPARTMENT OF AVIATION



STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Time & Attendance
SOP:	Work Week
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules related to employees' standard work week.
AUDIENCE:	All CDA Employees
AUTHORITY:	CDA Commissioner
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. Collective bargaining unit (CBU) members must adhere to the work week requirements indicated in their respective CBU agreements.
- B. CDA employees are also subject to the requirements included in the table below.

Scheduled Work Day	✓ Employees are required to work their scheduled work days. ✓ Employees may not work less than the normally scheduled work day and make up such time on another day of the workweek.
Lunch	✓ The required hours per day indicated above include an unpaid lunch period (see CDA Lunch Period SOP). ✓ Employees cannot work through their lunch break and be compensated for it. ✓ Employee may not use their lunch break to arrive late or leave early.
Rest Periods	✓ Employees should refer to the CDA Rest Periods SOP for break requirements. ✓ Employees may not use their rest periods to arrive late or leave early.
Overtime	✓ Employees and supervisors must follow the CDA Overtime Authorization SOP to obtain approval if the work week must be extended due to operational needs.

II. PROCESS FLOW & PROCEDURES

This section is not currently applicable to this SOP.

III. FORMS, DOCUMENTS & RESOURCES

- A. Additional information and guidance may be obtained by contacting the following CDA-HR personnel.
 1. William McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 2. Robert May, CDA-HR, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Training & Certification
SOP:	Tuition Reimbursement
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to tuition reimbursement
AUDIENCE:	All CDA Employees
AUTHORITY:	City of Chicago Tuition Reimbursement Policy (Version 1/1/97)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. All CDA employees requesting tuition reimbursement must adhere to the *City of Chicago's Tuition Reimbursement Policy* (Policy). The Policy provides requirements related to the following:
1. Eligibility Requirements for Applicants, Institutions and Courses of Study
 2. Conditions and Limitations on Reimbursement
 3. Application & Reimbursement Procedures
 4. Impact of Failure to Comply with the Policy

II. PROCESS & PROCEDURES



- A. **Complete & Submit Required Application Documents** – The requesting employee must complete and submit Department of Human Resources (DHR) application documentation as follows (see *III. Forms, Documents & Resources* for forms indicated below).
1. Within thirty (30) days of the start of classes, the employee must submit the following to DHR:
 1. *Tuition Reimbursement Application (PER-50)*
 2. *Release of Financial Aid Information (PER-51)*
 3. *Notice of Tuition Repayment Requirements (PER-52)*
 2. The employee must also complete and submit the following to his or her immediate supervisor:
 1. An additional copy of the *Tuition Reimbursement Application (PER-50)*
 2. A course or degree justification letter, addressed to the DHR Commissioner, that explains the relevance of the course or degree to the employee's present or future job duties.

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- B. **Supervisors Review & Recommendation Action** – The employee's immediate supervisor and the manager presiding over his or her CDA section (Section Manager) will review the application and provide a recommendation to the CDA Commissioner
1. Recommendations will be based on the relevance of classes and employee's past performance.
 2. The Section Manager will forward the request to the CDA Commissioner within ten (10) business days of receipt.
- C. **CDA Commissioner Approves or Denies** – The CDA Commissioner will approve or deny the request based on the relevance of classes, employee performance evaluations, and the recommendation provided by the employee's immediate supervisor and Section Manager within ten (10) business days of receipt.
1. If denied, the immediate supervisor will inform the employee of the CDA Commissioner's decision.
- D. **DHR Accepts or Rejects Reimbursement Request** – If approved, the CDA Commissioner's office will forward the application documentation to DHR for review and approval.
1. Once reviewed, DHR will provide a letter of approval or rejection to the requesting employee.
- E. **Submit Documentation to DHR for Reimbursement** – If approved, the employee must submit original grade reports and original receipts of payment to DHR to process reimbursement in accordance with the requirements of the Policy.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location. If a title is not linked, contact the CDA-HR to obtain a hard copy of the form or document.

Title	Purpose	Submission
City of Chicago's Tuition Reimbursement Policy	Establishes eligibility requirements, limitations, application and reimbursement procedures.	Not Applicable – For supervisor reference only.
Tuition Reimbursement Application (PER-50)	Provides applicant and course information for review and approval by CDA and DHR.	Submit within 30 days of start of class.
Release of Financial Aid Information (PER-51)	Authorizes release of financial aid information to DHR to determine the reimbursable amount.	Submit within 30 days of start of class.
Notice of Tuition Repayment Requirements (PER-52)	Provides notice to applicant of circumstances triggering repayment to the City of past tuition reimbursements.	Submit within 30 days of start of class.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel:
1. Bill McKeown, CDA-HR, Office: 773-894-5294, Email: wmckeown@ohare.com
 2. Robert May, CDA-HR, Office: 773-686-3458, Email: rmay@ohare.com

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.
- B. Failure to comply may also result in delays in completing this process or denial of the request.

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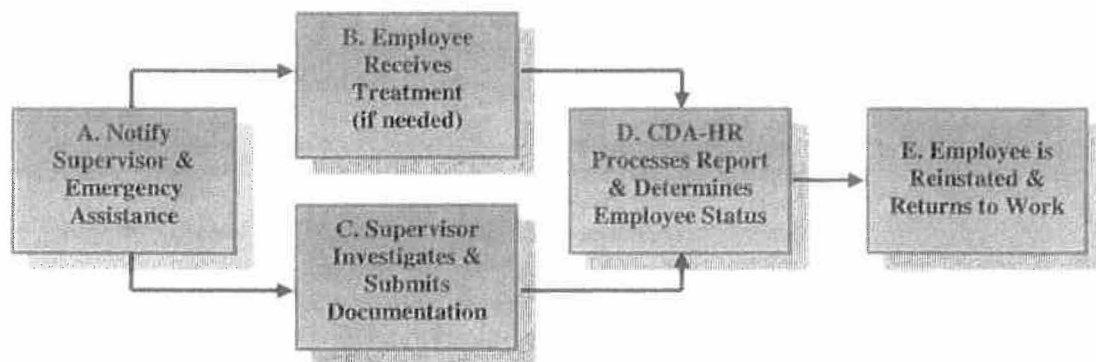
STANDARD OPERATING PROCEDURE

FUNCTION / PROCESS:	Human Resources / Workplace Safety & Accessibility
SOP:	Accident / Incident Response
PURPOSE:	To establish the Chicago Department of Aviation's (CDA) rules and procedures related to employee's response to accidents or incidents occurring while on duty.
AUDIENCE:	All CDA Employees
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XVIII: Section 1 (Version 3/10/07)
EFFECTIVE DATE:	May 1, 2010 (Version 1)

I. RULES

- A. An accident or incident is an unexpected event that has the potential to cause property damage or injury to an employee or other involved person.
- B. All CDA employees who are involved with or observe an accident or incident occurring while on duty must report the occurrence to his or her immediate supervisor in accordance with this SOP, as indicated in Section 1, Rule XVII of the DHR Personnel Rules.

II. PROCESS & PROCEDURES



- A. **Notify Supervisor & Emergency Assistance** – Any employee who observes or is involved with an accident or incident must notify his or her immediate supervisor, and if necessary, contact emergency assistance.
 1. Emergency assistance may be notified by contacting 911 Emergency Services, the O'Hare Communications Center (773-894-9111) or Midway Communications Center (773-838-0656).
 2. An employee who observes an accident or incident should first help to ensure the safety of any injured person(s).
 3. If an employee is involved in the accident or incident and is unable to contact his or her immediate supervisor, any other person accompanying or treating the employee may provide notification.

Disclaimer: If any of the rules or procedures set forth in this SOP conflict with existing laws, City policies or collective bargaining agreements, the provisions of such laws, policies or agreements shall supersede the applicable provisions of this SOP.

- B. Employee Receives Treatment (if needed)** – Any injured employees will be taken to MercyWorks, CDA’s occupational health care provider, for treatment.
1. If an injury results in an immediate emergency health situation, the employee will be transported to a MercyWorks location by ambulance (see *MercyWorks Treatment Authorization Form* for locations)
 - a. An employee has the right to refuse treatment from MercyWorks. However, if the employee does not receive immediate medical attention, he or she may be ineligible to receive coverage for worker’s compensation.
 - b. If treated by MercyWorks, an employee has a right to a second or third opinion by another health care provider of his or her choice. The cost of such evaluations will be covered by CDA.
 - c. After initial treatment, Mercyworks will provide a work status discharge report to the employee and forward a copy to CDA-HR. This report includes a physician’s diagnosis, required treatment and the duration the employee may need to be absent from work to treat any potential injuries.
 2. If an injury does not result in an immediate emergency situation, the employee will remain at the site of the accident or incident until the investigating supervisor completes the activities in process step C.

- C. Supervisor Investigates & Submits Documentation** – The immediate supervisor must conduct an on-site investigation upon arrival at the scene of the incident. Depending on the severity of injury, the investigation may occur before or after the employee is transported to MercyWorks for treatment.

1. Assess – the investigating supervisor should use the *CDA Accident/Incident Checklist* to assess the following:

People	✓ Interview all employees involved and any witnesses to understand what occurred.
Environment	✓ Identify any relevant environmental information from the time of incident, such as weather conditions, lighting, noise, equipment damage, or any other audio or visual evidence.
Corrective Action	✓ Identify the root cause of the incident and implement necessary corrective actions.

2. Document – within 24 hours, the investigating supervisor must then complete and submit the following documentation to CDA-HR, the applicable safety office at O’Hare or Midway and the injured employee (see *III. Forms, Documents & Resources*).
 - a. Submit *Accident / Incident Reporting Documents* to CDA-HR and the applicable airport safety office.
 - b. Submit *Medical Treatment Documents* to injured employee(s), if applicable.
 - c. If required as part of the supervisor’s investigation, submit drug and alcohol testing documentation in accordance with the procedures outlined in the *Office of Compliance Drug & Alcohol Testing Program*.
- D. CDA-HR Processes Report & Determines Employee Status** – Once required documentation from the reporting supervisor is received, CDA-HR will review documentation and determine the employee’s work status.
1. CDA-HR will initiate workers’ compensation claim activities with CCMSI, the City’s third-party administrator. CCMSI will conduct a claim investigation and may contact the employee to gather additional information.

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2. CDA-HR will determine whether the employee's work status will be updated to duty disability based on the extent of injuries and required duration of absence indicated by the MercyWorks physician, or opinion provided by 2nd or 3rd provider seen.
 - a. If the required duration of absence is three (3) consecutive scheduled work days or less excluding the date of injury, the employee's absence will be excused as unpaid sick time.
 - i. The employee may utilize paid time off (PTO) to receive payment while absent (see CDA Paid Time Off SOP).
 - b. If the required duration of absence is four (4) consecutive scheduled work days or greater, the employee will be placed on duty disability status.
 - i. CDA-HR will send a *CDA Duty Disability Notice* to the employee which summarizes key information regarding receipt of workers' compensation.
 - ii. CDA-HR will notify the employee's immediate supervisor and the manager presiding over his or her CDA section of the employee's status and expected return to work date.
- E. **Employee is Reinstated & Returns to Work** – Once MercyWorks releases the employee to return to work, the employee must contact CDA-HR to initiate the reinstatement process.
 1. The employee must complete and submit the required *Reinstatement Documents* to CDA-HR (see *III. Forms, Documents & Resources*). A MercyWorks health care provider's release of employee to work, written on provider's letterhead, must be submitted.
 - a. MercyWorks and/or CCMSI may also notify CDA-HR of the employee's release to work.
 2. If the employee has remained on duty disability leave for a period that exceeds 90 days, *Additional Reinstatement Documents* must be completed and submitted to CDA-HR (see *III. Forms, Documents & Resources*).
 3. Once required documentation is received and processed, CDA-HR will call to notify the employee that he or she has been cleared to return to work usually within two (2) business days.
 - a. CDA-HR will notify the employee's immediate supervisor as well as the manager presiding over the applicable CDA section one (1) business day in advance of the employee's return to work.
 - b. All medical and pension benefits provided while on duty disability will be discontinued upon the scheduled return to work.

III. FORMS, DOCUMENTS & RESOURCES

- A. Key documents needed to complete this process are available electronically on the City's intranet – click within the title column in the table below to navigate to its location. If a title is not linked, contact the CDA-HR to obtain a hard copy of the form or document.

Title	Purpose	Submission
Accident / Incident Reporting Documents		
CDA Accident/Incident Checklist	Assists the supervisor at the scene of the incident to assess and document people, environment, forms, and follow-up.	Not Applicable – For supervisor reference only.
Employer's First Report of Injury or Illness (Form 45)	Documents the incident/accident for submission to the Illinois Workers Compensation Commission.	Submit to CDA-HR within 24 hours of incident.
CDA Accident/Incident Report	Documents the incident/accident for submission to CDA-HR.	Submit to CDA-HR within 24 hours of incident.
Office of Compliance Drug & Alcohol Testing Program	Provides City's policy, procedures and forms related to drug and alcohol testing activities.	Submit to CDA-HR within 24 hours of incident (if needed)
Medical Treatment Documents		
MercyWorks Treatment Authorization Form	Used to authorize treatment of injured employee completed by the supervisor.	Sent to CDA-HR within 24 hours of accident/incident
Duty Disability Documents		
CDA Duty Disability Notice	Informs employees of key information related to receipt of workers' compensation benefits.	Not applicable – for employee reference only.
Reinstatement Documents		
CDA Reinstatement Letter	Allows the employee to initiate the reinstatement process and notify the employee's CDA section of his or her return.	Prior to employee reinstatement.
Employee Information Form (PER-120)	Notifies the City's Benefits Management Office of reinstatement to resume applicable benefits coverage.	Prior to employee reinstatement.
Acknowledgement Receipt of Medical Plan Choices	Confirms employee has been advised of his or her medical plan choices upon reinstatement.	Prior to employee reinstatement.
Additional Reinstatement Documents		
DHR Fingerprint Form	Initiates identity and background check verification activities prior to reinstatement of employee.	Prior to employee reinstatement if leave exceeds 90 days.
City of Chicago Indebtedness Form	Confirms the existence and amount of any outstanding debts the employee has with the City.	Prior to employee reinstatement if leave exceeds 90 days.
City of Chicago Child Support Affidavit	Confirms the existence and amount of any court ordered child support obligations the employee must honor.	Prior to employee reinstatement if leave exceeds 90 days.

- B. Additional information and guidance may be obtained by contacting the following CDA-HR personnel:

1. Josephine Love, CDA-HR, Office: 773-686-2865, Email: jlove@cityofchicago.org
2. Barbara Bassett, CDA-HR, Office: 773-686-3459, Email: barbara.bassett@cityofchicago.org

IV. COMPLIANCE

- A. Compliance with the rules and procedures of this SOP is mandatory for all CDA employees. Failure to comply with this SOP may result in disciplinary action pursuant to an in accordance with DHR Personnel Rules, CDA policies and procedures and any applicable collective bargaining agreement.

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