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June 30, 2010

Honorable Todd H. Stroger
and Members of the Board of Commissioners
of Cook County
118 North Clark Street
Chicago, Illinois 60602

Re: OIIG Summary Report No. IIG-08-105 (Management Training Survey)

Dear President Stroger and Commissioners:

This letter is written in accordance with Section 2-289(c)(2) of the Independent Inspector General Ordinance, Cook County Ill., Ordinances 07-O-52 (2007) (the "Ordinance") relative to a survey conducted by this office into government efficiency and preparedness. In accordance with the Ordinance, this public statement is made to apprise you of the completion and results of this project.

Background

In April 2009, the Office of the Independent Inspector General distributed letters to Cook County department heads requesting their cooperation and assistance in administering a management training survey. The purpose of the survey was to ascertain whether Cook County government has reasonably equipped its administrators with the knowledge and tools necessary to be effective department heads, managers and/or directors. The survey scope was restricted to the attached questionnaire.

The OIIG distributed the questionnaire entitled *Survey of Training and Familiarity with Cook County Protocol* (the "Survey") and instructed department heads to provide copies of the Survey to each member of their management team who is responsible for enforcing discipline in the event of a violation of policy or protocol by a subordinate employee of Cook County government. This office received completed Surveys from 104 County managers ("Respondents"). [1]

[1] The OIIG distributed the Survey to all department heads in Cook County government under the offices of the President in addition to the Health and Hospitals System and requested that they circulate the Survey to management personnel in their departments having the responsibility for the administration of discipline. The Survey instructions allowed for Respondents to submit responses anonymously. Therefore, we are unable to confirm that participation is reflective of all relevant managerial staff due to the inherent limitations with this method of distribution and data collection. Nonetheless, we believe that the methodology utilized provides a sufficiently reliable foundation to support the conclusions herein.

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This office has quantified the responses to the Survey and included Respondents' comments to several questions where it was deemed appropriate and beneficial. The following is a summary of the management training survey:

- Ninety-two percent of Respondents stated that they had been provided training on Cook County policies, procedures, and management practices.

- Eighty percent of the Respondents in the Survey claimed they had a copy of the Cook County Personnel Rules or the Bureau of Health Services Personnel Rules for Physicians and Dentists.

- Ninety-three percent of Respondents asserted that they were familiar with Cook County's methods of progressive discipline.

- Ninety percent of Respondents claimed that they were somewhat or very comfortable with applying progressive discipline.

- Ninety-three percent of Respondents stated they had a copy of Cook County's Ethics Ordinance.

- Eight-eight percent of Respondents claimed they could readily produce documentation to support disciplinary actions involving their subordinates.

- Fourteen percent of Respondents stated that they failed to discipline an employee because they did not understand how to apply the County's disciplinary policy.

- Sixty-one percent of Respondents stated that they were trained on anti-discrimination policies.

- Nearly fourteen percent of Respondents claimed that they have encountered circumstances requiring them to apply Cook County's policies concerning sexual harassment, anti-discrimination and unlawful political discrimination.[2]

OIIG Findings, Recommendations and Conclusion

Questions 1-6: Training and Familiarity with Cook County Personnel Rules.

The Survey contained several questions specifically designed to assess management's level of familiarity with Cook County protocol. An overwhelming majority of Respondents stated that they had been trained and were familiar with Cook County policies, procedures, and management practices (92.3%). The data

[2] The Survey is included as an attachment to this statement, as well as a summary chart displaying our findings.

suggests, however, an issue with management's access to information pertaining to Cook County protocol. Specifically, there was a deviation from the standard responses when asked about whether management had copies of Cook County Personnel Rules or, if applicable, Cook County Bureau of Health Services Personnel Rules for Physicians and Dentists (79.8%). Additionally, we received numerous comments about the need for continual instruction on Cook County policies, rules, and procedures. For example, one Respondent stated, "[a]nnual availability of the county's training programs would provide a much needed refresher and address the needs of new personnel."

We recommend that the Bureau of Human Resources provide training on Cook County Personnel Rules on a more frequent and wide-spread basis if possible. An annual training program for all managers should be considered to supplement current training requirements. We understand that this would represent a significant endeavor. However, I believe that this could be effectively and efficiently accomplished should Cook County government consider offering access to on-line training courses that management personnel can readily access with minimal disruption to their schedules while ensuring continuity across County government in both the instruction materials and delivery of the materials.[3] These improvements to training will provide opportunities for management to continually receive clarification and updated policies and procedures while minimizing disruption and risks associated with the failure to properly apply Cook County policy and procedure on a consistent basis.

Questions 7-10: Implementation and Application of Cook County Personnel Rules.

The Survey contained several questions specifically designed to assess management's capacity to apply Cook County protocol when subordinates have violated Cook County policies and rules. An overwhelming majority of Respondents stated that they were comfortable with administering discipline when a subordinate violated Cook County policies and rules (90%). While the percentage of Respondents reporting they were capable of administering discipline is high, the data also reveals a potentially costly exposure due to the 10% of reporting managers being

[3] The "library" of available on-line presentations could include virtually every aspect of best management practice, including instruction on the prohibitions related to harassment, discrimination and unlawful political discrimination as well as instruction on counseling during performance reviews, risk management and safety protocols, as well as handling Americans with Disabilities (ADA) and Family Medical Leave Act (FMLA) accommodation requests.

ill-equipped to address employee discipline issues and the 14% reporting that they have failed to impose discipline because they lacked an understanding of County disciplinary policy.[4] "Capturing" the minority of managers who lack the training to effectively administer discipline could be effectively and economically accomplished by implementing the on-line training discussed above.

The data also revealed that a number of management personnel are uncertain whether they can discipline exempt employees. For example, one Respondent wrote, "[d]epartment and management employees must have authority to manage *Shakman* exempt employees. We must be able to treat them the same as non-*Shakman* employees." We recommend that this misunderstanding of County policy concerning the across the board application of progressive discipline be corrected by a clear statement to management personnel. Again, this type of clarification concerning existing policy could be effectively addressed by an on-line broadcast of the nature described above.

Questions 1-14: Sexual Harassment, Anti-Discrimination, and Unlawful Political Discrimination Training.

A majority of Respondents stated that they were knowledgeable and comfortable with implementing discipline related to the prohibition of sexual harassment (72.1%), anti-discrimination (61.6%), and unlawful political discrimination (99.2%) when a subordinate violates Cook County policies and rules.[5] The responses involving the prohibition of discrimination and harassment in the workplace, however, are significantly below the average compared to responses to all other Survey questions.

We believe that it is imperative that Cook County focus on addressing the deficiencies in training on sexual harassment and anti-discrimination as soon as possible. Based on the responses submitted, Cook County managers appear least prepared to handle matters dealing with sexual harassment and anti-discrimination. One Respondent stated, "I don't remember any formal sexual harassment policy training. However, questions 11 and 12 were described in a training session for the interviewing process." The OIIG recommends that Cook County provide uniform instruction in these areas to ensure Cook County managers are prepared to address issues of this nature. Again, Cook County should also consider making such information accessible on-line thereby making such materials readily available to all staff. We also recommend that Cook County government identify an individual

[4] The costs associated with an inability to effectively implement discipline include operational inefficiencies, employee morale problems and litigation costs.

[5] The varying percentages reflect the recent focus of training offered involving unlawful political discrimination pursuant to *Shakman v. Cook County*.

whose responsibility is to provide counsel to other managers when administering discipline. Due to the size of Cook County government, consistency in implementing these practices will always represent an obstacle. By designating an individual to serve in this role, managers who lack the exposure to such issues on a regular basis would be able to contact an individual to provide relevant and accurate direction.

OIIG Recommendations

Managerial training should always be a priority in an organization whose measure of success is dominated by human efficiency and effectiveness as the case with Cook County government. In the absence of uniform and consistent policy enforcement, productivity and inefficiency issues will develop. The presence of such circumstances will also cause employee morale to suffer further damaging the effectiveness of the workforce. Moreover, a lapse in management creates potential exposure to litigation related to discrimination, harassment, and other employment related claims. Accordingly, we recommend that managerial training is targeted as a strategic goal in County government.

We have highlighted the following recommendations to assist bureau chiefs and department heads in addressing the managerial training deficiencies identified by the Survey.[6] Our recommendations should not be considered as an exhaustive list, rather, we encourage bureau chiefs and department heads to engage in periodic managerial training assessments to determine their departmental needs and require management participation as soon as practical.

First, as referred to above, on-line instruction should be considered as an effective and cost-effective option in providing instruction to management, as well as all County employees. Cook County could endeavor to create a library of on-line presentations addressing most topics relevant to the operation of County government. By doing so, County government would achieve a consistent and timely opportunity to empower all managers to meet their responsibilities of enforcing policy and directing their respective workforces. Importantly, employee access to such instruction if available on-line at CCNET would be a relatively inexpensive way to achieve this goal.

- The Bureau of Human Resources and Board of Ethics and Commission on Human Rights, despite having very limited training budgets, offer excellent managerial training that include many of the topics considered by the Survey. However, the resources available to these agencies cannot be depended upon to provide the comprehensive range of instruction that would be required to accomplish this goal, nor are the agencies in the best position to identify a particular need of another

[6] Section 11.02 of the Cook County Personnel Rules empower each executive department head to identify training needs of their respective departments.

department. Accordingly, we recommend that the primary burden to identify current needs is placed upon each department. In this regard, the Bureau of Human Resources could issue a menu of relevant areas of instruction to each department head who would ensure that all appropriate managers receive the training and/or undergo a refresher as necessary.

- Bureau chiefs and department heads should consider management training a primary goal.

- Bureau chiefs and department heads should consider instituting a formal policy for notifying managers of the current course offering within Cook County, the training schedule, and any relevant managerial training not offered by the County.

- Bureau chiefs and department heads should create a formal process for certifying that managers have the most recent copy of Cook County Personnel Rules and/or Personnel Rules for Physicians and Dentists and Cook County Ethics Ordinance available to them in print or electronic form.

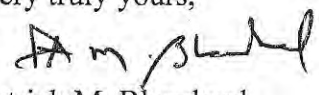
- The Bureau of Human Resources should consider designating an individual(s) with the relevant knowledge to assists managers handling matters related to sexual harassment, unlawful political discrimination, discrimination issues, ADA, FMLA, Age Discrimination in Employment Act (ADEA) and progressive discipline to name several areas that are routinely faced by managers.

- The Bureau of Human Resources should consider recording its current managerial training courses so that they can be provided in alternative settings. For example, a managerial training DVD for front-line supervisors would make it convenient for managers to take annual refresher courses from any location.

- The Commission on Human Rights develops and conducts educational programs designed to prevent discrimination, sexual harassment, and unethical behavior. The Commission has always expressed an interest in assisting department heads with providing training to managers. As such, we strongly encourage department heads to work closely with the Commission to ensure their managers are receiving adequate training.

I hope this information proves helpful. Of course, should you have any questions or comments, please do not hesitate to contact me at any time. Thank you for your time and consideration.

Very truly yours,



Patrick M. Blanchard
Inspector General

cc: Ms. Laura Lechowicz Felicione, Special Assistant to the President
Mr. William Foley, Chief Operating Office, Health and Hospitals System
Ms. MaryNic Foster, Director, Board of Ethics/Commission on Human Rights
Mr. Joseph Fratto, Chief of Staff
Mr. Joseph Sova, Chief, Bureau of Human Resources
Ms. Deborah Tate, Dir. of Human Resources, Health and Hospitals System

Survey of Training and Familiarity with Cook County Protocol

Please answer the following questions to the best of your knowledge and ability and attach additional sheets to complete the survey, if necessary. Including your name, title, and department on this document would be helpful, but it is not required. If you do provide identifying information, this office will maintain the confidentiality of your participation. Be advised that no disciplinary action will be taken against you for answering a question truthfully. This document represents an effort to ascertain whether Cook County has reasonably equipped its Administrators with the knowledge and tools necessary to be effective Department Heads, Managers, or Directors.

Name: _____

Title: _____ **Dept:** _____

1. How long have you been in your current position as a Department Head, Manager or Director? _____

2. Has the County provided you with any training with regard to Cook County policies, procedures, and management practices?
   _____Yes _____No

3. If you answered yes to the previous question, please describe the nature of the training you received, state the approximate date of the training, and whether you found it helpful? _____
   _____

4. Do you have a copy of the *County of Cook Personnel Rules* or, if applicable, the *Cook County Bureau of Health Services Personnel Rules for Physicians and Dentists*?
   _____Yes _____No

5. Are you familiar with Cook County's personnel rules and the method of progressive discipline outlined in the rules?
   _____Yes _____No

   Please elaborate on your response_____
   _____
   _____

6. Do you have a copy of Cook County's Ethics Ordinance? Have you reviewed the ethics guidelines and do you feel you understand them? Please explain._____
   _____
   _____

7. How comfortable/confident are you in implementing formal discipline to your subordinates for violating Cook County policy?

   Very Comfortable/Confident _____
   Somewhat Comfortable/Confident _____
   Not Comfortable/Confident _____
   Please explain your response. _____
   _____
   _____

8. Could you readily produce documentation to support disciplinary action(s) involving your subordinates?
   _____Yes _____No

9. Have you ever failed to discipline an employee because you were unsure of what to do or how to apply the County's disciplinary policy?
   _____Yes _____No

   If yes, please describe the circumstances. _____
   _____

10. If one of your subordinates is responsible for executing discipline and ensuring administrative efficiency in your stead, please state whether that employee has had any training on County policies, procedures, and practices, and explain the general nature of the training s/he received. _____
    _____

11. Has the County trained you on sexual harassment policy?
    _____Yes (Indicate when) _____No

12. Has the County trained you on anti-discrimination policy?
    _____Yes (Indicate when) _____No

13. Has the County trained you on the prohibitions involving unlawful political discrimination (*Shakman v. Cook County*)?
    _____Yes (Indicate when) _____No

14. Have you encountered circumstances requiring you to apply Cook County's policies concerning sexual harassment, anti-discrimination and/or *Shakman* prohibitions? If yes, please describe what actions you took to address the issue. __
    _____
    _____

15. Please provide any additional comments you think would be helpful to our assessment._____
    _____

The Office of the Independent Inspector General of Cook County
Managerial Survey - Cook County Employees
June 30, 2010

Q2: Have you been trained on discipline?	Q4: Do you have a copy of the rules	Q5: Are you familiar with the rules	Q6: Do you have a copy of the Ethics Ordinance	Q7: Are you comfortable with implementing formal discipline*	Q8: Do you have supporting documentation of applying discipline	Q9: Have you failed to discipline because you were unaware of how?	Q11: Have you been trained on County's sexual harassment policy**	Q11: Have you been trained on County's anti-discrimination policy**	Q11: Have you been trained on County's unlawful discrimination policy**	Q14: Have you encountered circumstances were you had to apply rules related to sexual harassment, anti-discrimination, and unlawful political discrimination**
yes	no	yes	yes	2	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	no
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported no)	yes (reported no)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	
yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported no)	yes (reported no)	yes (reported yes)	
yes	yes	yes	yes	2	yes	yes	yes (reported yes)	yes (reported yes)	yes (reported yes)	no
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yes	no	no	no	2	no	no	yes (reported no)	yes (reported no)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	yes
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	yes
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yes	no	n/a	no		n/a	n/a	no (reported yes)	no (reported yes)	no (reported yes)	
yes	no	yes	yes	2	n/a	no	yes (reported yes)	yes (reported yes)	no (reported yes)	no
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yes	yes	yes	yes	2	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	
yes	yes	yes	yes	2	no	yes	yes (reported no)	yes (reported no)	yes (reported yes)	no
yes	yes	yes	yes	2		yes	yes (reported no)	yes (reported no)	yes (reported yes)	yes
yes	yes	yes	yes	2	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	2	yes	no	no (reported no)	no (reported no)	no (reported yes)	yes
yes	yes	yes	yes	2	yes	no	yes (reported yes)	yes (reported yes)	no (reported yes)	no
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	no
yes	yes	yes	yes	3	no	yes	no (reported yes)	no (reported yes)	no (reported yes)	
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no	yes	yes	yes	2	yes	no	no (reported no)	no (reported no)	no (reported yes)	yes
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no	yes	yes	yes	3	yes	no	no (reported no)	no (reported no)	no (reported yes)	no
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yes	yes	yes	yes	2	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	
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yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	
no	no	yes		3	yes	no	no (reported no)	no (reported no)	no (reported no)	

Q2: Have you been trained on discipline?	Q4: Do you have a copy of the rules	Q5: Are you familiar with the rules	Q6: Do you have a copy of the Ethics Ordinance	Q7: Are you comfortable with implementing formal discipline*	Q8: Do you have supporting documentation of applying discipline	Q9: Have you failed to discipline because you were unaware of how?	Q11: Have you been trained on County's sexual harassment policy**	Q11: Have you been trained on County's anti-discrimination policy**	Q11: Have you been trained on County's unlawful discrimination policy**	Q14: Have you encountered circumstances were you had to apply rules related to sexual harassment, anti-discrimination, and unlawful political discrimination**
yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	
yes	yes	yes		2	yes	yes	yes (reported no)	yes (reported no)	yes (reported yes)	
yes	yes	yes	yes	3	yes	no	no (reported no)	no (reported no)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported no)	yes (reported yes)	no
yes	yes	yes	yes	2	yes	no	yes (reported no)	yes (reported no)	yes (reported yes)	
yes	yes	yes	yes	2	yes	no	yes (reported yes)	yes (reported no)	yes (reported yes)	no
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yes	yes	yes	yes	1	yes	yes	yes (reported yes)	yes (reported yes)	no (reported yes)	no
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	2	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported no)	yes (reported no)	yes (reported yes)	
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yes	yes	yes	yes	2	yes	no	yes (reported yes)	yes (reported yes)	no (reported yes)	no
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yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported no)	yes (reported yes)	
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yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	
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yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	no
yes	yes	yes	yes	3	yes	no	no (reported yes)	no (reported yes)	no (reported yes)	no
yes	yes	yes	yes	3	yes	no	yes (reported yes)	yes (reported yes)	yes (reported yes)	no

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yes	no	no	yes	3	no	no	no	no	yes (reported no)	
no	yes	yes	yes	3	yes	no	no (reported no)	no	yes (reported no)	no
yes	yes	yes	no	1	yes	no	no (reported no)	yes	no (reported yes)	no
yes	no	yes	yes	2	yes	no	yes	yes	yes	no
yes	yes	no	yes	2	yes	no	yes	yes	yes	
yes	yes	yes	yes	2	no	no	yes	yes	yes	no
yes	no	yes	yes	n/a	n/a	n/a	yes	yes	yes	no
yes	yes	yes	yes	3	yes	no	yes	yes	yes	no
yes	yes	yes	yes	2	yes	no	yes	yes	yes	no
yes	yes	yes	yes	3	yes	no	NR	NR	yes	
no	no	no	yes	1	yes	yes	no	no	yes	no
no	no	no	no	1	no	no	no	no	yes	no
yes	no	no	no	1	no	yes	no	no	yes	no
yes	yes	yes	yes	2	yes	no	yes	yes	yes	no
96 yes (92.3%)	83 yes (79.8%)	97 yes (93.3%)	92 yes (88.5%)	81 (3)	91 yes (87.5%)	14 yes (13.5%)	75 yes (72.1%)	63 yes (60.6%)	99 yes (95.2%)	14 yes (13.5%)
7 no (6.7%)	21 no (20.2%)	6 no (5.8%)	8 no (7.7%)	13 (2)	7 no (6.7%)	87 (83.7%)	28 no (26.9%)	40 no (37.5%)	5 no (4.8%)	77 no (74%)
1 NR (0.96%)		1 NR (0.96%)	4 NR (3.8%)	7 (1)	6 NR (5.8%)	3 NR (2.9%)	1 NR (0.96%)	1 NR (0.96%)		13 NR (12.5%)
				3 NR						

Note: The OIIG omitted unique identifiers to maintain the confidentiality of the Respondents

*Grading Scale: 3 = Very Comfortable, 2 = Somewhat, 1 = Not Comfortable. The OIIG combines the responses for "3" and "2" which totals 90%

**The answer outside the parentheticals was received from Human Resources. The answer within the parentheticals is the Respondent's answer