



Office of Compliance
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Central Purpose

- Oversee and monitor the City's compliance programs and policies
- Recommend appropriate corrective action, including the development of compliance plans and the development of compliance related education and training, designed to mitigate any identified risk areas
- Monitor and perform risk assessments of city departments, employees, contractors and agents
- Manage programs and processes through which the City supports the economic viability of companies owned and operated by minorities, women, disabled, and disadvantaged individuals
- Conduct and direct audits of the City's systems of internal controls regarding compliance, ethics and finance

Key Facts

The Office of Compliance is comprised of four divisions: Legal Compliance, Workforce Compliance, Internal Audit, and Supplier Diversity.

The Legal Compliance Division manages city-wide compliance with federal, state and local laws and ordinances and City policies and procedures. This division includes our safety program which is designed to protect and maintain stringent working standards and to ensure the safety of the City's work force and the residents we serve.

The Internal Audit Division conducts audits and reviews to safeguard the City's assets, ensure that adequate internal controls over the City's processes are in place and to help departments gain efficiencies where necessary.

Through the Supplier Diversity program, Compliance manages Chicago's MBE/WBE program, designed to promote and strengthen businesses owned by minorities, women, and individuals with disabilities. Chicago remains committed to this important program and is one of the only government entities that has



fought successfully to withstand court challenges to its program, even as hundreds of other jurisdictions lost the right to continue theirs. It also tracks and monitors the percentage of City contracts that are fulfilled by certified minority-owned and women-owned firms, helping Chicago maintain a robust and diverse economic base. Workforce Compliance provides educational development and training for employees, vendors and the City's sister and delegate agencies.

Workforce Compliance also provides customer service and community outreach for City employees and persons that do business with the City, including maintaining a confidential reporting mechanism.

Goals

The goals of the Office of Compliance are to promote a culture of ethical conduct and a commitment to compliance with the law and to prevent and detect noncompliance. The Office of Compliance proactively manages risks to anticipate, prevent, detect and correct gaps or irregularities in compliance with applicable laws, rules, regulations and policies.

The Supplier Diversity Division demonstrates the City's continued commitment to the success of minorities (MBE), women (WBE), people with disabilities (BEPD), and disadvantaged businesses

(DBE, ACDBE). Currently, approximately 2,500 firms are actively certified, and new processes are being designed to better serve the businesses and residents of the City. The Office of Compliance is committed to further streamlining the application process for certification, along with enhancing the monitoring and auditing of certified firms and the companies that utilize them.

The Office of Compliance also partners with departments to help ensure that the American Reinvestment and Recovery Act funds are used in full compliance with the Act's requirements. The office completed 72 ARRA audits in 2010 and has set a target of an additional 30 audits for 2011.

Employees

Full Time Positions	Amount
	33

2011 Budget

Fund	Amount
Corporate Fund	\$3,060,735
Water Fund	\$128,269
Chicago O'Hare Airport Fund	\$200,396
Chicago Midway Airport Fund	\$72,962
Community Development Block Grant	\$221,816
TOTAL	\$3,684,178

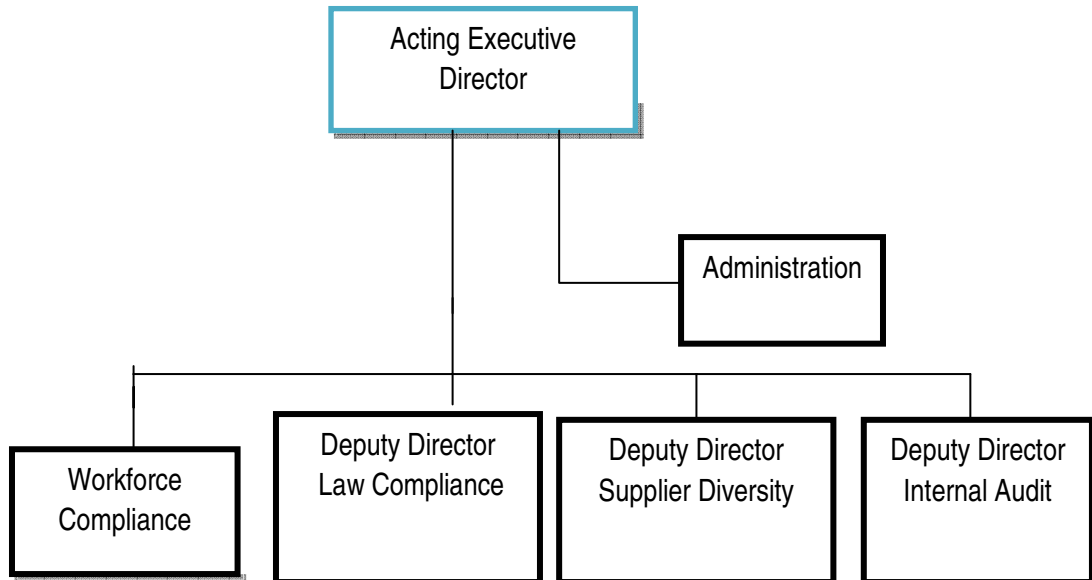
Grants

FEDERAL	
Grant or Program	Term
Community Development Block Grant	Annual

Major Contracts

Project	Term
Compliance Helpline	Annual
Various External Auditors	Annual

Organizational Chart



Facility Locations

Location	Address	Suite	Zip	Phone	Hours
Office of Compliance	333 S. State Street	320	60604	312-747-7778	8:30 a.m. – 5:00 p.m.

Unions Representing Department Employees

Unions
AFSCME